



UNDP SES Implementation Plan

Institutional Arrangements and Capacities for Implementation

OPG Submission

July 2020

EXAMPLE GRIEVANCES INVESTIGATED BY OAI

(Social & Environmental Compliance Unit, SECU)



REGISTRATION OFFICERS CLAIM **UNSAFE WORKING CONDITIONS** AND INADEQUATE PAY



UNDP ACCUSED OF **HUMAN RIGHTS VIOLATIONS** IN THE NAME OF CONSERVATION



UNDP ACCUSED OF **GREENWASHING** WHILE GOVERNMENT DESTROYS THE ENVIRONMENT



COMMUNITY OPPOSES UNDP INITIATIVE CLAIMING THEY WERE **EXCLUDED** FROM PROCESS

Process

- SES Inter-Bureau Task Force
- Independent review of implementation
- CO interviews
- Consultations with RBx
- Lessons from SESP Quality Review in 2018, findings from SECU/SRM cases, GEF/GCF portfolio, UN agencies and IFIs

Outcomes

1. Learning from the Last 5 Years
2. Functions Needed
3. **SES Implementation Plan** - Phased Approach to Strengthen Institutional Capacities & Arrangements
 - Initial proposals to strengthen capacities
 - Clarified roles and responsibilities (**Annex**)
 - Learning and Communications Strategy (**Annex**)

The IMPLEMENTATION CHALLENGE

CO experience implementing the SES:

- Quality of SESP is low (no proper identification of risks, tendency to categorize as Low Risk), little implementation beyond SESP
- Lack of dedicated resources/funding for the implementation of SES
- Uneven knowledge and capacity, insufficient trainings
- Need specialized support and guidance, particularly for high risk cases
- Frustrations with implementing SESP – timing, capacity, compliance exercise
- Weak implementation of SES throughout project cycle beyond SESP, often not embedded in project budget, monitoring, etc
- Concerns about contextualizing the SES for specific situations
- Need to learn from case examples, greater knowledge exchange across the organization
- Challenge of getting governments on board when our standards are higher (e.g. Indigenous Peoples)
- Projects that undergo SECUC and/or SRM processes require additional support from management and SES experts (GEF projects well supported)

“WE NEED HELP!”



The need for OVERSIGHT AND SUPPORT

- Current capacities and human resources not sufficient (e.g. can not meet demand for ongoing trainings and support)
- Outsourcing capacities and relying on consultants at project level needs to be accompanied with internal oversight and quality assurance
- Safeguards oversight and support requires specialized technical expertise
- UNDP has relevant expertise but currently not trained or mobilized to support SES (e.g. environmental, human rights, climate change, disaster, gender, indigenous peoples, health, etc, in GPN)
- SES support should target high-risk programming (not only demand based)
- Need for independence of corporate functions from programme delivery teams to avoid potential conflict of interest and overcome disincentives of programme/project teams to acknowledge high risks
- Need to formalize function in job descriptions and empower with corporate support
- Learning from environment vertical-fund team, boosting SES implementation and quality through greater quality assurance, training, oversight across vertical fund portfolio

**WE DON'T HAVE
THE CAPACITY TO
SUPPORT OUR COs**

SECU Findings

- Non-existent or poor quality screenings (SESPs)
- Key risk management measures required by SES are not applied and implemented
- Contractors are not aware of or properly supervised to implement SES requirements
- Grievance mechanisms are not easily accessible for project affected people, including project workers, with insufficient documentation and response
- Lack of Stakeholder Engagement Plans and Indigenous Peoples Plans developed in a manner consistent with SES requirements when UNDP activities involve indigenous peoples
- Weak application of SES requirements for transparency and inclusivity in UNDP activities



CASES:

Bosnia &
Herzegovina
Panama
Malawi
Jordan
Lebanon
Cameroon
Congo
Myanmar
Mauritius

Business As Usual —→ Investing in SES Implementation

Critical RISKS

Harm to people and the environment: Not able to uphold UN standards and commitments to respect and protect people and the environment

Reputational Risk: Loss of credibility as a leader in sustainable development, negative media attention, external relations, failure to demonstrate improvement and learning

Financial Risk: Inability to access funding that increasingly requires demonstration of social and environmental safeguard implementation (IFIs, bilaterals, GEF, GCF, REDD+, private sector)

Strategic OPPORTUNITIES

Walking the Talk: Demonstrated commitment to apply the standards we advocate for in our programming

Risk and Innovation: Enabling effective risk management and innovation leading to higher risk/reward programming

UNDP Integrator Role: Strengthened capacities and mechanisms for integrated support and solutions, **leader in UN system on SES**

Corporate Accountability: Strengthened accountability, including through safeguards, grievance mechanisms, stakeholder engagement, transparency, performance

Access to Finance: Demonstrate to investors, partners and donors that UNDP is implementing robust social and environmental safeguards

PHASED APPROACH

Progressive Learning and Capacity Building

Initial Investments:

2020 - Approval of SES Implementation Plan, strengthened capacities for oversight and support, training and enabling conditions in place, rollout of updated policy

Post-2020 - Sustained investment in SES/SRM functions, phased approach to reviewing and scaling up institutional capacities based on learning/needs



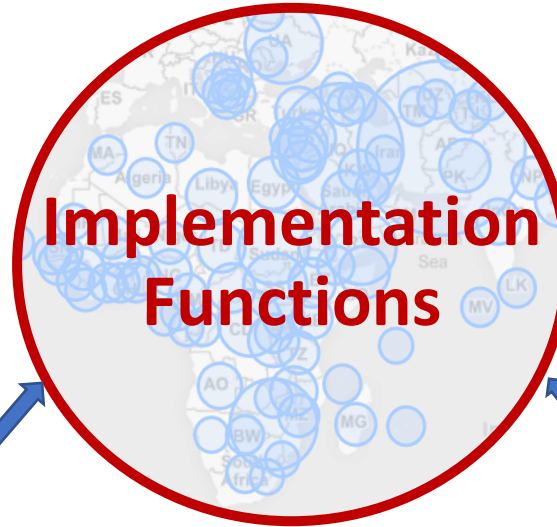
WHAT FUNCTIONS DO WE NEED TO INVEST IN?

- Policy ownership, interpretation and advice
- Accountability Mechanism
- Corporate trainings, guidance, systems, reporting
- Decision making on escalated risks
- HQ level engagement with partners/external relations/media management
- Legal advice

ExO/RBx/BPPS/OAI/BERA



Programme/Project Teams



- ✓ Capacities & Learning
- ✓ Risk Management
- ✓ Stakeholder Engagement & External Relations
- ✓ Policy & Performance

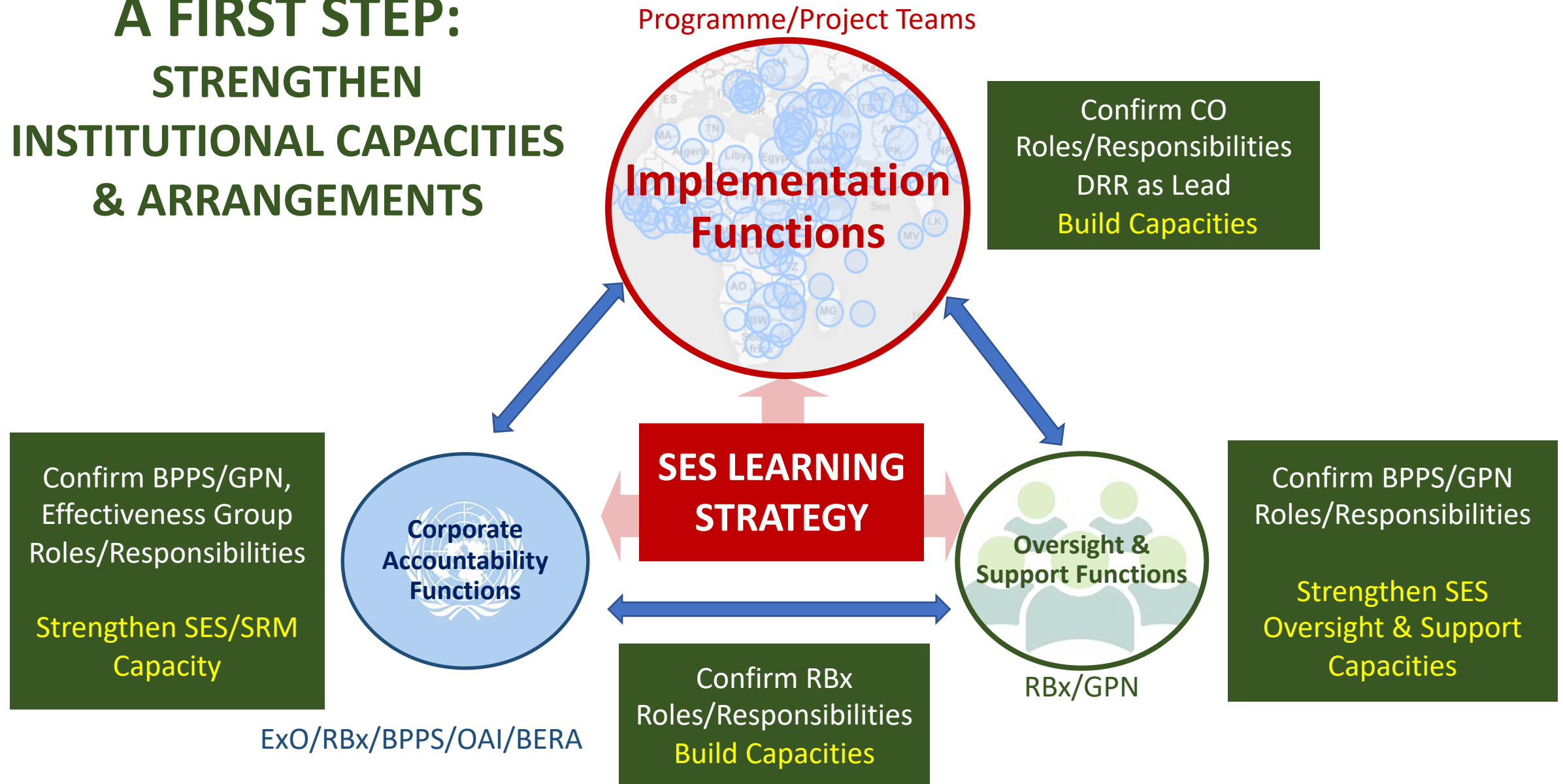
- Integration of SES in programme/project management
- Screening, Assessment, Risk Management
- Escalation when needed
- Monitoring/reporting
- Quality assurance
- Oversight of third parties
- Stakeholder engagement
- Country SRM, project GRM
- Engaging local partners, UNCTs



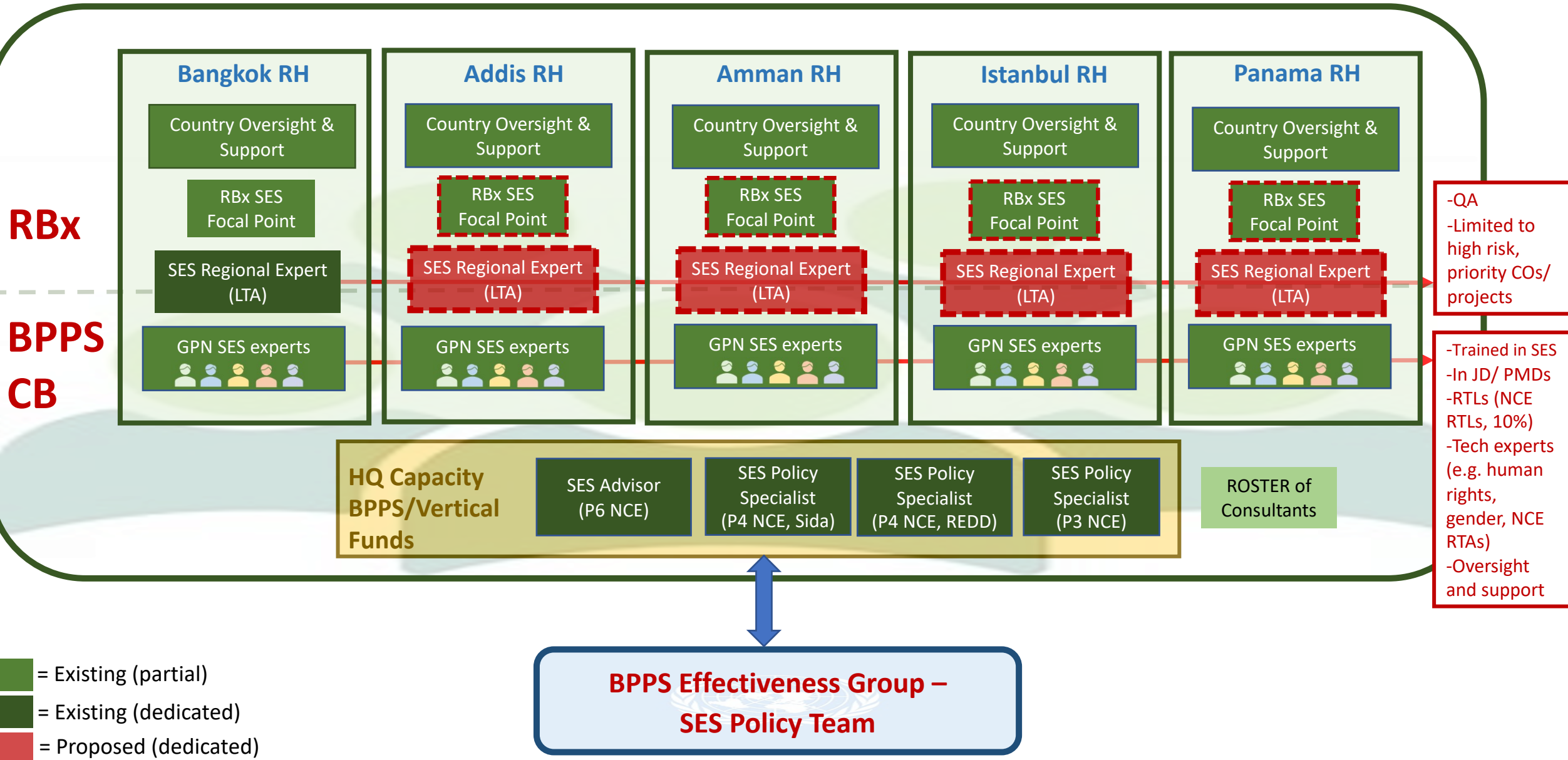
RBx/GPN

- Quality assurance
- Specialized technical support
- Risk management support
- Trainings
- Roster

A FIRST STEP: STRENGTHEN INSTITUTIONAL CAPACITIES & ARRANGEMENTS



RBx and BPPS/CB - Strengthened SES Oversight & Support

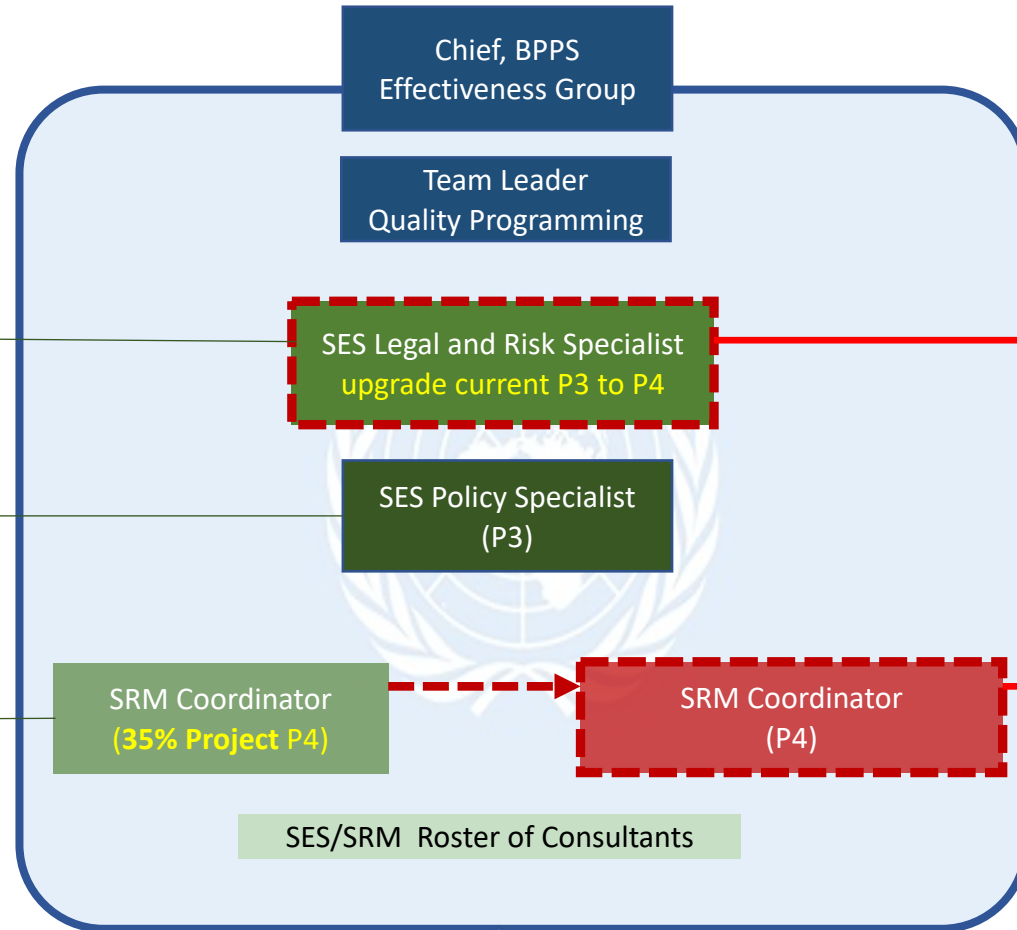


BPPS Effectiveness Group, Strengthened SES Policy Functions

Current Capacity

- Policy updates, review, integration in PPM, ERM
- Ad hoc policy interpretation/advice
- Lead implementation of Learning Strategy
- Guidance, tools, templates
- Online tools, integration in Learning Platform and Corporate System
- Knowledge management

- SRM policy/guidance
- Lead cases that are HQ-led
- Liaise with SECU on cases
- SRM Case Registry



Proposal to Address Priority Gaps

- Ensure effective coordination with GPN SES Oversight & Support functions
- Retain broader risk management capacities (ERM)
- SES Training for Risk Reference Group
- Work with LSO on SES related legal issues (agreements, legal templates, legal advice)

- Support COs to establish SRM
- Awareness raising and capacity building across COs on SRM, SECU and project GRMs
- Mediation and conflict resolution
- Manage roster of dispute resolution expertise
- Engage in network of IAMs
- Project GRMs, capacity building, guidance

REMAINING GAPS

- Corporate SES policy team, led by senior safeguards expert
- Expert leadership and oversight to deliver SES/SRM commitments and corporate positioning
- Enhanced corporate performance indicators and reporting system
- Engagement at senior level internally and with partners
- Sufficient capacity to respond to demand for advice on all high risk and escalated cases
- Delivery of corporate SES certification training, ambitious training programme

**BPPS/GPN-
SES Oversight & Support**

= Existing (partial)

= Existing (dedicated)

= Proposed (dedicated)

LEARNING STRATEGY

- Aligned with People Development Strategy
- Move beyond one-off compliance based trainings to continuous, progressive and experiential learning
- Strengthen networked knowledge and intelligence, leveraging Throughline, SparkBlue, CO champions, and SES Toolkit

Target Groups



- **WHO:** Programme Officers, Project Teams, M&E Officers
- **WHAT:** Practical and operational skills and capacities, direct value and applicability to their work, tools for quality assurance



- **WHO:** Implementing Partners, Responsible Parties, consultants
- **WHAT:** Knowledge and practical application of SES, Relevance to their work



- **WHO:** RRs/DRRs
- **WHAT:** Awareness and leadership, management, decision-making and communications skills, risk management and handling grievances



- **WHO:** GPN experts, internal and external experts, Regional SES LTAs,, NCE SES personnel
- **WHAT:** In-depth technical knowledge, may be targeted to specialized area (e.g. Indigenous Peoples), practical guidance.



- **WHO:** RBx SES Focal Points, Country Office Support Teams, PPM Focal Points, Risk Focal Points
- **WHAT:** Understanding of SES requirements, ability to communicate to COs and partners



- **WHO:** RBx and CBx Directors and Deputies, ExO focal points
- **WHAT:** Awareness and leadership, management, decision-making and communications skills, risk management, SES Management on the Portfolio Level

Measuring Performance

Baseline: **VERY LOW** implementation, capacities and awareness:

- Low quality of SESP (2017 review, 42% insufficient quality)
- Low uptake of SRM at CO level (2016 ROAR data, 73% COs with no SRM)

Objective: SES awareness and capacities increased, leading to improved quality and scale of SES implementation across UNDP programming

Proposed Indicators (detailed monitoring framework to be developed):

1. Improved quality of SESP/Risk Identification (regional baselines and targets)
2. Increased number of Country Offices with Stakeholder Response Mechanisms in place
3. Access to funding maintained through UNDP meeting E&S safeguards standards (GCF, GEF, IFIs, multilaterals, others)
4. Percentage of SES documentation disclosed in Transparency Portal
5. Number of High Risk projects receiving specialized oversight & support
6. Demand for GPN and ExpRes Roster SES expertise
7. Increased capacities and awareness (surveys)



Sustained Investment in SES Functions and Capacities

Implementation of Learning and Communication Strategy:

- \$ Learning Reserve: Approximately \$200-250K/year

BPPS SES Policy Functions:

- \$ Annual budget for guidance materials, knowledge management, corporate systems, SRM dispute resolution support - \$150K/year
- \$ Full-time stakeholder response mechanism (SRM) Coordinator, P4 (starting 2021)

RBx and BPPS/GPN SES Oversight and Support Functions:

- \$ BPPS NCE Team SES staff capacities (funded)
- \$ Regional SES LTAs, full-time (approx. \$100-150K/year)
- \$ Travel, consultants, etc.

OAI/SECU Resources not included

2020 – Launch of Updated SES

Item	Responsible	Timeline
SES implementation plan development and submission to OPG	SES Task Force	July 2020
Updated Guidance/SES Toolkit, online SESP, Dashboard	Effectiveness Group	Ready Q4
SOPs to support COs in SECU cases	SES Task Force	Done
SES roster (LTAs and ExpRes Roster)	BPPS	In progress
Learning and Communications Strategy	SES Task Force	July 2020
Webinars conducted for all staff – in Toolkit	Effectiveness Group	Q3/4
Training for RBx focal points, pool of GPN experts	Effectiveness Group	Q3/4
SES roles and responsibilities confirmed at all level, e.g. RBx focal points, CO RR and DRR, GPN experts (incorporate in PMDs, JDs where possible)	SES Task Force	2021 IWP/PMD process
Regional SES LTAs in place	RBx/BPPS	LTA in RBAP



ANNEX. SES/SRM Roles and Responsibilities

The following outlines key roles, responsibilities and accountability for SES implementation, corporate accountability, oversight and support functions across the organization. This is based on the proposed initial investment outlined in the SES Implementation Plan. The job descriptions/annual work plans for staff with key SES roles and responsibilities will be updated to reflect this accordingly.

Country Office

RR

- Ultimate accountability for adherence to SES in the programme
- Decision making on SES risks escalated to Programme level, including determining when risks need to be escalated further to RBx
- Engagement with country partners, RC, UNCT on politically sensitive issues
- Engagement with donors/funding partners as appropriate

DRR – CO SES/SRM Lead:

- Functional lead on SES/SRM in CO
- Engagement with country partners, UNCT
- Ensure SES applied across programme portfolio
- SES integral part of programme management, addressing risks that cut across portfolio of projects (e.g. risk assessments, M&E, capacities, trainings needed across programme)
- Identify technical support needs for the CO/programme and engage with RBx/GPN
- Ensure CO SRM established, receive SRM requests and review eligibility, together with corporate SRM Coordinator, identify opportunities for resolution, propose a response and support implementation, report on results

Programme Officers:

- Technical capacities in COs (e.g. environment, gender, human rights, etc)
- Provide SES advice in area of expertise across programme portfolio (e.g. in PAC processes)
- Ensure SES implementation in their programme of work/portfolio

M&E/RBM Officers:

- Assurance that SESP being conducted and identified risks and management measures actively being tracked in Risk Register (for project and programme) and project Quality Assurance
- High Risk projects given extra attention to ensure effective risk management and monitoring
- Support and advice to integrate mitigation measures across projects for consistency and cost-efficiency in management
- Ensuring incorporation of SES documentation in the LPAC process
- Ensure SES is in line with the project design, activities and results framework

- Guide projects to develop project monitoring tools which incorporate possible mechanisms of onsite verifications and beneficiary feedback monitoring
- Monitoring to ensure grievance mechanisms are in place

Project Teams:

- Forefront of SES/SRM implementation (e.g. screening, assessment, risk identification and ongoing management, meaningful stakeholder engagement, project GRM, public disclosure, oversight of third parties, assurance, monitoring, reporting, project budget)
- May include dedicated SES project staff/consultants for higher risk projects or to address particular risks.

Regional Bureaux

Director/Deputy:

- Engage in political/sensitive cases that are escalated to RBx
- Decision-making and leadership for escalated cases, in consultation with BPPS senior management
- Ensure awareness and commitment across COs on importance and value of SES in programming
- Ensure cases escalated to Risk Committee when needed

Country Oversight/Support Teams:

- First line of oversight
- Liaison between COs and GPN to help identify and respond to CO SES/SRM support needs
- Liaison with RBx SES focal point to identify need for specialized SES oversight
- Ensure COs aware of SES guidance, tools, requirements
- Oversight to ensure SES being implemented throughout programme/project management cycle
- Coordination of SECU case responses with CO and HQ Units (as per SOPs)

RBx SES Focal Point(s):

- Appointed by RBx, ideally colleague(s) involved in PPM, risk management, and/or oversight & support.
- Coordinate with Corporate SES Policy Team, Regional SES Experts (LTAs), Regional Hub, and GPN SES experts to identify strategies for learning, capacity building, oversight and support across the region.
- Escalate issues within Bureau as needed to mobilize additional oversight and support for high risks and emerging issues
- In support of SES Implementation Plan, coordinate the development of a regional action plan and targets to strengthen SES implementation and capacities within the region.b

SES Regional Experts – SES LTAs Based in Regional Hubs

- Specialized, dedicated SES oversight and support, focused on priority and high-risk projects
- Regional portfolio review to identify high-risk projects and need for in-depth support

- Support implementation and monitoring of regional action plan
- Quality assurance of SES related documentation for identified high risk and priority projects, in close coordination with RBx focal point/BPPS particularly for cases that require decision-making or escalation
- Reporting to track progress on regional SES quality targets and indicators
- Capture lessons learned and examples to be shared in SES Toolkit
- Regular coordination with other regional LTAs to ensure consistency in approach (facilitated by BPPS SES policy team, together with RBx SES focal points)

GPN (Regional Hubs)

GPN Specialized SES Oversight & Support:

- Risk Management support through trained internal experts
- Specialized SES support through trained internal experts
- Technical and advisory support for high risk, priority and escalated projects
- Support COs undergoing SECU/SRM cases
- Establish and maintain roster of consultants to provide CO support
- Natural Capital and Environment (NCE) Team – dedicated capacities for SES oversight and support in NCE portfolio and building capacities beyond (based in HQ)
- Work closely with SES expertise within GPN to ensure coordination, consistent interpretation of policies and shared learning

GPN (HQ)

BPPS Effectiveness Group, SES Policy Team:

- Policy/Procedures
- SES Toolkit, Guidance, public website
- Stakeholder Response Mechanism Coordination
- Advise on high risk, sensitive cases
- Learning Strategy, corporate trainings
- Corporate systems/reporting (e.g. online SESP tool, integration in Throughline, Corporate Planning System)
- Engagement with global partners, UN system, expert networks
- Legal advice, with LSO
- External relations and donor negotiations on SES, with BERA
- Support COs undergoing SECU/SRM cases
- Establish and maintain roster (SES and SRM)
- Work closely with SES expertise within GPN to ensure coordination, consistent interpretation of policies and shared learning

BERA (HQ)

- Engaging with donors and partners at HQ level, can escalate cases when needed
- Corporate communications on highly visible SECU cases