

**Environmental and Social Management Framework (ESMF)**

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| **Project Title: *PIMS 6016 - Increased resilience and adaptive capacity of the most vulnerable communities to climate change in Forested Guinea***  **Country:** Guinea  **Contributing Outcome (UNDAF/CPD, RPD, GPD)*:***  **UNDAF 2018-2022 - Outcome 2**: By 2022, the national institutions, civil society and the private sector will have implemented the policies that improve food security, sustainable management of environment, resilience of populations to climate change and disaster risk management  **CPD 2018-2022 - Output2.5**: The most vulnerable groups, have increased capacities for resilience and adaptation to climate change  **SESP Categorization:** *Substantial Risk* | | |
| ATLAS Project ID:  ATLAS Output ID:  PIMS ID: PIMS 6016  Management Arrangement: | **Total budget:**  Allocated resources:  GEF | **US$**  US$ |

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| **Public Consultation/Disclosure Notice** |
| Date: **XXXX** |
| The United Nations Development Programme (UNDP) is requesting feedback on the attached draft Environmental and Social Management Framework and associated Social and Environmental Screening Procedures for this project.  Comments and questions can be sent to the following address: |
| United Nations Development Programme  **Physical Address**:  **Tel**:  **Fax**:  **Email**:  **Website**: |
| **The last date for receiving of comments is XXXX** |

Table of Contents

[Table of Contents 2](#_Toc63280831)

[List of Tables 3](#_Toc63280832)

[Executive Summary ESMF 5](#_Toc63280833)

[Résumé en français 10](#_Toc63280834)

[Abbreviations and Acronyms 15](#_Toc63280835)

[Project Description 16](#_Toc63280836)

[Potential Social and Environmental Impacts 17](#_Toc63280837)

[(a) Main Principles and Review of the SESP 17](#_Toc63280838)

[(b) Impacts per Typology of Activities 17](#_Toc63280839)

[Legal and Institutional Framework 22](#_Toc63280840)

[(a) Relevant international Treaties and Conventions 22](#_Toc63280841)

[(b) National Policy and Legal Framework 22](#_Toc63280842)

[(c) UNDP Social and Environmental Standards 25](#_Toc63280843)

[Overall Principle: Leave No One Behind 25](#_Toc63280844)

[Principle 1: Human Rights 26](#_Toc63280845)

[Principle 2: Gender Equality & Women’s Empowerment 26](#_Toc63280846)

[Principle 3: Sustainability and Resilience 26](#_Toc63280847)

[Principle 3: Accountability 27](#_Toc63280848)

[Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management 27](#_Toc63280849)

[Standard 2: Climate Change Mitigation and Disaster risks 27](#_Toc63280850)

[Standard 3: Community Health, Safety and Security 28](#_Toc63280851)

[Standard 4: Cultural Heritage 28](#_Toc63280852)

[Standard 5: Displacement and Resettlement 28](#_Toc63280853)

[Standard 6: Indigenous Peoples 28](#_Toc63280854)

[Standard 7: Labour and Working Conditions 28](#_Toc63280855)

[Standard 8: Pollution Prevention and Resource Efficiency 29](#_Toc63280856)

[(d) Comparison and Gaps in the Policy Framework 30](#_Toc63280857)

[Procedures for Screening, Assessment, and Management 32](#_Toc63280858)

[(a) Guiding Principles 32](#_Toc63280859)

[(b) Screening procedures for defined activities as per ProDoc 32](#_Toc63280860)

[Social and Environmental Screening Procedure (SESP) 32](#_Toc63280861)

[(c) Screening procedures for activities to be defined 33](#_Toc63280862)

[(d) Assessment Procedures 33](#_Toc63280863)

[Environmental and Social Impact Assessment (ESIA) 33](#_Toc63280864)

[(e) Management Procedures 34](#_Toc63280865)

[Environmental and Social Management Framework (ESMF) 34](#_Toc63280866)

[Stakeholder Engagement Plan (SEP) 34](#_Toc63280867)

[Gender Action Plan (GAP) 34](#_Toc63280868)

[Environmental and Social Management Plan (ESMP) 34](#_Toc63280869)

[Indigenous Peoples Plan 35](#_Toc63280870)

[Biodiversity Action Plan (BAP) 36](#_Toc63280871)

[Health and Safety Plan (HSP) 36](#_Toc63280872)

[Institutional Arrangements and Capacity-Building 37](#_Toc63280873)

[(a) National, Provincial, and Local Institutional Framework 37](#_Toc63280874)

[(b) Project Institutional Framework 38](#_Toc63280875)

[Project Steering Committee 38](#_Toc63280876)

[United Nations Development Programme – CO 38](#_Toc63280877)

[Implementing Partner: Ministry of Environment, Water and Forests (MEEF). 38](#_Toc63280878)

[Control Missions 39](#_Toc63280879)

[(c) Roles and Responsibilities in ESMF Implementation 39](#_Toc63280880)

[Project Steering Committee 39](#_Toc63280881)

[UNDP 39](#_Toc63280882)

[(d) Capacity Assessment 40](#_Toc63280883)

[(e) Capacity-Building Plan 40](#_Toc63280884)

[Stakeholder Engagement and Information Disclosure Process 41](#_Toc63280885)

[(a) Stakeholder Engagement Procedures and Disclosure Requirements 41](#_Toc63280886)

[General Principles 42](#_Toc63280887)

[Grievance Mechanisms 43](#_Toc63280888)

[(a) UNDP’s Accountability Mechanisms 43](#_Toc63280889)

[(b) Project-level Grievance Redress Mechanism 44](#_Toc63280890)

[Monitoring and Evaluation Arrangements 45](#_Toc63280891)

[(a) Parameters to be measured 45](#_Toc63280892)

[Budget for ESMF implementation 47](#_Toc63280893)

[Annexes 48](#_Toc63280894)

[Annex 1: Indicative Outline of Environmental and Social Impact Assessment (ESIA) Report 49](#_Toc63280895)

[Annex 2: Indicative outline of Environmental and Social Management Plan (ESMP) 51](#_Toc63280896)

[Annex 2: Sample Terms of Reference: Project-level Grievance Redress Mechanism 53](#_Toc63280897)

# List of Tables

Table 1: Preliminary assessment conducted and existing studies 5

Table 2: Summary of UNDP’s Social and Environmental Safeguards triggered by the project 6

Table 3: Summary of the required environmental and social elements 7

Table 1: Évaluation préliminaire réalisée et études existantes 10

Table 2: Résumé des sauvegardes sociales et environnementales du PNUD déclenchées par le projet 11

Table 3: Résumé des éléments environnementaux et sociaux requis 12

Table 4: Components and activities 16

Table 5: Risk rating according to UNDP Environmental and Social Safeguards 17

Table 6: Summary of main potential social and environmental risks according to the SESP 18

Table 7: Summary of safeguards legal and policy framework 30

Table 8: Recap of all management procedures 34

Table 9: Recap of initial steps, institutional responsibilities and timing for SES management design 40

Table 10: Timing and modules for capacity-building 41

Table 11: ESMF M&E Plan 46

Table 12: Budget for ESMF Implementation 47

# Executive Summary ESMF

Guinea is likely to be heavily impacted by the ongoing climate change, and some effects are already being observed. During the PPG, a review of the most recent climate modeling in Guinea has been carried out. The projection used (see ProDoc p.13) predicts that Forested Guinea will warm by 1.5°C by 2050 and 2°C by 2070, with warming increasing from South to North and from West to East. This temperature increase is constant on a seasonal scale. The uncertainty around this mean value, measured by inter-model dispersion, increases between 2050 and 2070.

Because of the sensitivity of agricultural productions and of their exposure to climate variability such as flooding, the communities of Forested Guinea are particularly exposed.Alongside these two criteria, which will exacerbate the vulnerability of communities, it should be noted that communities are already in vulnerable situations. The PNDES (2017) identifies pre-existing vulnerability factors in Forested Guinea: (i) The incidence of poverty in Forested Guinea is the highest in the country with a rate of 66.9% against a national average of 56.9%. (ii) The region suffers from weak institutional capacities to support the rural development of the area. (iii) 97.2% of cultivated areas are rainfed, highly dependent on climatic hazards. (iv) The communities use agricultural practices that do not permit renewal of soil fertility. (v) Communities have a low financing capacity and poor access to financial services. (vi) Cattle breeding is dependent on deforestation and subject to overgrazing. (vii) Gender inequalities impede women's control over land in the productive plains; limiting their agricultural options for adaptation to climate change. (viii) Poor environmental management of forests leads to overall degradation of the natural resources on which all producers depend.

The proposed long-term solution to the many challenges presented above is to strengthen the resilience and adaptive capacities of the most vulnerable local communities (with a focus on youth and women) in Forested Guinea, to face climate change and improve self-sufficiency in basic living needs of rural communities, and create conditions to enable its replication. Working towards this long-term solution, the immediate objective of the project is to Increase the resilience and adaptive capacity of the most vulnerable communities to climate change in Forested Guinea, to reduce vulnerability, to reduce land degradation, improve agricultural productivity and self-sufficiency in basic living needs of vulnerable rural communities and create conditions to enable its replication with a strong community involvement. The theory of change adopted for this project addresses the key barriers to the resilience of vulnerable communities while contributing to the preferred solution through the delivery of the 3 Outcomes:

* Outcome 1: Climate resilience of vulnerable communities (at least 14,000 farming households) of Forested Guinea area achieved by the introduction of Climate Smart Agriculture (CSA) practices on at least 10,000 ha of agro-sylvo-pastoral lands
* Outcome 2: Access of communities’ members, CBOs, CSOs, and local authorities to adaptation finance is enhanced in Forested Guinea.
* Outcome 3: Climate information products and services for the development of CSA are developed and available for the communities and institutions

In 2020, a PPG team designed the present project. Two field missions were conducted, leading to further development of the outputs, as well as to a thorough screening of environmental and social risks related to the project activities and outputs.

Table 1: Preliminary assessment conducted and existing studies

|  |  |
| --- | --- |
| **Missions** | **Date** |
| First scoping mission | August 2020 |
| FPIC mission | December 2021 |
| **Assessments available** | **Date, Name of the Document** |
| Gender assessment | Gender Action Plan, January 2021 |
| Stakeholder analysis | Stakeholder Engagement Plan, January 2021 |

The implementation of the project will generate concrete positive impacts related to social and economic development, food security, and environmental sustainability. Project approaches will address structural social and economic issues in order to ensure that benefits can be extended to all targeted groups, while being sensitive to the specific needs and requirements of each group, with specific attention to gender and indigenous peoples.

Irrespective of its positive intentions, the project may inadvertently generate negative impacts. The analyses conducted during the project design indicate that ten (10) UNDP social and environmental principles and standards are triggered due to “moderate”, “substantial” or “high” risks:

Table 2: Summary of UNDP’s Social and Environmental Safeguards triggered by the project

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| **Principles and Standards** | **Rating** | **Justification** |
| Principle 1:  Human rights | Substantial | The project’s support to agricultural and pasture activities could lead to adverse impact on the existing social tensions in the area between land users. These tensions could also increase violent altercations which have arisen over the last years, and it may affect the repartition of benefits among beneficiaries, to the detriment of women and indigenous peoples |
| Principle 2:  Gender equality and women’s empowerment | Substantial | Women could be excluded from the support planned for farmers and farmers organizations as well as in the national and regional institutions. This could inadvertently reproduce existing discriminations, including in the design of agriculture and natural resources management policies. |
| Principle 3:  Sustainability and Resilience | Moderate | Even though the project aims at making agricultural practices more sustainable by improving their adaptation to climate change and by promoting Climate-Smart Agriculture technologies, the exploitation of new crops and the increased agricultural production triggered by the project could cause serious damage to the natural habitats, including within the two biospheres present in the project area. Rehabilitation of pasture corridors could also cause harm to biodiverse ecosystems by triggering more erosion and landslides. |
| Principle 4:  Accountability | Substantial | The duty bearers of this project may have low capacities to (1) measure and manage the impact of climate change on agriculture, (2) to engage with all members of the communities in depth, and (3) to facilitate and monitor a grievance redress mechanism (GRM) |
| Standard 1:  Biodiversity conservation and sustainable natural resource management | Substantial | Improving agricultural productivity and enabling local communities to access finance for crops and small businesses could lead, in the long term, to more local development involving larger application of pesticide, damages to the ecosystems, and/or to deforestation. These could add to the current vulnerability of both Forest Reserves. |
| Standard 2:  Climate change and Disaster risks | Substantial | Climate change, which manifests itself mainly through more violent storms during the rainy season, has generated major shifts in the seasonal calendar, increased heat waves, perturbations in agricultural practices and among the fish populations, and has affected storage capacities – this can increase conflicts and social tensions, and lead to the loss of benefits among farmers’ organizations. |
| Standard 3: Community Health, Safety and Security | Moderate | The project activities could lead to work-related accidents involving local workers during the construction of water reservoirs, irrigation systems, etc. The project may also act as a disease vector : small scale water storage may have potential to provide breeding areas for mosquitos which represent a nuisance and increase the prevalence of Malaria or other significant mosquito borne diseases, while travels of staff and consultants into the area may increase the risk of COVID-19 spread. |
| Standard 6: Indigenous peoples | Substantial | There is a risk that discrimination against Indigenous Peoples could be reproduced within the project (e.g access to CSA packages and trainings), as Indigenous Peoples have raised concerns in a sometimes violent way over their weak representation and participation in political and public affairs. |
| Standard 7: Labour and Working Conditions | Substantial | Most of the agricultural sector in the project area is informal and fails to comply with national and international labor standards. Hence there is a risk of violation of workers' rights within the cooperatives supported by the project, linked in particular to the presence of migrants and human trafficking in the area. In addition, forced labor and child labor have been reported in the country and could be present in the farmers’ organizations supported by the project. |
| Standard 8: Pollution Prevention and Resource Efficiency | Substantial | This risk covers accidental release of products or waste from agricultural production units, uncontrolled use of herbicides and chemical fertilizers which can contaminate soils and surface water if used without proper protocols, as well as the potential introduction of new species revealing to be predators. |

This ESMF sets out the principles, rules, guidelines, and procedures for screening, assessing, and managing the potential social and environmental impacts of forthcoming interventions of the project. It aims to effectively address risks through thorough application of the environmental and social measures, including time-bound action plans for avoiding, and where avoidance is not possible, reducing, mitigating, and managing adverse impacts related to the future activities or policies/regulations. It specifies the most likely applicable social and environmental policies and requirements, as well as how those requirements will be met through procedures for the screening, assessment, approval, mitigation, monitoring, and reporting of social and environmental risks and impacts associated with the activities to be supported. It ensures that the activities are screened and assessed, and that appropriate management measures are in place prior to implementation.

The procedures have been designed to ensure compliance with relevant social and environmental policy frameworks, including Guinea’s legal, policy, and institutional framework, UNDP’s Social and Environmental Standards, and GEF safeguards.

The estimated total costs for implementing the environmental and social safeguards measures recommended in this ESMF amount to USD 70,000.

Table 3: Summary of the required environmental and social elements

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| **Environmental and social elements** | **Description** | **Activities to be addressed** |
| Strategic Environmental and Social Assessment (SESA) | SESA refers to a range of analytical and participatory approaches that aim to integrate social and environmental considerations into policies, plans and programmes (PPPs) and evaluate their interlinkages with economic considerations. Potential adverse risks and impacts associated with such activities are systematically examined. SESA evaluates the effect of policy changes on a broad, cross-sectoral basis with the aim of making “upstream” development decision-making more sustainable. SESAs typically look at wider sustainability issues than project-level assessments, however there needs to be linkages between the two: information and strategies determined in a SESA should cascade down through tiers of decision-making. It will be conducted together with the ESIA. | **Activity 1.5.1:** Replication of the CSA platform for good practices dissemination to other regions  **Activity 1.5.2:** Production of thematic practical sheets for good CSA practices  **Activity 1.5.3:** Set up an online platform with the guidelines for the development of a CSA package and "toolbox"  **Activity 1.5.5:** Development of a Replication Strategy and Action Plan to scale-up and mainstream CSA practices  **Activity 1.5.6:** Organize national consultation workshops on climate change and adaptation in Guinea  **Activity 2.1.1:** Raise awareness of Financial Institutions about CSA  **Activity 2.1.2:** Formalize the commitment of financial institutions  **Activity 2.1.3:** Recruit a rural finance technical assistance firm or NGO with experience in the development of new financial products  **Activity 2.1.4:**Develop financial products for CSA funding  **Activity 2.1.5:**Support the submission of climate finance projects (led by MFIs) for accessing financial resources for the partial credit guarantee and/or line of credit for CSA investments  **Activity 2.2.1:** Recruitment of a firm or NGO specialized in rural entrepreneurship and with good knowledge of CSA financing.  **Activity 2.2.2:** Training of Trainers (ToT) on CSA  **Activity 2.2.3:** Scale-up of training on business models and CSA adaptation investments  **Activity 2.2.4:** Train staff of microfinance institutions, local banks, and specialized NGOs in techniques for assessing CSA investment loan applications.  **Activity 2.3.1:** Financial literacy training for 1,500 small businesses, farmers and households with targeted workshops on capacity building for women tailored to their needs and interests.  **Activity 2.3.2:** Workshops for meetings between financial institutions and farmers  **Activity 2.3.3:** Preparation and submission of applications for funding of climate-smart agro-sylvo-pastoral technologies  **Activity 2.3.4:** Monitoring of Beneficiary Financing  **Activity 2.4.1:** Training on climate change issues for local communities and authorities  **Activity 2.4.2:** Integration of CSA and climate issues into eligible expenditures by NAFAC's community funds  **Activity 2.4.3:** Assistance in the preparation and submission of financing applications  **Activity 3.5.1** (to be implemented with the activity 1.5.2)**:** Development of a Replication Strategy and Action Plan to scale-up and mainstream the use of climate information  **Activity 3.5.2 (identical with activity 1.5.6)** Organize national consultation workshops on climate change and adaptation in Guinea |
| Environmental and Social Impact Assessment (ESIA) | In accordance with UNDP’s SES policy, high-risk projects require comprehensive forms of assessment. An ESIA assesses the full range of social and environmental impacts, including alternatives analysis. It will be developed and carried out by independent experts in a participatory manner with stakeholders during the inception phase. The ESIA will further identify and assess social and environmental impacts of the project and its area of influence; evaluate alternatives; and design appropriate avoidance, mitigation, management, and monitoring measures. It will address all relevant issues related to the SES Overarching Principles and Project-level Standards. It will be conducted during the first six months of project implementation and fully address the risks and activities. | **Activity 1.1.1:** Setting up a platform for the exchange and dissemination of CSA good practices  **Activity 1.1.4:** Setting up of school fields and trainings for 210 lead farmers  **Activity 1.1.5:** Dissemination of CSA practices in all the municipalities of Forested Guinea  **Activity 1.2.1:** Direct implementation of sustainable forest related practices on 5,000 ha (fire management practices, tree plantation and agroforestry) by MEEF.  **Activity 1.2.2:** Train at least 5,000 women for the establishment and promotion of innovative and resilient market gardening systems.  **Activity 1.2.3:** Call of projects and selection of operators implementing CSA practices  **Activity 1.2.4:** Technical support for operators through the recruitment of international expertise  **Activity 1.3.1:** Train the lead farmers (paysan relais) to effectively organize trainings, share climate information  **Activity 1.3.2:** Set up a service system for farmers to hire equipment and access to small credit  **Activity 1.3.3:** Support the distribution of resilient seeds produced by IRAG  **Activity 1.4.1 (identical with activity 3.4.1):** Form the working group (LDO, SPD, CSOs and municipalities) and recruit the consultants in charge of support  **Activity 1.4.2:** Organize consultations to identify relevant CSA adaptation/investment options at the community level  **Activity 1.4.3:** Prioritize the CSA interventions to be undertaken at the community level, and estimate the costs of the selected interventions and distribute them over the five-year investment plan.  **Activity 1.5.4:** Development of a training program to individual capacity building in CSA  **Activity 1.5.7:** Identify the pilot plots which will be used as supports for the replication strategy  **Activity 1.6.1:** Implementation of the monitoring-evaluation system, integrating gender goals  **Activity 1.6.2:** Training for the PMU on gender-integrated planning and project implementation  **Activity 3.1.1:** establish a steering committee for this study and train it in the method of vulnerability and climate risk analysis. This activity will result in the production of ToRs for the study.  **Activity 3.1.2:** Drawing up the climate risk and forecasting study  **Activity 3.1.3:** Organise at least 8 brainstorming workshops on resilient agricultural development based on the results of the study.  **Activity 3.2.1:** assess specific capacity building needs  **Activity 3.2.2:** create training support for the local actors  **Activity 3.2.3:** organise training workshops  **Activity 3.3.1:** Analysing users' needs for climate products and services  **Activity 3.3.2:** Drawing up an agro-meteorological bulletin in the most appropriate forms  **Activity 3.3.3:** Evaluate the relevance and usefulness of the agro-meteorological bulletin and improve it.  **Activity 3.4.1:** Form the working group (LDO, SPD, CSOs and municipalities) and recruit the consultant in charge of coaching  **Activity 3.4.2:** Identify and prioritize adaptation measures (including local knowledge) taking into account the potentially different needs and interests of men and women.  **Activity 3.4.3:** Integrate adaptation measures in the 8 LDPs (including MRV system) and validate the LDPs amended by the concerned municipalities. |
| Environmental and Social Management Plans (ESMP)  and associated Management Plans | A key output of the ESIA is an ESMP, prepared within the first six months of project implementation, to further refine risk identification and mitigation strategies, as well as to establish a system for monitoring these risks. Based on the findings, required management plans (e.g. Indigenous Peoples Plan, Biodiversity Action Plan) will be developed and implemented as appropriate.  These plans will be an integral part of the ESMP and provide more detailed background and measures for the most substantial risks:   * Livelihood Action Plan (LAP) * Resettlement Action Plan (RAP) * Indigenous Peoples Plan (IPP) * Biodiversity Action Plan (BAP) * Health and Safety Plan (HSP) | All activities noted above (for ESIA) |
| Technical and feasibility studies | CSA technologies will be subject to technical and feasibility studies which will be prepared according to UNDP SES requirements and guidelines in order to be appropriately screened and managed. | **Activity 1.2.1:** Direct implementation of sustainable forest related practices on 5,000 ha (fire management practices, tree plantation and agroforestry) by MEEF.  **Activity 1.2.3:** Call of projects and selection of operators implementing CSA practices  **Activity 1.3.3:** Support the distribution of resilient seeds produced by IRAG  **Activity 1.4.3:** Prioritize the CSA interventions to be undertaken at the community level, and estimate the costs of the selected interventions and distribute them over the five-year investment plan.  **Activity 3.4.2:** Identify and prioritize adaptation measures (including local knowledge) taking into account the potentially different needs and interests of men and women. |
| Operationalization of a Grievance Redress Mechanism (GRM) | The full details of the GRM will be agreed upon during the ESIA phase and the project will establish a project-level GRM at the start of implementation. Interested stakeholders may raise a grievance at any time with the Project Management Office, the Responsible Parties, UNDP, or the GEF. | All activities |
| Operationalization of the Gender Action Plan | A Gender Action Plan has been developed during the project’s design phase. It will guide all actions pertaining to SES implementation and gender-mainstreaming. It offers specific activities, from capacity-building to specific consultation activities, allowing all women to fully engage with the project and decision-making processes from the outset. | All activities |
| Operationalization of the Stakeholder Engagement Plan | A Stakeholder Engagement Plan has been developed during the project’s design phase. It will guide all actions pertaining to SES implementation. It will be completed by the IPP and an FPIC protocol, to be developed together with local communities and indigenous peoples in order to enable communities to get extensive information about the project and associated possible positive and negative consequences. They will be encouraged and given the time to explicitly reflect on this information in order to able to give their free prior informed consent (FPIC). The FPIC protocol will then be applied to each activity of the project, as communities will be allowed to provide their consent to part of them, ask for modifications, or withdraw their consent. | All activities |

Environmental and social risk management of the project will be provided at three levels:

(1) preparatory phase in the first six months of the project, while the PMU is building trust relationships with project stakeholders and further defining field interventions (before any activities that may cause adverse social or environmental impacts start, through SESA/ESIA/ESMP measures);

(2) implementation (when putting in place the said activities), through the implementation of the ESMP and associated plans measures ; the management plans are here conceived as sections of the ESMP which provide detailed background and operationalisation steps to the measures addressing the most substantial risks;

(3) operating stages (through ESMF monitoring when selecting the green entrepreneurship activities for instance, as well as mitigation measures M&E according to ESMP and associated management plans).

To ensure that appropriate safeguards measures are in place, a Strategic Environmental & Social Assessment (SESA) and an Environmental & Social Impact Assessment (ESIA) will be undertaken and an Environmental & Social Management Plan (ESMP) prepared within the first six months of project implementation, to further refine risk identification and mitigation strategies, as well as to establish a system for monitoring these risks. Based on the ESIA findings and as part of the ESMP (as appropriate), the required specific management plans (Indigenous Peoples Plan, Biodiversity Action Plan, Health and Security Plan) will be developed and implemented. The project will ensure that FPIC is adhered to, and will not initiate any activities that may cause adverse social or environmental impacts until SESA, ESIA and ESMP have been completed, disclosed and discussed with stakeholders, and then put in place.

The programme has been designed through careful consultations with all stakeholders and leaves space to further define the activities on the basis of future assessments to be conducted locally. The content of the Climate-Smart Agriculture packages (Output 2.1) need further consultations and assessments in order to be designed in a context-specific wayIt is only based on these comprehensive, field based, site specific assessment of potential interventions that the content of the CSA packages will be defined.Hence the packages will undergo a specific screening process, using the UNDP SESP as prescribed by the project’s ESMP. The Project Management Unit is responsible for implementing screening procedures, assisting in scoping, evaluation and approval of the proposed interventions.The Project Manager, after consideration of the advice from PMU staff with responsibility for safeguards, the Project Steering Committee, and/or UNDP CO will then be responsible of assessing whether the technologies promoted within the CSA packages require technical and feasibility studies before they are accepted and funded.

The project upscale (Output 1.4, 1.5 and 3.5) will need to be conditioned to a mid-term SESP review, integrating (1) CSA-packages-specific risks as they will have been further detailed ; (2) a broader vision of the potential risks associated with the implementation of the said packages at a national scale, as the current SESP has been conducted with Forested Guinea in mind only and before specific CSA packages have been identified.

The implementation of project activities will be done under the supervision of a Project Board. The Project Management Unit (PMU) will plan and oversee the execution of project activities, and evaluate and report on their progress to the Board and other stakeholders. TORs of both the Board and the PMU will include specific responsibilities related to safeguards, including ensuring a functioning GRM, as well as the development, implementation, and monitoring of the ESMP and any associated stand-alone plans. The project will enhance the capacities of all relevant actors for the implementation and monitoring of safeguards plans and measures.

# Résumé en français

La Guinée risque d'être fortement touchée par le changement climatique en cours, et certains effets sont déjà observés. Au cours du PPG, un examen de la modélisation climatique la plus récente en Guinée a été effectué. La projection utilisée (voir ProDoc p.13) prévoit que la Guinée forestière se réchauffera de 1,5°C d'ici 2050 et de 2°C d'ici 2070, avec un réchauffement croissant du Sud au Nord et de l'Ouest à l'Est. Cette augmentation de la température est constante à l'échelle des saisons. L'incertitude autour de cette valeur moyenne, mesurée par la dispersion inter-modèle, augmente entre 2050 et 2070.

En raison de la sensibilité des productions agricoles et de leur exposition à la variabilité climatique comme les inondations, les communautés de Guinée Forestière sont particulièrement exposées. A côté de ces deux critères, qui vont exacerber la vulnérabilité des communautés, il faut noter que les communautés sont déjà en situation de vulnérabilité. Le PNDES (2017) identifie les facteurs de vulnérabilité préexistants en Guinée Forestière : (i) L'incidence de la pauvreté en Guinée Forestière est la plus élevée du pays avec un taux de 66,9% contre une moyenne nationale de 56,9%. (ii) La région souffre de faibles capacités institutionnelles pour soutenir le développement rural de la zone. (iii) 97,2% des zones cultivées sont pluviales, fortement dépendantes des aléas climatiques. (iv) Les communautés utilisent des pratiques agricoles qui ne permettent pas le renouvellement de la fertilité des sols. (v) Les communautés ont une faible capacité de financement et un faible accès aux services financiers. (vi) L'élevage du bétail est dépendant de la déforestation et sujet au surpâturage. (vii) Les inégalités entre les sexes empêchent les femmes de contrôler les terres dans les plaines productives ; ce qui limite leurs options agricoles pour l'adaptation au changement climatique. (viii) La mauvaise gestion environnementale des forêts entraîne une dégradation générale des ressources naturelles dont tous les producteurs dépendent.

La solution à long terme proposée pour relever les nombreux défis présentés ci-dessus consiste à renforcer la résilience et les capacités d'adaptation des communautés locales les plus vulnérables (en particulier les jeunes et les femmes) en Guinée forestière, afin de faire face au changement climatique et d'améliorer l'autosuffisance des communautés rurales en matière de besoins vitaux de base, et de créer les conditions permettant de reproduire cette situation. Dans la perspective de cette solution à long terme, l'objectif immédiat du projet est d'accroître la résilience et la capacité d'adaptation des communautés les plus vulnérables au changement climatique en Guinée forestière, de réduire la vulnérabilité, de réduire la dégradation des terres, d'améliorer la productivité agricole et l'autosuffisance des communautés rurales vulnérables en matière de besoins vitaux de base et de créer les conditions pour permettre sa reproduction avec une forte participation communautaire. La théorie du changement adoptée pour ce projet aborde les principaux obstacles à la résilience des communautés vulnérables tout en contribuant à la solution privilégiée par la réalisation des 3 résultats :

* Résultat 1 : Résilience climatique des communautés vulnérables (au moins 14 000 ménages agricoles) de la zone forestière de Guinée, obtenue grâce à l'introduction de pratiques d'agriculture intelligente (CSA) sur au moins 10 000 ha de terres agro-sylvo-pastorales
* Résultat 2 : L'accès des membres des communautés, des organisations communautaires, des OSC et des autorités locales au financement de l'adaptation est amélioré en Guinée forestière.
* Résultat 3 : Les produits et services d'information sur le climat pour le développement de l'ASC sont développés et disponibles pour les communautés et les institutions

En 2020, une équipe formée par le PNUD a conçu le présent projet. Deux missions sur le terrain ont été effectuées, ce qui a permis de développer les résultats et de procéder à un examen approfondi des risques environnementaux et sociaux liés aux activités et aux résultats du projet.

Table 1: Évaluation préliminaire réalisée et études existantes

|  |  |
| --- | --- |
| **Missions** | **Date** |
| Première mission de cadrage | Août 2020 |
| La mission du CLIP | Décembre 2021 |
| **Évaluations disponibles** | **Date, nom du document** |
| Évaluation genre | Gender Action Plan, Janvier 2021 |
| Analyse des parties prenantes | Stakeholder Engagement Plan, Janvier 2021 |

La mise en œuvre du projet générera des impacts positifs concrets liés au développement social et économique, à la sécurité alimentaire et à la durabilité environnementale. Les approches du projet aborderont les questions sociales et économiques structurelles afin de garantir que les avantages puissent être étendus à tous les groupes ciblés, tout en étant sensibles aux besoins et exigences spécifiques de chaque groupe, avec une attention particulière pour le genre et les peuples indigènes.

Indépendamment de ses intentions positives, le projet peut, par inadvertance, générer des impacts négatifs. Les analyses menées lors de la conception du projet indiquent que tous les principes et normes sociales et environnementales du PNUD sont déclenchés par des risques "modérés", “substantiels” ou "élevés" :

Table 2: Résumé des sauvegardes sociales et environnementales du PNUD déclenchées par le projet

|  |  |  |
| --- | --- | --- |
| **Principes et normes** | **Classement** | **Justification** |
| Principe 1 :  Droits de l'homme | substantiel | Le soutien du projet aux activités agricoles et aux pâturages pourrait avoir un impact négatif sur les tensions sociales existantes dans la région entre les utilisateurs des terres. Ces tensions pourraient également accroître les violentes altercations qui ont eu lieu ces dernières années, et cela pourrait affecter la répartition des bénéfices entre les bénéficiaires, au détriment des femmes et des peuples autochtones. |
| Principe 2 :  L'égalité des sexes et l'autonomisation des femmes | substantiel | Les femmes pourraient être exclues du soutien prévu pour les agriculteurs et les organisations agricoles ainsi que dans les institutions nationales et régionales. Cela pourrait reproduire par inadvertance les discriminations existantes, notamment dans la conception des politiques agricoles et de gestion des ressources naturelles. |
| Principe 3 :  Durabilité et résilience | Modéré | Bien que le projet vise à rendre les pratiques agricoles plus durables en améliorant leur adaptation au changement climatique et en promouvant les technologies de l'agriculture intelligente vis-à-vis du climat, l'exploitation de nouvelles cultures et l'augmentation de la production agricole déclenchée par le projet pourraient causer de graves dommages aux habitats naturels, y compris dans les deux biosphères présentes dans la zone du projet. La réhabilitation des couloirs de pâturage pourrait également nuire aux écosystèmes de la biodiversité en provoquant davantage d'érosion et de glissements de terrain. |
| Principe 4 :  Responsabilité | substantiel | Les responsables de ce projet peuvent avoir de faibles capacités pour (1) mesurer et gérer l'impact du changement climatique sur l'agriculture, (2) s'engager en profondeur avec tous les membres des communautés, et (3) faciliter et surveiller un mécanisme de gestion des plaintes. |
| Norme 1 :  Conservation de la biodiversité et gestion durable des ressources naturelles | substantiel | L'amélioration de la productivité agricole et l'accès des communautés locales au financement des cultures et des petites entreprises pourraient conduire, à long terme, à un développement plus local impliquant une plus grande application de pesticides, des dommages aux écosystèmes et/ou la déforestation. Cela pourrait aggraver la vulnérabilité actuelle des deux réserves forestières. |
| Norme 2 :  Changement climatique et risques de catastrophes | substantiel | Le changement climatique, qui se manifeste principalement par des tempêtes plus violentes pendant la saison des pluies, a généré d'importants changements dans le calendrier saisonnier, une augmentation des vagues de chaleur, des perturbations dans les pratiques agricoles et parmi les populations de poissons, et a affecté les capacités de stockage - ce qui peut accroître les conflits et les tensions sociales, et entraîner la perte des bénéfices des organisations d'agriculteurs. |
| Norme 3 : Santé, sûreté et sécurité de la communauté | Modéré | Les activités du projet pourraient entraîner des accidents du travail impliquant des travailleurs locaux lors de la construction de réservoirs d'eau, de systèmes d'irrigation, etc. Le projet peut également agir comme un vecteur de maladie : le stockage d'eau à petite échelle peut potentiellement fournir des zones de reproduction pour les moustiques qui représentent une nuisance et augmenter la prévalence de la malaria ou d'autres maladies importantes transmises par les moustiques, tandis que les voyages du personnel et des consultants dans la région peuvent augmenter le risque de propagation de la COVID-19. |
| Norme 6 : Peuples autochtones | substantiel | Il existe un risque que la discrimination à l'encontre des peuples autochtones puisse être reproduite au sein du projet (par exemple, l'accès aux packages et aux formations du CSA), car les peuples autochtones ont fait part de leurs inquiétudes, parfois de manière violente, quant à leur faible représentation et participation aux affaires politiques et publiques. |
| Norme 7 : Travail et conditions de travail | substantiel | La plupart du secteur agricole dans la zone du projet est informel et ne respecte pas les normes de travail nationales et internationales. Il existe donc un risque de violation des droits des travailleurs au sein des coopératives soutenues par le projet, lié notamment à la présence de migrants et au trafic d'êtres humains dans la région. En outre, le travail forcé et le travail des enfants ont été signalés dans le pays et pourraient être présents dans les organisations d'agriculteurs soutenues par le projet. |
| Norme 8 : Prévention de la pollution et utilisation efficace des ressources | substantiel | Ce risque couvre le rejet accidentel de produits ou de déchets des unités de production agricole, l'utilisation incontrôlée d'herbicides et d'engrais chimiques qui peuvent contaminer les sols et les eaux de surface s'ils sont utilisés sans protocoles appropriés, ainsi que l'introduction potentielle de nouvelles espèces se révélant être des prédateurs. |

Ce FSME définit les principes, les règles, les lignes directrices et les procédures de sélection, d'évaluation et de gestion des impacts sociaux et environnementaux potentiels des prochaines interventions du projet. Il vise à traiter efficacement les risques par une application rigoureuse des mesures environnementales et sociales, y compris des plans d'action assortis de délais pour éviter et, lorsque cela n'est pas possible, réduire, atténuer et gérer les impacts négatifs liés aux activités ou aux politiques/réglementations futures. Elle précise les politiques et les exigences sociales et environnementales les plus susceptibles d'être appliquées, ainsi que la manière dont ces exigences seront satisfaites par des procédures de sélection, d'évaluation, d'approbation, d'atténuation, de surveillance et de notification des risques et des impacts sociaux et environnementaux associés aux activités à soutenir. Elle garantit que les activités sont examinées et évaluées et que des mesures de gestion appropriées sont en place avant leur mise en œuvre.

Les procédures ont été conçues pour assurer la conformité avec les cadres politiques sociaux et environnementaux pertinents, y compris le cadre juridique, politique et institutionnel de la Guinée, les normes sociales et environnementales du PNUD et les garanties du FEM.

Le coût total estimé pour la mise en œuvre des mesures de sauvegarde environnementales et sociales recommandées dans le cadre de ce ESMF (Environmental and Social Management Framework, ou Cadre de Gestion Environnementale et Sociale) s'élève à 70 000 USD.

Table 3: Résumé des éléments environnementaux et sociaux requis

|  |  |  |
| --- | --- | --- |
| **Elements de sauvegardes** | **Description** | **Activités concernées** |
| Evaluation Stratégique Environnementale et Sociale (SESA) | L'EESS fait référence à une série d'approches analytiques et participatives qui visent à intégrer les considérations sociales et environnementales dans les politiques, plans et programmes (PPP) et à évaluer leurs liens avec les considérations économiques. Les risques et impacts négatifs potentiels associés à ces activités sont systématiquement examinés. L'EESS évalue l'effet des changements de politique sur une base large et intersectorielle dans le but de rendre plus durable la prise de décision en matière de développement "en amont". Les EESS examinent généralement des questions de durabilité plus larges que les évaluations au niveau du projet, mais il doit y avoir des liens entre les deux : les informations et les stratégies déterminées dans une EESS doivent descendre en cascade à travers les niveaux de décision. Elle sera menée conjointement avec l'ESIA. | Activité 1.5.1 : Reproduction de la plateforme CSA pour la diffusion des bonnes pratiques dans d'autres régions.  Activité 1.5.2 : Production de fiches pratiques thématiques pour les bonnes pratiques CSA  Activité 1.5.3 : Mise en place d'une plateforme en ligne avec les lignes directrices pour le développement d'un paquet CSA et d'une "boîte à outils".  Activité 1.5.5 : Développement d'une stratégie de réplication et d'un plan d'action pour la mise à l'échelle et la généralisation des pratiques CSA  Activité 1.5.6 : Organiser des ateliers de consultation nationale sur le changement climatique et l'adaptation en Guinée.  Activité 2.1.1 : Sensibiliser les institutions financières à la CSA  Activité 2.1.2 : Formaliser l'engagement des institutions financières  Activité 2.1.3 : Recruter un cabinet d'assistance technique en finance rurale ou une ONG ayant une expérience dans le développement de nouveaux produits financiers  Activité 2.1.4 : Développer des produits financiers pour le financement du CSA  Activité 2.1.5 : Soutenir la soumission de projets de financement climatique (dirigés par des IMF) pour l'accès aux ressources financières pour la garantie partielle de crédit et/ou la ligne de crédit pour les investissements CSA.  Activité 2.2.1 : Recrutement d'une entreprise ou d'une ONG spécialisée dans l'entrepreneuriat rural et ayant une bonne connaissance du financement CSA.  Activité 2.2.2 : Formation de formateurs (ToT) sur le CSA  Activité 2.2.3 : Mise à l'échelle de la formation sur les modèles d'affaires et les investissements d'adaptation à la CSA  Activité 2.2.4 : Former le personnel des institutions de microfinance, des banques locales et des ONG spécialisées aux techniques d'évaluation des demandes de prêts pour des investissements en faveur de la CSA.  Activité 2.3.1 : Formation à l'éducation financière pour 1 500 petites entreprises, agriculteurs et ménages, avec des ateliers ciblés sur le renforcement des capacités des femmes, adaptés à leurs besoins et à leurs intérêts.  Activité 2.3.2 : Ateliers pour les rencontres entre les institutions financières et les agriculteurs  Activité 2.3.3 : Préparation et soumission de demandes de financement de technologies agro-sylvo-pastorales intelligentes du point de vue climatique.  Activité 2.3.4 : Suivi du financement des bénéficiaires  Activité 2.4.1 : Formation sur les questions de changement climatique pour les communautés et autorités locales  Activité 2.4.2 : Intégration de la CSA et des questions climatiques dans les dépenses éligibles des fonds communautaires de la NAFAC  Activité 2.4.3 : Assistance à la préparation et à la soumission des demandes de financement  Activité 3.5.1 (à mettre en œuvre avec l'activité 1.5.2) : Développement d'une stratégie de réplication et d'un plan d'action pour intensifier et généraliser l'utilisation des informations climatiques.  Activité 3.5.2 (identique à l'activité 1.5.6) : Organisation d'ateliers de consultation nationale sur le changement climatique et l'adaptation en Guinée |
| Évaluation des incidences environnementales et sociales (ESIA) | Conformément à la politique du PNUD en matière de SES, les projets à haut risque nécessitent des formes d'évaluation complètes. Une ESIA évalue l'ensemble des impacts sociaux et environnementaux, y compris l'analyse des alternatives. Elle sera élaborée et réalisée par des experts indépendants de manière participative avec les parties prenantes pendant la phase de démarrage. L'ESIA permettra d'identifier et d'évaluer les impacts sociaux et environnementaux du projet et de sa zone d'influence ; d'évaluer les alternatives ; et de concevoir des mesures appropriées d'évitement, d'atténuation, de gestion et de suivi. Elle abordera toutes les questions pertinentes liées aux principes généraux des sauvegardes du PNUD et aux normes au niveau du projet. Elle sera menée au cours des six premiers mois de la mise en œuvre du projet et abordera pleinement les risques et les activités. | Activité 1.5.1 : Reproduction de la plateforme CSA pour la diffusion des bonnes pratiques dans d'autres régions.  Activité 1.5.2 : Production de fiches pratiques thématiques pour les bonnes pratiques CSA  Activité 1.5.3 : Mise en place d'une plateforme en ligne avec les lignes directrices pour le développement d'un paquet CSA et d'une "boîte à outils".  Activité 1.5.5 : Développement d'une stratégie de réplication et d'un plan d'action pour la mise à l'échelle et la généralisation des pratiques CSA  Activité 1.5.6 : Organiser des ateliers de consultation nationale sur le changement climatique et l'adaptation en Guinée.  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Activité 3.5.2 (identique à l'activité 1.5.6) : Organisation d'ateliers de consultation nationale sur le changement climatique et l'adaptation en Guinée  Activité 1.1.1 : Mise en place d'une plateforme d'échange et de diffusion des bonnes pratiques en matière de CSA  Activité 1.1.4 : Mise en place de champs-écoles et formations pour 210 agriculteurs chefs de file  Activité 1.1.5 : Diffusion des pratiques CSA dans toutes les communes de la Guinée Forestière  Activité 1.2.1 : Mise en œuvre directe de pratiques durables liées à la forêt sur 5 000 ha (pratiques de gestion des feux, plantation d'arbres et agroforesterie) par le MEEF.  Activité 1.2.2 : Former au moins 5 000 femmes pour la mise en place et la promotion de systèmes de maraîchage innovants et résilients.  Activité 1.2.3 : Appel à projets et sélection d'opérateurs mettant en œuvre des pratiques de CSA.  Activité 1.2.4 : Appui technique aux opérateurs par le recrutement d'une expertise internationale.  Activité 1.3.1 : Former les paysans relais pour qu'ils puissent organiser efficacement des formations, partager des informations climatiques...  Activité 1.3.2 : Mettre en place un système de service pour les agriculteurs pour la location de matériel et l'accès au petit crédit  Activité 1.3.3 : Soutenir la distribution de semences résilientes produites par IRAG  Activité 1.4.1 (identique à l'activité 3.4.1) : Constituer le groupe de travail (LDO, SPD, OSC et communes) et recruter les consultants chargés de l'appui.  Activité 1.4.2 : Organiser des consultations pour identifier les options pertinentes d'adaptation/investissement de la CSA au niveau communautaire.  Activité 1.4.3 : Classer par ordre de priorité les interventions CSA à entreprendre au niveau communautaire, et estimer les coûts des interventions sélectionnées et les répartir sur le plan d'investissement quinquennal.  Activité 1.5.4 : Développement d'un programme de formation pour le renforcement des capacités individuelles en matière de CSA.  Activité 1.5.7 : Identifier les parcelles pilotes qui serviront de support à la stratégie de réplication.  Activité 1.6.1 : Mise en place du système de suivi-évaluation, intégrant les objectifs de genre.  Activité 1.6.2 : Formation de l'UGP sur la planification et la mise en œuvre des projets intégrant le genre.  Activité 3.1.1 : mettre en place un comité de pilotage de cette étude et le former à la méthode d'analyse de la vulnérabilité et des risques climatiques. Cette activité aboutira à la production de TdRs pour l'étude.  Activité 3.1.2 : Elaborer l'étude sur les risques et les prévisions climatiques.  Activité 3.1.3 : Organiser au moins 8 ateliers de réflexion sur le développement d'une agriculture résiliente à partir des résultats de l'étude.  Activité 3.2.1 : évaluer les besoins spécifiques de renforcement des capacités  Activité 3.2.2 : créer un support de formation pour les acteurs locaux  Activité 3.2.3 : organiser des ateliers de formation  Activité 3.3.1 : Analyser les besoins des utilisateurs en matière de produits et services climatiques  Activité 3.1.2 : Elaborer l'étude sur les risques et les prévisions climatiques.  Activité 3.1.3 : Organiser au moins 8 ateliers de réflexion sur le développement d'une agriculture résiliente sur la base des résultats de l'étude.  Activité 3.2.1 : évaluer les besoins spécifiques de renforcement des capacités  Activité 3.2.2 : créer un support de formation pour les acteurs locaux  Activité 3.2.3 : organiser des ateliers de formation  Activité 3.3.1 : Analyser les besoins des utilisateurs en matière de produits et services climatiques  Activité 3.3.2 : Elaborer un bulletin agro-météorologique sous les formes les plus appropriées  Activité 3.3.3 : Evaluer la pertinence et l'utilité du bulletin agrométéorologique et l'améliorer.  Activité 3.4.1 : Constituer le groupe de travail (LDO, SPD, OSC et communes) et recruter le consultant chargé de l'encadrement.  Activité 3.4.2 : Identifier et hiérarchiser les mesures d'adaptation (y compris les connaissances locales) en tenant compte des besoins et intérêts potentiellement différents des hommes et des femmes.  Activité 3.4.3 : Intégrer les mesures d'adaptation dans les 8 PDL (y compris le système MRV) et valider les PDL modifiés par les municipalités concernées. |
| Plans de gestion environnementale et sociale (PGES) et plans de gestion associés | Un des principaux résultats de l'ESIA est un PGES, préparé dans les six premiers mois de la mise en œuvre du projet, pour affiner l'identification des risques et les stratégies d'atténuation, ainsi que pour établir un système de suivi de ces risques. Sur la base des résultats, les plans de gestion requis (par exemple, le plan pour les peuples autochtones, le plan d'action pour la biodiversité) seront élaborés et mis en œuvre comme il convient. Ces plans feront partie intégrante de l'ESMP et fourniront un contexte et des mesures plus détaillées pour les risques les plus importants :  o Plan d'action pour les moyens de subsistance (LAP)  o Plan d'action pour la réinstallation (RAP)  o Plan pour les peuples indigènes (IPP)  o Plan d'action en faveur de la biodiversité (BAP)  o Plan de santé et de sécurité (HSP) | L'ensemble des activités mentionnées ci-dessus (pour ESIA) |
| Études techniques et de faisabilité | Les technologies de l'agriculture intelligente face au climat (AIC) proposées dans le projet et définies sur base d’analyses et de consultations spécifiques au contexte feront l'objet d'études techniques et de faisabilité préparées conformément aux exigences et aux directives du PNUD en matière de SES afin d'être examinés et gérés de manière appropriée. | Activité 1.2.1 : Mise en œuvre directe de pratiques durables liées à la forêt sur 5 000 ha (pratiques de gestion des feux, plantation d'arbres et agroforesterie) par le MEEF.  Activité 1.2.3 : Appel à projets et sélection d'opérateurs mettant en œuvre des pratiques de CSA.  Activité 1.3.3 : Appuyer la distribution de semences résilientes produites par l'IRAG.  Activité 1.4.3 : Hiérarchiser les interventions CSA à entreprendre au niveau communautaire et estimer les coûts des interventions retenues et les répartir sur le plan d'investissement quinquennal.  Activité 3.4.2 : Identifier et hiérarchiser les mesures d'adaptation (y compris les connaissances locales) en tenant compte des besoins et intérêts potentiellement différents des hommes et des femmes. |
| Mise en œuvre d'un mécanisme de gestion des plaintes | Les détails complets du mécanisme de gestion des risques seront convenus au cours de la phase d'évaluation de l'impact environnemental et le projet établira un mécanisme de gestion des risques au niveau du projet dès le début de la mise en œuvre. Les parties prenantes intéressées peuvent à tout moment soumettre un grief au Bureau de gestion du projet, aux parties responsables, au PNUD ou au FEM. | L'ensemble des activités |
| Mise en œuvre du plan d'action genre | Un plan d'action pour l'égalité des sexes a été élaboré durant la phase de conception du projet. Il guidera toutes les actions relatives à la mise en œuvre du SES et à l'intégration de la dimension de genre. Il propose des activités spécifiques, allant du renforcement des capacités à des activités de consultation spécifiques, permettant à toutes les femmes de s'engager pleinement dans le projet et les processus décisionnels dès le début. | L'ensemble des activités |
| Mise en œuvre du plan d'engagement des parties prenantes | Un plan d'engagement des parties prenantes a été élaboré durant la phase de conception du projet. Il guidera toutes les actions relatives à la mise en œuvre des sauvegardes du PNUD. Il sera complété par le Plan Peuples Autochtones et le protocole FPIC associé, qui sera élaboré avec les communautés locales et les peuples autochtones afin de permettre aux communautés d'obtenir des informations détaillées sur le projet et les éventuelles conséquences positives et négatives qui y sont associées. Elles seront encouragées et auront le temps de réfléchir explicitement à ces informations afin de pouvoir donner leur consentement libre, préalable et informé (CLIP). Le protocole du CLIP sera ensuite appliqué à chaque activité du projet, car les communautés seront autorisées à donner leur consentement à une partie d'entre elles, à demander des modifications ou à retirer leur consentement. | L'ensemble des activités |

La gestion des risques environnementaux et sociaux du projet sera assurée à trois niveaux :

(1) phase préparatoire dans les six premiers mois du projet, pendant que l'UGP établit des relations de confiance avec les parties prenantes du projet et définit plus précisément les interventions sur le terrain (avant le début de toute activité susceptible d'avoir des impacts sociaux ou environnementaux négatifs, par le biais des mesures SESA/ESIA/ESMP) ;

(2) la mise en œuvre (lors de la mise en place desdites activités), par la mise en œuvre des mesures du PGES et des plans associés ; les plans de gestion sont ici conçus comme des sections du PGES qui fournissent un contexte détaillé et des étapes d'opérationnalisation des mesures traitant des risques les plus importants ;

(3) les étapes opérationnelles (par le biais du suivi de l'ESMF lors de la sélection des activités d'entreprenariat vert par exemple, ainsi que du suivi et de l'évaluation des mesures d'atténuation conformément à l'ESMP et aux plans de gestion associés).

Afin de garantir la mise en place de mesures de protection appropriées, une évaluation environnementale et sociale stratégique (SESA) et une évaluation de l'impact environnemental et social (ESIA) seront entreprises et un plan de gestion environnementale et sociale (ESMP) sera préparé au cours des six premiers mois de la mise en œuvre du projet, afin d'affiner l'identification des risques et les stratégies d'atténuation, ainsi que d'établir un système de suivi de ces risques. Sur la base des conclusions de l'ESIA et dans le cadre du PGES (le cas échéant), les plans de gestion spécifiques requis (plan pour les populations autochtones, plan d'action pour la biodiversité, plan de santé et de sécurité) seront élaborés et mis en œuvre. Le projet veillera à ce que le CLIP soit respecté et ne lancera aucune activité susceptible d'avoir des effets sociaux ou environnementaux négatifs tant que l'EESS, l'ESIA et le PGES n'auront pas été réalisés, divulgués et discutés avec les parties prenantes, puis mis en place.

Le programme a été conçu à la suite de consultations minutieuses avec toutes les parties prenantes et laisse de la place pour définir plus précisément les activités sur la base de futures évaluations qui seront menées au niveau local. Le contenu des paquets de l'agriculture intelligente face au climat (Output 2.1) nécessite des consultations et des évaluations supplémentaires afin d'être conçu de manière spécifique au contexte. Par conséquent, les paquets seront soumis à un processus de sélection spécifique, en utilisant le SESP (Social and Environmental Screening Procedure, ou Procédure d’analyse des risques sociaux et environnementaux) du PNUD, comme le prescrit le présent PGES du projet. L'unité de gestion du projet est responsable de la mise en œuvre des procédures de sélection, de l'aide à la définition de la portée, de l'évaluation et de l'approbation des interventions proposées. Le gestionnaire de projet, après avoir pris en compte les conseils du personnel de l'UGP chargé des garanties, du Comité de pilotage du projet et/ou du CO du PNUD, sera ensuite chargé d'évaluer si les technologies promues dans le cadre des paquets CSA nécessitent des études techniques et de faisabilité avant d'être acceptées et financées.

La montée en puissance du projet (résultats 1.4, 1.5 et 3.5) devra être conditionnée à une révision à mi-parcours du SESP, intégrant (1) les risques spécifiques des paquets AIC tels qu'ils auront été détaillés ; (2) une vision plus large des risques potentiels associés à la mise en œuvre desdits paquets à l'échelle nationale, étant donné que le SESP actuel a été mené en ayant uniquement à l'esprit la Guinée forestière et avant que des paquets AIC spécifiques aient été identifiés.

La mise en œuvre des activités du projet se fera sous la supervision d'un conseil de projet. L'unité de gestion du projet (UGP) planifiera et supervisera l'exécution des activités du projet, et évaluera et rendra compte de leurs progrès au Conseil et aux autres parties prenantes. Le mandat du Conseil et de l'UGP comprendra des responsabilités spécifiques liées aux garanties, notamment la garantie d'un mécanisme de gestion des risques de l'entreprise opérationnel, ainsi que l'élaboration, la mise en œuvre et le suivi du PGES et de tout plan de gestion environnemental et/ou social associé. Le projet renforcera les capacités de tous les acteurs concernés pour la mise en œuvre et le suivi des plans et mesures de sauvegarde.

# Abbreviations and Acronyms

# Project Description

The impacts of climate change in the Forested Guinea will disturb rainfall patterns, increase stormy rains, and increase the recurrence and intensity of flash floods and droughts. According to the National Strategy on Climate Change (SNCC 2019) and the recent climate forecasts, these climate trends will intensify in the coming years and substantially affect surface and groundwater resources, disturb agriculture seasons, spread crop diseases and pests, and reduce biodiversity. This will consequently negatively impact food security and social stability.

The long-term strategy for sustainable and climate resilient regional development will be to improve the livelihoods of the most vulnerable communities. To this end, the project is based on the climate resilience potential of the agro-sylvo-pastoral practices. The project objective is therefore to reduce the vulnerability of communities in Forested Guinea to the additional risks posed by climate change through the adoption of climate smart agro-sylvo-pastoral strategies.

According to that approach the expected results are:

* Suitable climate smart agricultural (CSA) practices are identified and promoted
* The vulnerable communities have an access to formal financial services to implement CSA practices
* Climate information products and services for the development of CSA are available for the communities and institutions.
* Gender is mainstreamed and Monitoring and Knowledge Management supports replication

The project will promote Climate Smart Agriculture models for the improvement of the smallholders adaptation capacities facing climate change. The expected result is to reduce the smallholders vulnerabilities, and improve their living conditions. This will be achieved through implementation of four components that address the key barriers identified for effective climate adaptation and vulnerability reduction.

Table 4: Components and activities

|  |  |
| --- | --- |
| **Components** | **Typology of activity** |
| 1. Frameworks for promoting a Climate Smart Agricultural Model | Capacity-building  Assessment&Consultations  Knowledge sharing  Sustainable Forest Management  Livelihood support |
| 1. Financing for the adoption of climate-smart agricultural practices. | Awareness raising  Development of financial products  Capacity-building  Monitoring  Strategy |
| 1. Climate information & mainstreaming adaptation into local practices. | Assessment  Capacity-building  Local development policy  National Policy |

This ESMF sets out the principles, rules, guidelines, and procedures for screening, assessing, and managing the potential social and environmental impacts of forthcoming interventions of the project. It aims to effectively address risks through thorough application of the environmental and social measures, including time-bound action plans for avoiding, and where avoidance is not possible, reducing, mitigating, and managing adverse impacts related to the future activities or policies/regulations. It specifies the most likely applicable social and environmental policies and requirements, as well as how those requirements will be met through procedures for the screening, assessment, approval, mitigation, monitoring, and reporting of social and environmental risks and impacts associated with the activities to be supported. It ensures that the activities are screened and assessed, and that appropriate management measures are in place prior to implementation.

The procedures have been designed to ensure compliance with relevant social and environmental policy frameworks, including Guinea’s legal, policy, and institutional framework, UNDP’s Social and Environmental Standards, and GEF safeguards. Environmental and social risk management of the project will be provided at three levels:

(1) preparatory phase in the first six months of the project, while the PMU is building trust relationships with project stakeholders and further defining field interventions (before any activities that may cause adverse social or environmental impacts start, through SESA/ESIA/ESMP measures);

(2) implementation (when putting in place the said activities), through the implementation of the ESMP and associated plans measures ; the management plans are here conceived as sections of the ESMP which provide detailed background and operationalisation steps to the measures addressing the most substantial risks;

(3) operating stages (through ESMF monitoring when selecting the green entrepreneurship activities for instance, as well as mitigation measures M&E according to ESMP and associated management plans).

# Potential Social and Environmental Impacts

## Expected positive impacts

**Outcome 1: Climate resilience of vulnerable communities (at least 14,000 farming households) of Forested Guinea area achieved by the introduction of Climate Smart Agriculture (CSA) practices on at least 10,000 ha of agro-sylvo-pastoral lands.**

The long-term strategy for sustainable and climate resilient regional development will be to improve the livelihoods of the most vulnerable communities that are the most threatened by climate change. Therefore, climate smart agro-sylvo-pastoral practices need to be promoted by agricultural technicians and adopted by farmers to make existing systems more resilient. As part of the implementation of Component 1, the intervention provides for the establishment of a sharing platform for CSA that will guide the implementation and expansion of climate smart agriculture in the 8 targeted municipalities and then in the other parts of the Forested Guinea.

Climate Smart Agriculture (CSA) encompasses a variety of context-specific and innovative approaches that do not need to be technologically sophisticated or even electronic to be "innovative". Rather, CSA builds on a technical base that already exists to a large extent and on a range of fundamental agricultural approaches that include sustainable agriculture, sustainable intensification and conservation agriculture. Moreover, the emphasis of CSA on food security, adaptation and mitigation (to the extent possible) is always context-specific, and real solutions therefore also need to be tested on the basis of affordability, community ownership, gender division of productive and reproductive labour, general conditions on the ground and potential for scaling up. In the case of the Forested Guinea, the diagnosis carried out during the PPG showed that these solutions revolve around the following points: (i) Soil management, (ii) Crop management, (iii) Livestock management, (iv) Agroforestry, (v) Aquaculture.

CSA technology packages will also be produced to structure the project's support to communities, following a landscape management approach including: 1) sustainable land and water management strategies; 2) the use of resistant seeds; 3) the integration of adapted climate information in agricultural decision-making processes; 4) agroforestry strategies combining crops, endogenous tree species and animal husbandry; 5) the sustainable management of pastures and other innovative agro-sylvo-pastoral practices as part of an ecosystem stabilisation approach.

To facilitate the adoption and implementation of climate-smart agricultural practices an input supply system will be developed, ensuring the timely availability of quality inputs at affordable prices.

**Outcome 2: Access of communities’ members, CBOs, CSOs, and local authorities to adaptation finance is enhanced in Forested Guinea.**

The project will support and organize the expansion of climate change financing in Forested Guinea. Component 2 aims to support access to climate finance through, among other things, the following elements:

* Strengthen the capacity of financial intermediaries
* Support implementing partners to develop financial solutions that promote CSA adoption
* Address the bottlenecks (supply, demand and accessibility) that limit the flow of agricultural credit in Forested Guinea
* Raise awareness on CSA financial products and train key stakeholders

In order to enable microfinance partner organizations to bring climate financial solutions to smallholders, it is proposed to support at least 5 MFIs (or a local bank/specialized NGO) which cover the 5 targeted prefectures in Forested Guinea. Component 2 will notably allow to:

* Train a total of up to 5,000 beneficiaries (at least 50% of whom are women) and members of civil society organizations on how to develop bankable credit applications for CSA investments.
* Support at least 1,500 farmers, small businesses and households (with a positive bias of at least 60% for the number of female beneficiaries who will also be from different ethnic backgrounds) to develop credit applications and access financing that will enable them to invest in climate-smart agro-sylvo-pastoral technologies.
* Fund the training and recruitment of CSA experts who will assist Component 2 implementing partners to identify climate-smart investments needed to bring greater resilience to borrowers' activities (and reduce the risk of non-repayment).

Component 2 will also aim at strengthening the institutional, regulatory and policy frameworks needed to improve access to climate finance. This will involve support for deconcentrated and decentralized authorities to develop financing mechanisms for adaptation to climate change in their areas of competence and within their territories. The objective at national authorities’ level is to plan priority investments aimed at strengthening resilience to climate change, both at the level of communities and individuals.

**Outcome 3: Climate information products and services for the development of CSA are developed and available for the communities and institutions.**

The project will produce a climate risk study (result 3.1) specific to the Forested Guinea and sufficiently precise and local for stakeholders to take ownership of it. It will provide input for local short- and medium-term planning, but also for reflection on long-term agricultural development (evolution of agro-ecological zones, production basins, etc.). This component will also make it possible to develop the capacities of local stakeholders to use this climate information (result 3.2), in particular to integrate climate products and services into the agricultural development planning process. To overcome the barrier of accessibility of climate products at the local level, the project will produce adapted agro-meteorological bulletins (result 3.3) whose usefulness will be measured among farmers. In this third component, LDCF resources are used to support local authorities in integrating priority adaptation strategies and measures into LDPs (result 3.4).

## Main Principles and Review of the SESP

*For more information, see the Social and Environmental Screening Procedure report.*

In accordance with UNDP SES policy, the Social and Environmental Screening Procedure (SESP) has been applied during the project development phase. In accordance with UNDP SES policy, a SES principle or standard is “triggered” when a potential risk is identified and assessed as having either a “moderate” or “high” risk rating based on its probability of occurrence and extent of impact. Risks that are assessed as “low” do not trigger the related principle or standard.

A summary of the risk significance under each SES principle and standard, and the project-level safeguard standards triggered by each project are shown in Table 5.

Table 5: Risk rating according to UNDP Environmental and Social Safeguards

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Principles** | |  |  |  |
| Human Rights |  |  | Low |  |
| Gender Equality and Women’s Empowerment |  |  | Moderate |  |
| Environmental Sustainability |  |  | Substantial |  |
| Accountability |  |  | High |  |
| **Standards** | |  | Risk not triggered |  |
| Biodiversity Conservation and Sustainable Natural Resource Management |  |  |  |  |
| Climate Change Mitigation & Adaptation |  |  |  |  |
| Community Health, Safety |  |  |  |  |
| Cultural Heritage |  |  |  |  |
| Displacement and Resettlement |  |  |  |  |
| Indigenous Peoples |  |  |  |  |
| Labour and Working Conditions |  |  |  |  |
| Pollution Prevention and Resource Efficiency |  |  |  |  |

## Impacts per Typology of Activities

Table 6: Summary of main potential social and environmental risks according to the SESP

| **Risks** | **Significance** | **UNDP safeguards principles and standards** | **Output** |
| --- | --- | --- | --- |
| **Risk 1**  **The project’s support to agricultural and pasture activities could lead to adverse impact on the existing social tensions between land users within the different communities of the N’Zérékoré and Beyla prefectures. These tensions could also increase violent altercations which have arisen over the last years, and it may affect the distribution of benefits among beneficiaries, to the detriment of women and indigenous peoples.** | ***SUBSTANTIAL*** | *Human Rights*  *P1, P3, P4, P5, P6*  *Accountability*  *P13*  *Displacement and Resettlement*  *5.2, 5.4*  *Indigenous peoples*  *6.1, 6.2, 6.3, 6.5, 6.7, 6.9* | **Output 1.1:** A CSA development platform (involving government authorities, farmers, private sector, research entities) is formed to guide the formulation and the implementation of CSA investments and support their implementation  **Output 2.1:** Microfinance institutions, local Banks and specialized NGOs are supported to develop and submit one climate finance project for accessing financial resources for partial credit guarantee and/or line of credit for CSA investments  **Output 3.3:** Tailored Climate information products and services are produced and disseminated to the end-users  **Output 3.4:** Local Development Plans of the targeted municipalities include climatic data on potential impacts, hazards and risks, and incorporate in the planning climate change adaptation measures that are discussed with the full participation of key stakeholders, including vulnerable beneficiary groups. |
| **Risk 2**  **The duty bearers of this project, the Minister of Agriculture and of Environment, but also local authorities and farmers’ organizations, have low capacities to (1) measure and manage the impact of climate change on agriculture, (2) to engage with all members of the communities in depth, and (3) to facilitate and monitor a grievance redress mechanism (GRM)** | ***SUBSTANTIAL*** | *Human rights*  *P7*  *Accountability*  *P13, P14* | **Output 2.4:** An institutional and a policy frameworks are developed to enable local communities and authorities accessing finance for CSA and other adaptive practices in the sector of agriculture.  **Output 3.2:** A training program on how to use climate information products and services delivered to the local authorities, NGOs / CSOs, and farming communities |
| **Risk 3**  **As women are traditionally excluded from decision-making processes, they could be excluded from the support planned for farmers and farmers organizations as well as in the national and regional institutions. This could inadvertently reproduce existing discriminations and even gender-based violence against women in project implementation. Conflict dynamics among communities could also lead to the exclusion of certain women from the support provided to women’s groups.** | ***SUBSTANTIAL*** | *Gender Equality and Women’s Empowerment*  *P8, P10, P11* | **Output 1.3:** A sustainable CSA inputs supply system established in the targeted communities  **Output 2.1:** Microfinance institutions, local Banks and specialized NGOs are supported to develop and submit one climate finance project for accessing financial resources for partial credit guarantee and/or line of credit for CSA investments  **Output 2.2:** Training packages on adaptation business models and investments delivered to at least 5,000 people, and at least 100 staff of Microfinance institutions, local banks and specialized NGOs on how to assess CSAs investments credit requests  **Output 2.3:** Finance for climate smart agro-sylvo-pastoral technologies extended to up to 1,500 small businesses, farmers and households  **Output 3.3:** Tailored Climate information products and services are produced and disseminated to the end-users |
| **Risk 4**  **Even though the project aims at making agricultural practices more sustainable by improving their adaptation to climate change and by promoting Climate-Smart Agriculture technologies, the exploitation of new crops and the increased agricultural production triggered by the project could cause serious damage to the natural habitats, including within the two biospheres present in the project area. This risk covers accidental release of products or waste from agricultural production units, uncontrolled use of herbicides and chemical fertilizers which can contaminate soils and surface water if used without proper protocols, as well as the potential introduction of new species revealing to be predators. Rehabilitation of pasture corridors could also cause harm to biodiverse ecosystems by triggering more erosion and landslides.** | **MODERATE** | *1.1, 1.2, 1.4, 1.8, 1.10, 1.11, 8.1, 8.2, 8.5, 8.6* | **Output 1.2:** Context-specific CSA technology packages are implemented in sylvo-agropastoral landscapes covering an area of at least 10,000 ha and benefitting to 14,000 households  **Output 3.1:** Climate risk informed agro-ecological zoning of the different productive landscape of Forested Guinea developed  **Output 3.5:** Replication Strategy and Action Plan developed at a national scale |
| **Risk 5**  **Improving agricultural productivity and enabling local communities to access finance for crops and small businesses could lead, in the long term, to more local development involving larger application of pesticide, damages to the ecosystems, and/or to deforestation. These could add to the current vulnerability of both Forest Reserves.** | ***SUBSTANTIAL*** | *1.1, 1.2, 1.3, 1.4, 1.8, 1.10, 1.11,* | **Output 1.4:** A sliding 5-year investment plan for the scaling up of the CSA is developed and embedded into the local development plans of target municipalities  **Output 2.3:** Finance for climate smart agro-sylvo-pastoral technologies extended to up to 1,500 small businesses, farmers and households  **Output 1.5:** Knowledge platform and replication strategy  **Output 3.5:** Replication Strategy and Action Plan developed at a national scale |
| **Risk 6**  **Climate change, which manifests itself mainly through more violent storms during the rainy season, has generated major shifts in the seasonal calendar, increased heat waves, perturbations in agricultural practices and among the fish populations, and has affected storage capacities – this can increase conflicts and social tensions, and lead to the loss of benefits among farmers’ organizations.** | ***SUBSTANTIAL*** | *2.1, 2.2* | **Output 3.1:** Climate risk informed agro-ecological zoning of the different productive landscape of Forested Guinea developed |
| **Risk 7**  **The project is likely to generate an increase of GHG emissions at the local level due to (1) the expected increased agricultural production, on the short-term and especially on the long-term; (2) particular emphasis locally on rice production ; (3) potential deforestation due to development pressure** | ***LOW*** | *2.4* | **Output 1.4:** A sliding 5-year investment plan for the scaling up of the CSA is developed and embedded into the local development plans of target municipalities |
| **Risk 8**  **The project activities could lead to work-related accidents involving local workers during the construction of water reservoirs, irrigation systems, etc.** | ***MODERATE*** | *3.1* | **Output 1.2:** Context-specific CSA technology packages are implemented in sylvo-agropastoral landscapes covering an area of at least 10,000 ha and benefitting to 14,000 households |
| **Risk 9:**  **Most of the agricultural sector in the project area is informal and fails to comply with national and international labor standards. Hence there is a risk of violation of workers' rights within the cooperatives supported by the project, linked in particular to the presence of migrants and human trafficking in the area. In addition, forced labor and child labor have been reported in the country and could be present in the farmers’ organizations supported by the project.** | ***SUBSTANTIAL*** | *7.1, 7.3, 7.4, 7.5, 7.6* | **Output 1.2:** Context-specific CSA technology packages are implemented in sylvo-agropastoral landscapes covering an area of at least 10,000 ha and benefitting to 14,000 households  **Output 2.3:** Finance for climate smart agro-sylvo-pastoral technologies extended to up to 1,500 small businesses, farmers and households |
| **Risk 10**  **The project may act as a disease vector : small scale water storage may have potential to provide breeding areas for mosquitos which represent a nuisance and increase the prevalence of Malaria or other significant mosquito borne diseases, while travels of staff and consultants into the area may increase the risk of COVID-19 spread.** | ***MODERATE*** | *3.4* | **Output 1.2:** Context-specific CSA technology packages are implemented in sylvo-agropastoral landscapes covering an area of at least 10,000 ha and benefitting to 14,000 households |
| **Risk 11**  **There is a risk that discrimination against Indigenous Peoples could be reproduced within the project (e.g access to CSA packages and trainings), as Indigenous Peoples have raised concerns in a sometimes violent way over their weak representation and participation in political and public affairs.** | ***MODERATE*** | *4.3, 5.2, 5.4, 6.1, 6.2, 6.3, 6.4, 6.5, 6.7* | **Output 3.3:** Tailored Climate information products and services are produced and disseminated to the end-users  **Output 3.4:** Local Development Plans of the targeted municipalities include climatic data on potential impacts, hazards and risks, and incorporate in the planning climate change adaptation measures that are discussed with the full participation of key stakeholders, including vulnerable beneficiary groups.  **Output 1.5:** Knowledge platform and replication strategy  **Output 3.5:** Replication Strategy and Action Plan developed at a national scale |
| **Risk 12**  **Gender-Based Violence is a prominent issue in the area – by supporting local farmer groups, the project could reproduce existing forms of violence, while the support to women groups may exacerbate them if they create power struggles at the household or village level** | ***SUBSTANTIAL*** | *P12* | **Output 1.1:** A CSA development platform (involving government authorities, farmers, private sector, research entities) is formed to guide the formulation and the implementation of CSA investments and support their implementation  **Output 1.2:** Context-specific CSA technology packages are implemented in sylvo-agropastoral landscapes covering an area of at least 10,000 ha and benefitting to 14,000 households  **Output 2.3:** Finance for climate smart agro-sylvo-pastoral technologies extended to up to 1,500 small businesses, farmers and households  **Output 3.3:** Tailored Climate information products and services are produced and disseminated to the end-users  **Output 3.4:** Local Development Plans of the targeted municipalities include climatic data on potential impacts, hazards and risks, and incorporate in the planning climate change adaptation measures that are discussed with the full participation of key stakeholders, including vulnerable beneficiary groups. |

# Legal and Institutional Framework

## Relevant international Treaties and Conventions

|  |  |
| --- | --- |
| **Treaty description** | **Ratification** |
| International Covenant on Civil and Political Rights | 1978 |
| International Covenant on Economic, Social, and Cultural Rights | 1978 |
| African Charter on Human and Peoples’ Rights | 1982 |
| Convention Governing the Specific Aspects of Refugee Problems in Africa | 1978 |
| International Convention on the Elimination of All Forms of Racial Discrimination | 1977 |
| Convention against Torture and Other Cruel Inhuman or Degrading Treatment or Punishment | 1989 |
| Optional Protocol of the Convention against Torture | 1989 |
| Convention on the Elimination of All Forms of Discrimination against Women | 1982 |
| Convention on the Rights of the Child | 1990 |
| Optional Protocol to the Convention on the Rights of the Child on the involvement of children in armed conflict | 2016 |
| Optional Protocol to the Convention on the Rights of the Child on the sale of children child prostitution and child pornography | 2011 |

## National Policy and Legal Framework

**The Poverty Reduction Strategy (PRS)**

He PRS followed the synthesis of a series of strategy papers (National Human Development Program, Guinea Assistance Strategy and "Guinea, Vision 2010", Country Program for Guinea 2013-2017, European Union National Indicative Program 2014-2020), National Economic and Social Development Plan 2016-2020. The government periodically draws up and updates the poverty reduction strategy, involving all the social components of the nation.

The overall objective of the poverty reduction strategy for the electricity sector is to provide the population with energy that is accessible at lower cost to the greatest number of Guineans. The national poverty reduction strategy will be considered within the framework of the PAAEG sub-projects through the following actions:

* to open up urban and rural areas economically by making electricity essential for sustainable economic development;
* to fight poverty by giving urban and rural populations the means to increase their income and improve their living conditions.

**The policy of decentralization and deconcentration**

It was initiated in December 1985 (Ordinance No. 069). However, the fundamental text on decentralization, the "Code des Collectivités", was only adopted by the National Assembly on May 15, 2006. This code was revised in 2017 and describes the framework of decentralized territorial administration, which creates a new distribution of powers and resources between the central government and the decentralized local authorities (CLD), which are responsible for managing their affairs (Yansané, 2010).

The application of the decentralization and deconcentration policy has led to 38 urban communes and 304 rural communes (RCs) comprising 2,300 rural districts with very little access to electricity. It has been strengthened by the mobilization and organization of civil society, structured into national and foreign NGOs, cooperatives and groups. In addition, through the integration of planning processes at the level of rural communes and prefectures, decentralization has become an essential component of Guinean development policy and the establishment of participatory territorial governance. This policy will be considered within the framework of the project to improve access to electricity by proceeding with the participatory identification of sub-projects and by setting up a co-management mechanism with the Communes for the infrastructure that will be built.

**The Agricultural Development Policy Letter 2 (ADPL 2)**

It is the reference document for Guinea's agricultural and rural policy. One of the major objectives of LPDA 2 concerns the rational use and sustainable management of natural resources (soil, water and forests) as well as biodiversity.

Since there is agricultural land in the areas of intervention of the PAAEG, the PAAEG will have to take into account LPDA2 in the implementation of its sub-projects.

PAAEG is in harmony with the LPDA2 and its implementation will contribute to the adequacy between the LPDA2 and the energy sector development policy letter.

Indeed, PAAEG could promote the development of a dynamic private agricultural sector by strengthening the energy infrastructure, whose current weaknesses are a hindrance to the development of agricultural companies.

**The Declaration of Rural Land Policy (DPFMR)**

The DPFMR is an important framework for rural development and the impact of energy infrastructure in agriculture. Rural land policy explicitly recognizes customary property rights and protects the rights of vulnerable or socially marginalized groups, while promoting productive investment. It advocates an approach to the registration of property rights that begins with an inventory of existing rights, whether formal or informal. The PAAEG will take this policy into account by ensuring that implementation in all sub-projects is carried out with respect for the rights of individuals and communities.

**The National Forest Action Plan (NFAP)**

Certain components of the project could affect forest resources. The forest policy is based on six (6) principles : (i) to ensure the sustainability of the national forest heritage; (ii) to manage and guarantee the areas that are to be permanently devoted to forests; (iii) to apply the best methods for providing the maximum number of goods and benefits for an unlimited period; (iv) to assist and control in their various aspects the exploitation, processing and marketing of products from the forest; (v) to closely associate the entire administration of companies, associations, communities and all citizens in the implementation of forestry policy; and (vi) to make the instruments of this policy work effectively. This policy will be taken into account in the implementation of the PAAEG in cases where certain sub-projects affect forest areas.

National Economic and Social Development Plan: this plan, adopted in 2012 by the CNT, has been revised for the period 2016-2020. Its overall objective is the promotion of strong growth through the sustainable development of human capital and the sustainable management of natural capital, the promotion of good governance in the service of sustainable development and sustainable and inclusive economic transformation. More specifically, it is about :

* the pursuit of sustainable development objectives ;
* the improvement of governance and institutional reforms ;
* the development of economic infrastructure and socio-collective facilities;
* the development and economic expansion and promotion of growth-enhancing sectors.

**National Action Plan for the Environment (PNAE 1994 - 1999)**

The PNAE, which is the national translation of the Agenda 21 adopted in Rio in 1992, was conceived in

the concern to ensure consistency and harmonization of its objectives with those of the sectoral policies and national development priorities. The NESP identifies five framework programs: (i) Rural Program, (ii) Urban Program, (iii) Coastal and Marine Program, (iv) Cultural and Service Program, and (v) Program

Support to the administration of the environment. The project is concerned by four of the five themes selected for the rural program that are directly related to the management of natural resources : (i) land management, (ii) the management of vegetation cover, (iii) wildlife management, and (iv) water management for surface. The design of this program is based on the fact that the management of resources

natural resources is directly under the responsibility of the operators. However, the NWSEP has lapsed since 1999 and no provision has been initiated for its update, in view of the new environmental challenges facing the country.

**National Environmental Investment Plan (PNIE 2013-2017)**

Faced with the observation of environmental degradation, and following the global vision that should guide environmental management in Guinea, the government, with the support of its

partners, has developed a global framework based on analyses, programs, plans and actions.

Environmental Investment Plan, called the National Environmental Investment Plan 2013-2017.

(2013-2017 NIP). This NIP is therefore the technical and programmatic reference framework for

implement the Mission Letter from the Prime Minister, Head of Government.

**National Plan for Economic and Social Development (PNDES)**

The PNDES 2016-2020 addresses the issue of environmental preservation in its Pillar 4 entitled Sustainable Management of Natural Capital. The PNDES pays a major attention to the environmental protection, the development of a green economy, and the development of a sustainable reduction of deforestation. Pillar 4 thus aims at preserving the environment and a healthy living environment, sustainable management of natural resources and capacities adaptation and mitigation of the effects of climate change.

**National strategy and action plan for the conservation and sustainable use of the biological diversity**

Built around the following vision: "By 2015, the management of biological diversity by Guinea is ensured in an integrated and sustainable manner". The objectives of the national strategy and the action plan for the conservation and sustainable use of biodiversity are the conservation, sustainable use, general conservation and utilization measures of biological diversity and the strengthening of international cooperation. The project is called upon to promote rational and sustainable management actions, with a view to preserve socio-economic interests and ensure the conservation of these resources for future generations.

**Health policy**

Health policy in the Republic of Guinea is implemented by the Ministry of Health. and Public Hygiene (MSHP). In the field of Health and Hygiene, the Ministry of Health and Hygiene places particular emphasis on: the disposal of excreta and other waste including garbage biomedical; raising community awareness of the benefits of environmental health; the extension of low-cost sanitation facilities; extension and application of the hygiene rules; etc. It is within this framework, that the government of the Republic of Guinea, with the support of its technical and financial partners, has undertaken the elaboration and implementation of the National Health Development Plan 2015-2024 whose overall objective is to contribute to the improvement of the health status of the Guinean population. The priorities set out in the The goal of this plan is not only to provide essential health services for all citizens, including at the community level, but also to ensure that it has the necessary capabilities for the rapid and effective detection and control of any future outbreak. This plan is declined in three specific objectives which are : OS1: Strengthening the prevention and management of diseases and disorders. emergency situations ; OS2: Promote maternal, child, adolescent and personal health elderly ; OS3: Strengthen the national health system.

**The Agricultural Development Policy Letter 2**

The Agricultural Development Policy Letter 2 (ADPL 2) is the reference document for the agricultural and rural policy of Guinea. Although the policy letter supports the import of agricultural inputs, including chemicals, it provides guidance that relates to the preservation of human and animal health. One of the major objectives of the LPDA 2 concerns the rational use and sustainable management of natural resources (soil, water and forests) as well as the biodiversity and environmental protection.

**Revised National Gender Policy (PNGR)**

The National Gender Policy was revised in 2017 under the name of the Revised National Gender Policy (PNGR) with a view to "adapt it to the international, regional, sub-regional and national context in connection with sustainable development by 2030", and for it to be in line with the SDGs, the African Union's Agenda 2063 and the Decade on the Empowerment of African Women (MASPFE, 2017). The Ministère de l’Action Sociale, de la Promotion Féminine et de l’Enfance (MASPFE) is the governmental insitution responsible for promoting women’s rights and mainstream gender equality. Under its leadership, Ordinance 025 of July 13, 2018 established a Gender and Equity service in almost all ministries, the equivalent of a Central Administration Division, which has "the mission of implementing of the Government's Policy in the field of Gender and Equity and to ensure its follow-up ”(MASPFE, 2017). According to decree No. 2015/1257 / MFPREMA / CAB, the Gender and Equity department comprises three units: a unit for studies, monitoring and control of actions in the field of gender; a unit promoting Equity and Gender Equality; and a training and awareness unit each composed of 3 people. However, disparities between the ministries are evident: in July 2019 the Gender and Equity service of the MEEF was composed of 23 people, that of the Ministry of Mines comprised 12 people, that of the Ministry of Livestock five people and that of the Ministry of 'Farming one person. A MEEF report (2019) notes the lack of qualified human resources both in the domains of gender equality and adaptation to climate change at the government level and in particular within the Gender and Equity department of the MEEF and other ministries.

## UNDP Social and Environmental Standards

The project covered by this ESMF will comply with UNDP’s updated Social and Environmental Standards (SES), which came into effect on 1 January 2021. UNDP Safeguards are measures to protect or to avoid risks (do no harm), while promoting benefits (do good). The current ESMF, which forms part of the UNDP safeguards requirements, provides guidance to assess and manage the risks linked to potential harm induced by project activities, while providing guidance to ensure that these activities will actually promote benefits to the beneficiaries with respect to its objectives.

These standards underpin UNDP’s commitment to mainstream social and environmental sustainability in its programmes and projects to support sustainable development, and are an integral component of UNDP’s quality assurance and risk-management approach to programming. Through the SES, UNDP meets the requirements of the GEF’s Environmental and Social Safeguards Policy.

The objectives of the SES are to:

* Strengthen the social and environmental outcomes of programmes and projects;
* Avoid adverse impacts to people and the environment;
* Minimize, mitigate, and manage adverse impacts where avoidance is not possible;
* Strengthen UNDP and partner capacities for managing social and environmental risks; and
* Ensure full and effective stakeholder engagement, including through a mechanism to respond to complaints from project-affected people.

Through the screening (SESP), the project was determined to trigger all of the SES Principles and Standards.

### Overall Principle: Leave No One Behind

Leaving no one behind and reaching the furthest behind first is the central promise of the 2030 Agenda. As an overarching programming principle, leaving no one behind requires UNDP to prioritize its programmatic interventions to address the situation of those most marginalized, discriminated and excluded, and to empower them as active agents of the development process. All persons living in extreme poverty, in any form, are left behind, together with those enduring disadvantage(s) that deny or limit their choices and opportunities relative to others in society. In identifying who is being left behind, UNDP considers five key factors: discrimination, geography, vulnerability to shocks, governance and socio-economic status.[[1]](#footnote-1) At the intersection of these factors, people face multiple reinforcing sources of deprivation and inequalities. Programming to leave no one behind should follow the rights-based approach to development, including the application of a gender perspective. Actions and decisions that improve the lives of poor, excluded and marginalized groups and that address inequalities and discrimination include advocacy, creating enabling environments, capacity development and support for civil society, community empowerment, and enhancing the quality and accessibility of services.

### Principle 1: Human Rights

UNDP recognizes the centrality of human rights to sustainable development, poverty alleviation and ensuring fair distribution of development opportunities and benefits and is committed to supporting “universal respect for, and observance of, human rights and fundamental freedoms for all.” UNDP adheres to the United Nations Development Group (UNDG) Statement of Common Understanding of the Human Rights-Based Approach to Development Cooperation and Programming (UN Common Understanding) which outlines that development programmes and policies should further the realization of human rights as laid down in the Universal Declaration of Human Rights and other human rights instruments. UNDP also recognizes the human rights-based approach as a key engagement principle in pursuing development outcomes. In furthering the realization of rights, UNDP shall both refrain from providing support for activities that may contribute to violations of a State’s human rights obligations and the core international human rights treaties and seek to support the protection and fulfilment of human rights. In its Programmes and Projects, UNDP will uphold the principles of accountability and the rule of law, participation and inclusion, and equality and non-discrimination, noting that prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. UNDP will also ensure the meaningful, effective and informed participation of stakeholders in the formulation, implementation, monitoring and evaluation of Programmes and Projects. UNDP seeks to support State efforts to meet their human rights obligations as requested, however, UNDP does not have a monitoring role with respect to human rights. In the context of UNDP Programmes and Projects, UNDP’s due diligence obligations require UNDP to monitor compliance with its policies.

### Principle 2: Gender Equality & Women’s Empowerment

The promotion of gender equality and the empowerment of women are central to the mandate of UNDP and intrinsic to its human rights-based approach to development programming. This effort includes advocating for women’s and girls’ human rights, combating discriminatory practices, and challenging the roles and stereotypes that create inequalities and exclusion. UNDP Programmes and Projects will be gender-responsive in their design and implementation. UNDP will seek to identify and integrate the different needs, constraints, contributions and priorities of women, men, girls and boys into its programming. UNDP Programmes and Projects will promote gender equality and the empowerment of women. UNDP will seek to reduce gender inequalities in access to and control over resources and the benefits of development. Programmes and Projects will ensure that both women and men are able to participate meaningfully and equitably, have equitable access to Programme and Project resources, and receive comparable social and economic benefits. UNDP will ensure that its Programmes and Projects do not discriminate against women or girls or reinforce gender-based discrimination and/or inequalities.​

### Principle 3: Sustainability and Resilience

Sustainable management, protection, conservation, maintenance and rehabilitation of natural habitats and their associated biodiversity and ecosystem functions are fundamental to UNDP’s efforts to develop and implement sustainable development pathways. UNDP seeks to address poverty and inequality while maintaining and enhancing natural capital. Sustainable management, protection, conservation, maintenance and rehabilitation of natural habitats and their associated biodiversity and ecosystem functions are funda­mental to UNDP’s efforts to develop and implement sustainable development pathways. UNDP seeks to address poverty and inequality while maintaining and enhancing natural capital. UNDP will ensure that environmental sustainability is system- atically mainstreamed into its Programmes and Projects. In designing development cooperation activities, UNDP will seek to support Programme Countries and Implementing Partners to address the environmental dimensions (both opportunities and constraints) of major development issues and to strengthen environmental management and protection.​ UNDP uses and promotes a precautionary approach (17) to natural resource conservation and reviews its development cooperation activities to ensure they do not cause negative environmental effects. UNDP requires the application of relevant social and environmental standards to avoid adverse environmental impacts, or where avoidance is not possible, to minimize, mitigate, and as a last resort, offset and compensate for potential residual adverse impacts. UNDP will assist Programme Countries and Implementing Partners to integrate low-emission, climate-resilient objectives into national and sectoral development plans and will ensure that supported Programmes and Projects enhance climate resiliency and avoid unwarranted increases in greenhouse gas (GHG) emissions, instead enhancing efficiency and reducing GHG intensity.​

### Principle 3: Accountability

UNDP does not support activities that do not comply with national law and obligations under international law, whichever is the higher standard (hereinafter "Applicable Law"). UNDP promotes accountability to programme and project stakeholders by (i) enabling active local community engagement and participation in decision-making, particularly those at risk of being left behind; (ii) ensuring transparency of programming interventions through provision of timely, accessible and functional information regarding supported activities, including on potential environmental and social risks and impacts and management measures; (iii) ensuring stakeholders can communicate their concerns and have access to rights-compatible complaints redress processes and mechanisms; and (iv) ensuring effective monitoring—and where appropriate, participatory monitoring with stakeholders—and reporting on implementation of social and environmental risk management measures. UNDP’s SES are underpinned by an Accountability Mechanism with two key components: (i) the Stakeholder Response Mechanism (SRM) that ensures individuals, peoples, and communities affected by projects have access to appropriate grievance resolution procedures for hearing and jointly addressing complaints and disputes related to the social and/or environmental impacts of UNDP-supported projects; and (ii) the Social and Environmental Compliance Unit (SECU) which investigates alleged non-compliance with UNDP’s Social and Environmental Standards and screening procedure from project-affected stakeholders and recommends measures to address findings of non-compliance.[[2]](#footnote-2)

### Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management

Conserving biodiversity, m​aintaining ecosystem services, and sustainably managing natural resources are fundamental to sustainable development. UNDP seeks to maintain and enhance the goods and services provided by biodiversity and ecosystems in order to secure livelihoods, food, water and health, enhance resilience, conserve threatened species and their habitats, and increase carbon storage and sequestration.

UNDP is committed to integrating biodiversity and ecosystem management into development planning and production sector activities, strengthening protected areas systems, and managing and rehabilitating ecosystems for adaptation to and mitigation of climate change. ​UNDP seeks to strengthen effective governance and decision-making systems affecting biodiversity and ecosystems, including strengthening the rights of affected populations including women, indigenous peoples and local communities to sustainable use of resources.​

This Standard reflects the objectives of the Convention on Biological Diversity, including the conservation of biological diversity, the sustainable use of its components and the fair and equitable sharing of the benefits arising out of the use of genetic resources. UNDP promotes an ecosystem approach to biodiversity conservation and sustainable management of natural resources.

### Standard 2: Climate Change Mitigation and Disaster risks

|  |
| --- |
|  |

Climate change is a fundamental threat to sustainable dev​elopment an​d the fight against poverty. It has the potential ​to stall and even reverse hum​an developm​ent through its impacts on key development sectors and activities, including agriculture and food production, water, ecosystems and other natural resources, disaster risk management and health. Climate change may exacerbate extreme weather events, increasing the risk of high-impact disasters. Communities that are already subjected to impacts from climate change may experience an acceleration and/or intensification of impacts due to Project activities that do not integrate and anticipate climate change risks.

UNDP supports countries to integrate low-emission, climate-resilient objectives into national and sectoral development plans, identify priority mitigation and adaptation  measures, implement measures to reduce vulnerability and increase adaptive capacity and resilience.

UNDP will ensure that its Projects are sensitive to climate change risks and do not contribute to increased vulnerability to climate change. UNDP mobilizes resources to support Programme countries to finance their national adaptation costs.

UNDP strengthens the participation of women in decision-making processes on climate adaptation, mitigation and disaster risk reduction. UNDP supports countries to ensure that disaster risk reduction, climate mitigation and adaptation programmes specifically support women to strengthen their resilience, in part by securing rights and tenure to land, housing and other assets.

### Standard 3: Community Health, Safety and Security

The Community Health and Safety Standard recognizes that project activities, equipment, and infrastructure can increase community exposure to risks and impacts. Potential negative impacts affecting health and safety may arise from a broad range of supported activities, including from infrastructure development and construction activities, changes in the nature and volume of traffic and transportation, water and sanitation issues, use and management of hazardous materials and chemicals, impacts on natural resources and ecosystems, the influx of project labour, and potential abuses by security personnel. This Standard addresses the need to avoid or minimize the risks and impacts to community health, safety and security that may arise from project-related activities, with particular attention given to disadvantaged and marginalized groups.

### Standard 4: Cultural Heritage

UNDP recognizes the importance of Cultural Heritage for current and future generations and seeks to ensure that Cultural Heritage is protected in the course of development activities. UNDP seeks to ensure equal participation, access and contribution of women and men in protecting and sharing the benefits of Cultural Heritage.

### Standard 5: Displacement and Resettlement

UNDP will seek to avoid physical and economic displacement in its Projects. In exceptional circumstances and where avoidance is n​ot possible, displacement may occur only with full justification, appropriate forms of legal protection and compensation, and according to the following requirements.​​

Activities that involve physical and economic displacement, including through land acquisition or restrictions on land use or access to resources, pose impoverishment risks. Potential impacts may include loss of livelihoods, homelessness, food insecurity, and other adverse impacts. These impacts may lead to social unrest and political instability.

### Standard 6: Indigenous Peoples

Indigenous peop​​les, as distinct​ people, ar​e equal to all other peoples. Indigenous individuals and indigenous peoples or communities are entitled to enjoy and ex­ercise their human rights without discrimination. Indigenous peoples possess col­lective human rights which are indispensable for their existence, well-being and development as peoples. The special relationship that indigenous peoples have with their lands, resources, and territories is integral to their physical, spiritual and cultural survival.​  
The promotion and protection of the rights of indigenous peoples, especially concerning their lands, territories, traditional livelihoods, cultures and resources, are necessary to achieve UNDP’s goals of advancing human rights, respecting indigenous peoples identities and improving their well-being.

### Standard 7: Labour and Working Conditions

The pursuit of inclusive and sustainable economic growth, full and productive employment and decent work for all requires the protection of workers’ fundamental rights, their fair treatment, and the provision of safe and healthy working conditions. Project activities seek to enhance employment promotion benefits, development outcomes and sustainability by ensuring sound worker-management relationships and cooperation in their design and implementation. The SES requirements have been guided by a number of international conventions and instruments, including those of the International Labour Organization (ILO) and the United Nations (UN).

### Standard 8: Pollution Prevention and Resource Efficiency

The Pollution Prevention and Resource Efficiency Standard recognizes that in­creased industrial activity, urbanization, and intensive agricultural development often generate increased levels of​ pollution (78) to air, water, ​and land, and consume finite resources in a manner that may threaten people and the environment at the local, regional, and global level. Pollution prevention and resource efficiency are core elements of a sustainable development agenda and UNDP Projects must meet good international practice in this regard.​

This Standard outlines a project-level approach to pollution prevention and resource efficiency. Reduction of greenhouse gas emissions that contribute to climate change is addressed in [Standard 2: Climate Change Mitigation and Adaptation](https://info.undp.org/sites/bpps/SES_Toolkit/SitePages/Standard%202.aspx).

## Comparison and Gaps in the Policy Framework

Further analysis of the legal and policy frameworks that apply to the project will be completed during the implementation of this ESMF (i.e. during the completion of ESIAs and/or targeted assessment). At this stage, three initial potential gaps have been identified.

Table 7: Summary of safeguards legal and policy framework

|  |  |  |
| --- | --- | --- |
| **UNDP Framework** | **Relevant national policy and legal framework** | **Gap** |
| Human Rights | * The Poverty Reduction Strategy (PRS) * The Declaration of Rural Land Policy (DPFMR) * National Plan for Economic and Social Development (PNDES) | None |
| Gender Equality and Women’s Empowerment | * Revised National Gender Policy (PNGR) | None |
| Sustainability and Resilience | * The Agricultural Development Policy Letter 2 (ADPL 2) * National Action Plan for the Environment (PNAE 1994 - 1999) * National Environmental Investment Plan (PNIE 2013-2017) | None |
| Accountability | * The policy of decentralization and deconcentration | None |
| Biodiversity Conservation and Sustainable Natural Resource Management | * The National Forest Action Plan (NFAP) * National strategy and action plan for the conservation and sustainable use of the biological diversity * The Agricultural Development Policy Letter 2 | None |
| Climate Change Mitigation & Disaster risks | * National Plan for Economic and Social Development (PNDES) | None |
| Community Health, Safety, and Security | * Health policy | None |
| Cultural Heritage |  | No specific policy at national level |
| Displacement and Resettlement |  | No specific policy at national level |
| Indigenous Peoples |  | No specific policy at national level |
| Labour and Working conditions | * The Agricultural Development Policy Letter 2 | None |
| Pollution Prevention and Resource Efficiency | * The Agricultural Development Policy Letter 2 | None |

# Procedures for Screening, Assessment, and Management

## Guiding Principles

**Substantial-risk project categorization**

The project will follow UNDP’s requirements and procedures for screening, assessment, and management according to its substantial-risk project categorization.

The following principles will guide the procedures:

**Mitigation Hierarchy**

The project will first seek to *avoid* potential adverse impacts, then *minimize* them; where impacts remain, it will then apply *mitigation* measures; the *offset* of impacts that have not mitigated will be used as a last resort.

**Precautionary Principle**

The lack of full scientific certainty shall not be used as a reason for postponing measures to prevent serious threats.

**Direct, Indirect, and Cumulative impacts**

The project will consider all relevant impacts, not just in the immediate project area but also in the project’s area of influence; it will also consider cumulative impacts from the project or from other relevant past, present, and reasonably foreseeable developments in the geographic area.

**“Polluter pays”**

The cost of mitigation is borne by the agent causing the damage.

#### Figure 1: UNDP’s SES mitigation hierarchy

### Social and Environmental Screening Procedure (SESP)

The SESP was conducted during PPG and is summarized in table 5 and available as annex to the ProDoc. The SESP was preceded by an initial Social and Environmental Risk Screening undertaken by the PPG team, then completed and finalized following the SES mission conducted by the PPG team’s Safeguards Consultant.

It has been conceived according to the following principles:

**Do Not Assume Away Risks**

Impact and probability have been rated as if mitigation measures will not be applied, thinking “*worst case scenario”*.

**Rate Risks Appropriately**

Risk significance levels have not been under-estimated – to be accurate, the most likely risk levels have been identified.

**Categorize Based on Highest Risk**

The overall categorization has been accurately assigned by using the highest individual risk rating.

During implementation, the project will be re-screened with the UNDP SESP as needed in the course of required assessments; as prescribed by the project’s ESMP; when determined necessary by the respective Project Manager (after consideration of the advice from PMO staff with responsibility for safeguards), the Project Steering Committee, or UNDP CO; and/or when project circumstances change in a substantive or relevant way.

***The activities that may potentially cause adverse social and environmental impacts (as noted in Table 3) may not proceed until they are screened and assessed and that appropriate management measures are in place, according to the rules and procedures of this ESMF.***

## Screening procedures for activities to be defined during project implementation

The programme has been designed through careful consultations with all stakeholders and leaves space to further define the activities on the basis of future assessments to be conducted locally. The content of the Climate-Smart Agriculture packages (Output 2.1) need further consultations and assessments in order to be designed in a context-specific way. These assessments and consultations are part of the Output 1 and 2 and planned within the ProDoc as key activities, notably Activity 1.4.2 (Organize consultations to identify relevant CSA adaptation/investment options at the community level). It is only based on these comprehensive, field based, site specific assessment of potential interventions that the content of the CSA packages will be defined.

Hence the packages will undergo **a specific screening process**, using the UNDP SESP template. The Project Management Unit is responsible for implementing screening procedures, assisting in scoping, evaluation and approval of the proposed interventions.

The Project Manager, after consideration of the advice from PMU staff with responsibility for safeguards (based on the SESP of each package), the Project Steering Committee, and/or UNDP CO will then be responsible of deciding whether the technologies promoted within the CSA packages require further technical and feasibility studies before they are accepted and funded, or whether the given package should not be accepted due to the level/nature of the risks.

Outputs 1.4, 1.5 and 3.5 also depend on the evolution of the project. They plan an upscale of the project impact through a sliding 5-year investment plan for the scaling up of the CSA to be developed and embedded into the local development plans of target municipalities (1.4), a Knowledge platform and replication strategy (1.5), and a Replication Strategy and Action Plan developed at a national scale (3.5). This upscale will need to be conditioned to a **mid-term SESP review**, integrating (1) CSA-packages-specific risks as they will have been further detailed ; (2) a broader vision of the potential risks associated with the implementation of the said packages at a national scale; and (3) the findings of the SESA. This is necessary because the current SESP has been conducted before specific CSA packages have been identified.

## Assessment Procedures

### Environmental and Social Impact Assessment (ESIA)

In accordance with UNDP’s SES policy, substantial-risk projects require comprehensive forms of assessment. An ESIA assesses the full range of social and environmental impacts, including alternatives analysis. It will be developed and carried out by independent experts in a participatory manner with stakeholders during the inception phase. The ESIA will further identify and assess social and environmental impacts of the project and its area of influence; evaluate alternatives; and design appropriate avoidance, mitigation, management, and monitoring measures. It will address all relevant issues related to the SES Overarching Principles and Project-level Standards. A key output of the ESIA is an ESMP, as described next.

The ESIA will be carried out during the first six months of the project by a team of one international safeguard expert (it is required that this expert is able to travel to the field) supported by one to two national experts. Such work conducted in parallel will allow the PMU to integrate exclusionary criteria when designing the activities of components 2 and 3. It is expected that field activities would not start before 6 to 12 months after project launch (see Table 3 for the relevant activities). This period will allow sufficient time to conduct a full and comprehensive ESIA by the team of safeguard consultants, who will then design appropriate measures in the ESMP and appropriate plans.

The ESIA template is provided in Annex 1 to the present document. It will include targeted assessments aligned with the targeted management plans listed below (to be included in the ESMP)—and specific focus on high-risk activity typologies, though the ESIA will be holistic by considering all areas of risk (please see Table 6).

### Strategic Environmental and Social Assessment (SESA)

A team of consultants will carry out a SESA to address the risks and potential negative impacts linked to Component 3 and select activities under Components 1 and 2 (see Table 3). SESA refers to a range of analytical and participatory approaches that aim to integrate social and environmental considerations into policies, plans and programmes (PPPs) and evaluate their interlinkages with economic considerations. Potential adverse risks and impacts associated with such activities will be systematically examined. SESA evaluates the effect of policy changes on a broad, cross-sectoral basis with the aim of making “upstream” development decision-making more sustainable. It will look at wider sustainability issues than project-level assessments.

However the SESA will be carried out during the first six months of the project in parallel with the ESIA as there needs to be linkages between the two: information and strategies determined in a SESA should cascade down through tiers of decision-making.

## (d) Management Procedures

Table 8: Recap of all management procedures

|  |  |  |
| --- | --- | --- |
| **Step** | **Responsibility** | **Timing** |
| Environmental and Social Management Framework (ESMF) | UNDP CO | Project design phase – before validation |
| Stakeholder Engagement Plan (SEP) | UNDP CO | Project design phase – before validation |
| Gender Action Plan (GAP) | UNDP CO | Project design phase – before validation |
| Environmental and Social Management Plan (ESMP)   * Indigenous Peoples Plan (IPP) * Biodiversity Action Plan (BAP) * Health and Safety Plan (HSP) | UNDP CO | First twelve months of project implementation – before any activities that may cause adverse social or environmental impacts start (see table 3 and table 6) |

### Environmental and Social Management Framework (ESMF)

The present ESMF has been developed as part of UNDP’s due diligence process in the project cycle, following the screening of the present project with the SESP (see annex to the ProDoc). Based on the project risk categorization and its specific risks, the above and below procedures for screening, assessing, and managing those risks must be followed during the inception phase.

### Stakeholder Engagement Plan (SEP)

A Stakeholder Engagement Plan has been developed during the project’s design phase. It constitutes an annex to the Project Document and will guide all actions pertaining to SES implementation, including consultations with Indigenous Peoples which have started since the project design phase. It will, however, need to be completed by an FPIC protocol which will be part of the Indigenous Peoples Plan (IPP) The IPP will build upon the SEP and be developed together with the local communities and especially the indigenous peoples in order to enable communities to get extensive information about the project and associated possible positive and negative consequences. They will be encouraged and given the time to explicitly reflect on this information in order to be able to give their free, prior, and informed consent. The FPIC protocol will then be applied to each activity of the project, as communities will be allowed to provide their consent to part of them, ask for modifications, or withdraw their consent.

### Gender Action Plan (GAP)

A Gender Action Plan has been developed during the project’s design phase. It constitutes an annex to the ProDoc and will guide all actions pertaining to SES implementation.

### Environmental and Social Management Plan (ESMP)

The ESMP will provide a set of avoidance, mitigation, monitoring, and institutional measures – as well as actions needed to implement these measures – to achieve the desired social and environmental sustainability outcomes. Complementing what has already been identified in the ProDoc, the ESMP will further identify project activities that cannot take place until the relevant mitigation measures are approved and put in place. The measures will be adopted and integrated into the project activities, monitoring and reporting framework and budget, and captured in a revised SESP.

The ESMP (and ESIA report) will be the output of the ESIA (described above). Both the Social and Environmental Screening Procedure (SESP) and the Environmental and Social Management Framework (ESMF) completed during the project’s development phase will be used as the basis for the ESMP. An ESMP template can be found in the annexes.

Specific management plans will be developed during the ESIA/ESMP phase, including but not limited to:

* Livelihood Action Plan (LAP)
* Indigenous Peoples Plan (IPP)
* Biodiversity Action Plan (BMP)
* Health and Safety Plan (HSP)

These plans are currently conceived as sections of the ESMP allowing for more background information and details on operational procedures, implementation steps for key measures related to the most substantial risks. The exact content of the ESMP will be determined based on the findings of the ESIA, and as required for SES compliance.

#### Indigenous Peoples Plan (**required**)

The Indigenous Peoples Plan will define how best to engage with indigenous peoples and to ensure they benefit equally from the project’s positive impacts. It is required for projects that may affect the rights, lands, territories, and resources of indigenous peoples. The IPP is based on the findings of the social and environmental assessment and needs to be developed with full, effective, and meaningful participation of potentially affected indigenous peoples.

**Full, effective, and meaningful participation:**

* + Ensure full, effective and meaningful participation of affected indigenous peoples throughout the project cycle.
  + Ensure consultation processes are culturally appropriate and conducted in good faith.Consultation, and specifically FPIC processes are exercised collectively by the indigenous peoples concerned, and not by single members.
  + Ensure participation of indigenous peoples is gender-inclusive and tailored to the needs of disadvantaged and vulnerable groups.
  + Ensure timely access to information.
  + Ensure access to a grievance redress mechanism.

Guidance to identify potential impacts on indigenous people:

* Are indigenous people present in the project area (including project area of influence?) Some questions to consider are:
  + Are there peoples identifying themselves as indigenous?
  + Is the group and/or their rights recognized in the Constitution, legislation, or laws?
  + What is the general situation of the group compared to the mainstream dominant societal group?
  + Do the people have distinct customs and norms (e.g. practices, language, or internal laws)?
  + Do they have their own traditional governance systems?
  + Does the group appear to have a distinct relationship to the lands and resources they inhabit (e.g. related to their traditional livelihoods or spiritual beliefs)?
  + How long have they been using or occupying those lands, and are they using or occupying it for reasons of resettlement and/or displacement?
  + Are there indications that the people concerned are unaware of the rights that attach to the designation as indigenous people or that they may fear the implications of calling themselves indigenous people?
* Is it likely that the project will be located on lands and territories claimed by indigenous people?
* Would the proposed project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous people?
* Has there been an absence of culturally-appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous people concerned?
* Does the proposed project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous people?
* Is there a potential for forced eviction or partial physical or economic displacement of indigenous people, including through access restrictions to lands, territories, and resources?
* Would the project potentially affect the physical and cultural survival of indigenous people?
* Would the project potentially affect the cultural heritage of indigenous people, including through the commercialization or use of their traditional knowledge and practices?

An FPIC protocol will be designed as part of the IPP in a manner consistent with SES Standard 6.

**FPIC:**

* **Free**: refers to a consent given voluntarily and absent of coercion, intimidation or manipulation.
* **Prior**: refers to a period of time in advance of an activity or process when consent should be sought, as well as the period between when consent is sought and when consent is given.
* **Informed**: refers mainly to the nature of the engagement and type of information that should be provided prior to seeking consent and also as part of the ongoing consent process.
* **Consent**: refers to the collective decision made by the rights-holders and reached through the customary decision-making processes of the affected peoples or communities.

The FPIC protocol will include the following sections:

* FPIC: legal and policy framework
* Local context
* Methodology of participatory FPIC protocol design
* Protocol and associated steps
* Implementation principles, criteria, and indicators

In general, FPIC should not be sought for approval “of the project” but of specific activities, especially the ones impacting communities’ livelihoods. It is not appropriate for communities to consent to “the project” or “general aims” as the project is too big and contains too many elements. This is a usual flaw of conservation FPIC mechanisms. Consent should be sought separately – through separate documented agreements – for all specific activities that may affect communities.

#### Biodiversity Action Plan (BAP) (**required**)

A Biodiversity Action Plan will be developed for the project area, with a particular focus on the neighboring Protected Areas, in order to manage all risks associated with the activities in line with SES Standard 1. This includes Livelihood activities supported by the project, small infrastructures and small scale entrepreneurship.

The measures will aim to avoid or reduce adverse biodiversity impacts, following a mitigation hierarchy, seeking to achieve no net loss of biodiversity, where possible. Alternative project designs and locations are to be considered to avoid potential impacts. Mitigation and management measures need to meet (and ideally exceed) not only Applicable Law (i.e. national law and obligations under international law) but also the requirements specified in Standard 1.

The BAP will also allow to address current gaps in information for undertaking Climate-Smart Agriculture packages by confronting the impacts on biodiversity of the different options.

#### Health and Safety Plan (HSP) (**required**)

The Health and Safety Plan will address the Health and Safety conditions in all activities to be implemented as CSA technologies. It will cover the following areas:

* **Community health and safety:** Community health and safety refers to protecting local communities from hazards caused and/or exacerbated by Project activities (including flooding, landslides, contamination or other natural or human-made hazards), disease, and the accidental collapse or failure of Project structural elements such as the construction of small infrastructures. Because these activities may directly, indirectly or cumulatively change community exposure to hazards, management measures will be defined in the HSP.
* **Potential spread of diseases, especially to the light of COVID19:** A significant concern with major development projects is the spread of communicable diseases from the workforce to the surrounding communities. While the project does not include the arrival of a large workforce, punctual visits from external workers may be planned. The HSP will plan appropriate preventive measures to avoid contagion. More broadly, UNDP will ensure that Projects avoid or minimize the potential for community exposure to water-borne, water-based, water-related, and vector-borne diseases, and communicable diseases (e.g. HIV, TB and malaria) that could result from Project activities, taking into consideration the differentiated exposure to and higher sensitivity of marginalized groups, including communities living in voluntary isolation. UNDP will ensure that Projects avoid or minimize transmission of communicable diseases that may be associated with the influx of temporary or permanent Project labour.
* **Infrastructure safety:**Structural elements will be designed and constructed by competent professionals and certified or approved by competent authorities or professionals. For Projects with structural elements or components whose failure or malfunction may threaten the safety of communities, UNDP will ensure that: (i) plans for Project supervision, operation, and maintenance are developed and monitored; (ii) independent expertise on the verification of design, construction, and operational procedures is used; and (iii) periodic safety inspections are carried out.
* **Work standards:**The HSP will address how the right to decent work will be respected and promoted within the activities supported by the project as well as in the mining activities. UNDP will ensure compliance with national labour and occupational health and safety laws, with obligations under international law, and consistency with the principles and standards embodied in the International Labor Organization (ILO) fundamental conventions, including freedom of association, elimination of discrimination in employment and occupation, elimination of forced or compulsory labour, and elimination of the worst forms of child labour.
* **Occupational health and safety:**Occupational health and safety refers to protecting workers from accident, injury or illness associated with exposure to hazards encountered in the workplace. The plan will address how the workers are provided with a safe and healthy working environment, taking into account risks inherent to the particular sector (including gender bias) and specific classes of hazards in the work areas. Where relevant, UNDP will ensure steps are taken to prevent accidents, injury, and disease arising from, associated with, or occurring d​uring the course of work and will ensure the application of preventive and protective measures consistent with international good practice, as reflected in internationally-recognized standards such as the World Bank Group’s Environmental, Health, and Safety Guidelines.

#### Livelihood Action Plan (LAP) (requirement to be confirmed by ESIA)

The Livelihood Action Plan aims to define how the local communities and indigenous peoples’ livelihoods will be preserved (do no harm) and enhanced (do good). It will include a benefit-sharing mechanism that will adequately address the needs and specificities of all beneficiaries. It also addresses economic displacement, hence completing the Resettlement Action Plan by offering livelihood analysis and solutions to economic impacts of the project. LAP includes elements specific to economic displacement resettlement, including issues related to participation of individuals and communities in decisions potentially impacting them and their livelihoods, compensation and rehabilitation assistance, and non-discrimination and attention to collective rights.

## Activities linked to co-financing arrangements

Co-financing partners will be required to ensure either adherence or consistency with UNDP safeguards. Two cases may arise in this project framework:

1. Funds are channelled through UNDP: UNDP **ensures adherence** to the SES for programming activities implemented using **funds channeled through UNDP’s accounts**.
2. Partners contribute directly to the project (in-kind or parallel funding): partners that contribute in-kind resources or parallel funding and apply their own policies and procedures to achieve common objectives. Therefore, while UNDP does not ensure compliance with the SES beyond those activities funded through UNDP’s accounts, the **entire programme or project** is **reviewed for consistency** with the requirements of the SES.

In this project, situation (2) is a more likely scenario for all envisioned fundings.

During project development, co-funded activities have been screened through the SESP. During implementation, the PMU will be in charge of discussing the SESP with the partners and review implementation for consistency with the SES policy. UNDP CO will be accountable to ensure these activities are reviewed for consistency with the UNDP SES.

The consideration of these co-financed activities in the ESIA/ESMP will be discussed and ensured upon project inception. Co-financing partners will be expected to sign a Social and Environmental Commitment letter (clarifying accountabilities, roles/responsibilities, capacity building project safeguards commitments, project GRM, etc.) where consistency with the SES is required (as in situation (2) above) or where otherwise necessary or advised by UNDP’s Nature, Climate and Energy team.

# Institutional Arrangements and Capacity-Building

## National, Provincial, and Local Institutional Framework

The government is part of the Project Board. The Project Board is responsible for taking corrective action as needed to ensure the project achieves the desired results. In order to ensure UNDP’s ultimate accountability, Project Board decisions should be made in accordance with standards that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition. This means the project board will be responsible to monitor appropriate safeguards implementation.

The Implementing Partner for this project is the Ministry of Environment, Water and Forests (MEEF), under the National Implementing modality (NIM), over a period of five years, from January 2022 to December 2026.The Implementing Partner is the entity to which the UNDP Administrator has entrusted the implementation of UNDP assistance specified in this signed project document along with the assumption of full responsibility and accountability for the effective use of UNDP resources and the delivery of outputs, as set forth in this document. The project will be implemented in partnership with the Ministry of Agriculture for component 1 and in particular the agricultural research institute of Guinea (IRAG), and especially its branch “the agronomic center of Sérédou”, and the national agency for rural promotion and agricultural advisory services (ANPROCA). The project will also be implemented in partnership with the National Directorate of Meteorology (DNM) under the Ministry of Transport (MT).

## Project Institutional Framework

Diagram

Description automatically generated

#### Figure 2: Project institutional framework

### Project Steering Committee

The Project Board (also called Project Steering Committee) is responsible for taking corrective action as needed to ensure the project achieves the desired results. In order to ensure UNDP’s ultimate accountability, decisions by the Project Board should be made in accordance with standards that ensure management for development results, best value for money, fairness, integrity, transparency, and effective international competition. In case consensus cannot be reached by the Project Board, the UNDP Resident Representative (or their designate) will mediate to find consensus and, if this cannot be found, will take the final decision to ensure project implementation is not unduly delayed.

### United Nations Development Programme – CO

UNDP is accountable to the GEF for the implementation of this project. This includes oversight of project execution to ensure that the project is being carried out in accordance with agreed standards and provisions. UNDP is responsible for delivering GEF project cycle management services comprising project approval and start-up, project supervision and oversight, and project completion and evaluation. UNDP is also responsible for the Project Assurance role of the Project Board/Steering Committee.

### Implementing Partner: Ministry of Environment, Water and Forests (MEEF).

The Implementing Partner is the Ministry of Environment, Water and Forests (MEEF). The IP is the entity to which the UNDP Administrator has entrusted the implementation of UNDP assistance specified in this signed project document along with the assumption of full responsibility and accountability for the effective use of UNDP resources and the delivery of outputs, as set forth in the Project Document.

The IP is responsible for executing this project. In terms of safeguards, it is responsible for risk management, monitoring, evaluation, and reporting. This includes providing all required information and data necessary for timely, comprehensive, and evidence-based project reporting, including results and financial data, as necessary. The Implementing Partner will strive to ensure project-level M&E is undertaken by national institutes, and is aligned with national systems so that the data used and generated by the project supports national systems.

### Control Missions

The Control Mission, carried out by UNDP CO, will ensure the environmental and social monitoring of the works and control of the effectiveness and efficiency of the environmental and social measures contained in the ESMF and ESMP. Those missions should be completed every year and will feed into the midterm and final project evaluations.

## Roles and Responsibilities in ESMF Implementation

The roles and responsibilities of project staff and associated agencies in implementation of this ESMF is as follows. This ESMF does not cover the roles and responsibilities associated with implementation of the subsequent ESMP and stand-alone management plans; those will be defined in subsequent management plan that is developed in the project inception phase, as required per this ESMF.

### Project Steering Committee

* Monitor implementation of this ESMF and compliance with national and international regulations, and UNDP social and environmental standards;
* Decision-making for the adoption of necessary measures, including full integration of management measures within project outputs and annual work plans;
* Establish and support GRM to address any grievances; and
* Provide strategic guidance to the implementation of the programme, including oversight for safeguards and the implementation of this ESMF.

### UNDP

* Provide oversight on all matters related to safeguards;
* Inform all the stakeholders and right-holders involved in, or potentially impacted (positively or negatively) by the GEF-financed projects, about the UNDP’s Accountability Mechanism (described below);
* Ensure that the Compliance Review and the Stakeholder Response Mechanisms are operational during the lifetime of the projects;
* Ensure adhesion to the SES for project activities implemented using funds channeled through UNDP’s accounts, and undertake appropriate measures to address any shortcomings;
* Verify and document that all UNDP SES requirements have been addressed; and
* Provide technical guidance on implementation of this ESMF and administrative assistance in recruiting and contracting expert safeguards services (as required), and monitor adherence of each project to the ESMF and UNDP policies and procedures.
* Ensure that the required assessment (ESIA or targeted assessment, as above) and assessment report and the required management plan(s) (an ESMP and/or stand-alone management plan, as above) are developed, disclosed for public consultation and approved, and management measures are adopted and integrated during project implementation;
* Report, fairly and accurately, on project progress against agreed work plans in accordance with the reporting schedule and required formats;
* Maintain documentation and evidence that describes the proper and prudent use of project resources in conformity with the signed Project Document and in accordance with applicable regulations and procedures (e.g. SES);
* Ensure all requirements of UNDP’s SES and national regulatory/policy frameworks and relevant international standards have been addressed (e.g. mitigation of voluntary resettlement impacts); and
* Hold responsibility and accountability to UNDP for overall management of the project, including compliance with UNDP SES.
* Supervise and manage implementation of measures defined in this ESMF as well as in the SEP and GAP;
* Assign specific responsibilities for implementation of this ESMF, including monitoring, and community consultations on the draft management plans to a staff member(s) of the PMO;
* Maintain relevant records associated with management of environmental and social risks, including updated SESPs, impact assessments, a log of grievances together with documentation of management measures implemented;
* Report to the Implementing Partner, the Project Steering Committee, and UNDP CO on the implementation of the ESMF; and
* Ensure that all service providers are informed of their responsibilities for the day-to-day compliance with the ESMF.

As noted above, the projects’ subsequent ESMP and stand-alone management plans will describe the roles and responsibilities in the implementation of those plans. Those new roles and responsibilities will be assessed and integrated, as appropriate, as part of the participatory decision-making and implementation proceedings of the project.

Table 9: Recap of initial steps, institutional responsibilities and timing for SES management design

|  |  |  |
| --- | --- | --- |
| **Step** | **Responsibility** | **Timing** |
| Validate the Project Document and ESMF | Project Steering Committee | Validation meeting |
| Establish and support GRM | Project Steering Committee | First three months after validation meeting, before project implementation |
| Overview ESIA process and specific targeted assessments | UNDP CO | First three months after validation meeting, before project implementation |
| Assist in the drafting of the ESMP and specific plans | UNDP CO | First twelve months of project implementation – before any activity with potential adverse impact starts |

## Capacity Assessment

The project will be executed under the technical supervision of the Ministry of Environment, Water and Forests (MEEF) as the Implementing Partner, and with UNDP acting as development partner.

In both institutions, there is a need for training and guidance on UNDP / GEF safeguards. So far, they do not have qualified human resources working on safeguards, and the project is the opportunity to train the project team, and to capacitate a safeguards focal point for the project.

The beneficiary representatives will also need capacity-building on safeguards in order to ensure the realization of the project results according to the beneficiaries perspectives and rights. Individuals or groups representing the interests of those who will ultimately benefit from the project. Their primary function within the board is to ensure the realization of project results from the perspective of project beneficiaries. Often civil society representative(s) can fulfil this role. The Beneficiary representative (s) is/are the 5 prefectures and the 13 communes involved in the project, and the CSA platform (to be created under output 1.1).

## Capacity-Building Plan

The Implementing Partner (UNDP CO), the Project Management Unit, the Responsible Parties (ICRAF, FAO, UNIDO) and the members of the Steering Committee will be primarily targeted for capacity-building.

Specialists with relevant expertise in social and environmental safeguards will be engaged to support the completion of the ESIAs and targeted assessment on displacement, livelihood, migration management and indigenous peoples. External expertise will also be sought to define the subsequent development of ESMPs and any stand-alone management plans. These experts will offer a training session to all relevant stakeholders on safeguards policies and implementation.

The UNDP-GEF Unit will provide advice to project teams as needed to support the implementation of this ESMF and the preparation, implementation, and monitoring of social and environmental management plans/measures.

The Project Steering Committee will have the final responsibility for the integration of ESMP/stand-alone management plan(s) in the execution of the project. The integration of those plans will need to consider particular institutional needs within the implementation framework for application of the ESMP, including a review of the required budget allocations for each measure, as well as the authority and capability of institutions at different administrative levels (e.g. local, regional, and national), and their capacity to manage and monitor ESMP implementation. Where necessary, capacity-building and technical assistance activities will be included to enable proper implementation of the ESMP.

A specific capacity-building plan will be integrated into the ESMP in order to allow all stakeholders to adequately screen, assess, and manage the SES. It will address, but not be limited to, the topics included in table 11.

Table 10: Timing and modules for capacity-building

|  |  |
| --- | --- |
| **Stakeholder** | **Module** |
| UNDP CO, PMU, Steering Committee, Excutive Partner | UNDP Social and Environmental Safeguards  Grievance Redress Mechanism  Monitoring, Reporting and Verification  Gender Mainstreaming  Stakeholder Engagement  FPIC |
|  |  |

# Stakeholder Engagement and Information Disclosure Process

*For more detailed information, see the Stakeholder Engagement Plan*

## Stakeholder Engagement Procedures and Disclosure Requirements

Discussions with project stakeholders, including local communities and indigenous peoples at project sites, were conducted during the project design phase. A list of the stakeholders engaged in these consultations has been annexed to the Project Documents. The project also has an individual Stakeholder Engagement Plan (SEP) and Gender Action Plan (GAP), which are annexed to the ProDoc. These plans will be followed to ensure that stakeholders are engaged in project implementation and particularly in the further assessment of social and environmental impacts and the development of appropriate management measures. The SEP and GAP will be updated during project implementation based on the assessments and management plans conducted in line with this ESMF, as needed.

Potentially affected stakeholders will be engaged during the implementation of this ESMF. This will include the use of participatory approaches and the research and obtaining of FPIC.

As part of the stakeholder engagement process, UNDP’s SES require that project stakeholders have access to relevant information. Specifically, the SES (SES, Policy Delivery Process, para. 21) stipulates that, among other disclosures specified by UNDP’s policies and procedures, UNDP will ensure that the following information be made available:

* Stakeholder engagement plans and summary reports of stakeholder consultations;
* Social and environmental screening reports with project documentation;
* Draft social and environmental assessments, including any draft management plans;
* Final social and environmental assessments and associated management plans; and
* Any required social and environmental monitoring reports.

As outlined in the SES and UNDP’s Social and Environmental Screening Procedure (SESP), the type and timing of assessments and management plans vary depending of the level of social and environmental risk associated with a project, as well as on the timing of the social and environmental assessment. This ESMF (and project SESPs) will be disclosed via the UNDP CO website in accordance with UNDP SES policy. The subsequent project ESMPs or stand-alone management plans will also be publicly disclosed via the UNDP CO website, once drafted. Additionally, a summary will be made available in French, and the content should be discussed in local languages with the communities. The Project Management Office will be responsible for ensuring that the information is channelled all the way to the project stakeholders in order to allow them to understand, comment on, and finally approve the SES documents.

The ESMF, ESMP, GAP, SEP, and stand-alone management plans will be finalized and adopted only after the required time period for disclosure has elapsed. These requirements for stakeholder engagement and disclosure will be adhered to during the implementation of this ESMF, and the subsequent implementation of the resulting ESMPs and any stand-alone management plans.

All FPIC-related documentation will be stored by UNDP CO.

### General Principles

* Discussions should mostly happen separately in order to get individual stakeholders and subgroups’ opinions expressed freely. Separate meetings are key for women and IPs. This can be explained to local authorities and chiefs during the courtesy visit and their individual interview.
* All stakeholders should be able to provide substantial inputs to project’s activities and outputs, as well as the SES documents: they should be explained in an adequate language, so that they can receive their comments and claims – their inputs could be specified in the proposal document.
* Chiefs and local elites should not be solely relied upon for participation – while this seems convenient from a project holder’s perspective to have local focal points (which can be used, with clear rules, during the implementation phase), it is not a good bet in the long term to ensure information sharing, community empowerment, and in the end good community management of the area.
* Separate consultations should be held with women, youths and indigenous people.
* Women’s group should be, when possible, facilitated by a woman.
* The language used to engage with stakeholders should be appropriate
* Promoting gender means going further than ensuring participation: the quality of participation needs to be ensured. The “community conservation agreements”, which serve to regulate the conservation activities of local communities, need to go further than recognizing the heterogeneity of the community’s participation and seek to diminish dissent (which ends up being made at the expense of the least powerful actors, and to support in the end the interests of the landowning elites[[3]](#footnote-3)), they need to guarantee the quality of the participation in order to take into account women’s interests.

# Grievance Mechanisms

*For more detailed information, see the Stakeholder Engagement Plan*

## UNDP’s Accountability Mechanisms

*For more information:* [*https://www.undp.org/content/undp/en/home/accountability/audit/secu-srm/social-and-environmental-compliance-unit.html*](https://www.undp.org/content/undp/en/home/accountability/audit/secu-srm/social-and-environmental-compliance-unit.html)

In addition to the project-level GRM, UNDP’s SECU and SRM remain available and stakeholders will be informed of this option to file a complaint or submit a request.

UNDP recognizes that even with strong planning and stakeholder engagement, unanticipated issues can still arise. Therefore, its social and environmental compliance reviews and stakeholder response mechanisms are underpinned by an Accountability Mechanism with two key components:

* A Social and Environmental Compliance Review Unit (SECU) to respond to claims that UNDP is not in compliance with applicable environmental and social policies; and
* A Stakeholder Response Mechanism (SRM) that ensures individuals, peoples, and communities affected by projects have access to appropriate grievance resolution procedures for hearing and addressing project-related complaints and disputes.

SECU and SRM Requests can be submitted via:

* An online webform: <https://secure.ethicspoint.eu/domain/media/en/gui/104895/index.html>
* WhatsApp, Viber and Signal using 001 (917) 207 4285, or through our WeChat Account **@SECUSRM**
* Call (costs are incurred by caller) using 001 (917) 207 4285. [Skype](https://www.skype.com/en/) is an affordable way to place such a call.
* By post: Attn: SECU/SRM, OAI, UNDP  
  1 U.N. Plaza, 4th Floor  
  New York, NY USA 10017
* By email to: [project.concerns@undp.org](mailto:project.concerns@undp.org)

Complaints should be as specific as possible, describing current or potential adverse impacts that have a plausible causal link to a UNDP-supported project/programme and, if possible, the UNDP social and environmental standards/commitments that are believed to have been violated.

While there are no strict format or language requirements, it is helpful if the complaint includes the following information:

* Name, address, telephone number, and other contact information.
* Whether the Complainant(s) wish to keep their identity confidential, and if so, why.
* Name, location, and nature of the UNDP project or programme (if known).
* How the Complainants believe they have been, or are likely to be, adversely affected by the UNDP-supported project or programme.
* If a third party, such as a civil society organization, is filing a complaint on behalf of an affected individual or community, the complaint should include evidence the third party is working on behalf of the individual or community.
* Although helpful, it is not necessary to cite to specific UNDP standards or policies (such as the UNDP's Social and Environmental Standards).

Existing national and sector forums may also provide important opportunities for stakeholders to provide feedback on project implementation. Utilization of existing structures and processes to engage stakeholders is encouraged, as this may provide opportunities for issues to be raised before they develop into more significant grievances. However, such fora would not substitute for specific project grievance redress mechanisms (GRM) that will be required.

## Project-level Grievance Redress Mechanism

*UNDP has developed guidance on GRMs – Terms of Reference for project-level GRM can be found as an annex to this document.*

*Grievance Redress Mechanism is also addressed in the Stakeholder Engagement Plan.*

The project will have its own grievance redress mechanisms in addition to formal official channels for grievance redress. The project will establish the following structure at the county level for the three project sites. Communities and individuals will be able to access this structure directly through their representatives or via letter or phone. This structure is based on the UNDP guidance on grievance redress mechanisms.

All project related grievances will be received by a focal point. The contact details of the grievance focal point will be provided to all stakeholders and community members and their organisations. Complaints can also be routed through any staff associated with the project who will forward it to the relevant focal point. The focal point will acknowledge the receipt of the grievance and formally register the same on a designated log and centralised database at the national PMU in a prescribed format which includes a note on how the grievance will be processed and who will be responsible for proposing a response. If deemed necessary, the focal point will forward the grievance to the social and environmental safeguards expert at the national PMU. All grievances received will be duly acknowledged in writing and the acknowledgement will necessarily include a reference number, a point of contact in the PMU and a brief description of the process that will be followed. This acknowledgement will be provided within five working days from the receipt of the complaint. In the event that the complainant cannot submit a grievance in writing, the focal persons will write the complaint on the aggrieved person’s behalf.

Each grievance received will be assessed for eligibility based on UNDP SES Stakeholder Engagement Guidance. This includes an assessment of whether the issue needs further clarification from the complainant or should be referred to other redress mechanisms or offices. Four of the broad criteria used to assess eligibility are:

1. Information about negative economic, social or environmental impact by the project on the complainant or has the potential to cause such an impact.
2. Specific information about the impact or probable impact is provided and how the project has or may cause it.
3. Indication that the complainant is or represents those impacted or those who are at risk of being impacted by the project on their request.
4. Information for the grievance redress mechanism staff to make a determination of the first three questions.

Once found eligible, the response may be any of three options: i) direct organisational action; ii) further engagement with the stakeholder and assessment of the grievance; iii) referral to a different mechanism using specific criteria that are transparent to the complainant. The relevant proposed response and why it is being proposed, or decision to not consider the complaint as eligible, will be conveyed to the complainant within three weeks in an appropriate manner (written or orally) and in the local language. The complainant will be provided an option to either proceed with the response, request a review of eligibility if needed, further dialogue on a proposed action or participation in a proposed assessment and engagement process to further pursue the complaint.

If the complainant agrees with the proposed response, the project will proceed with the relevant action or further assessment or referral. If theIt the complainant challenges the finding of ineligibility, rejects the proposed action or refuses to participate in a more comprehensive engagement and assessment, the project staff will try and meet the complainants to provide additional information and if possible will revise the proposed approach. If disagreement persists, the complainant will be informed about other recourse for the complaint and the outcome of the discussion will be documented. In sensitive and challengesing cases the grievance redress mechanism may use independent assessments, mediation or adjudication to seek resolution of the case.

The grievance will be closed once the response is implemented and deemed satisfactory by the complainant. Written documentation of this may be required if the complaint involved a major risk, impact or negative publicity.

# Monitoring and Evaluation Arrangements

Reporting on progress and issues in the implementation of this ESMF will be documented in the project’s quarterly reports and annual project implementation reports (PIRs). Until the ESMP and associated management plans are put in place, the responsible party will be tasked with compiling reports on the implementation of this ESMF, for reporting to the Project Steering Committee, to UNDP, and to GEF (as appropriate). Key issues will be presented to the Project Steering Committee during each committee meeting.

Implementation of the subsequent ESMP and management plans will be the responsibility of the Project Management Office, and other partners as agreed upon and described in those future plans.

The ESMF monitoring and evaluation plan will accompany project monitoring as outlined below in Table 14. Stakeholder participation will be encouraged throughout MRE of the ESMF.

## Parameters to be measured

**Strategic indicators to be monitored by the Programme Steering Committee**

* Effectiveness of Environmental and Social Screening of Project Activities (SESP);
* Effectiveness of environmental monitoring and reporting; and
* Implementation of training programs on SES

**Indicators to be monitored by the Implementation partner (UNDP)**

* Effectiveness of the insertion of environmental clauses in the execution files;
* Effectiveness of social measures for stakeholder engagement, FPIC implementation and gender-mainstreaming;
* Number of actors trained/aware in environmental and social management;
* Effectiveness of ESMP and Standalone management plans in place;
* Level of involvement of project stakeholders and target groups in monitoring the implementation of activities;
* Number of people affected by the programme;
* Regularity and effectiveness of proximity monitoring; and
* Effectiveness of the GRM

Table 11: ESMF M&E Plan

| **Monitoring Activity** | **Description** | **Frequency / Timeframe** | **Expected Action** | **Roles and Responsibilities** | **Cost (excl. staff time)** |
| --- | --- | --- | --- | --- | --- |
| Track progress of ESMF implementation | Implementation of this ESMF coordinated for each project, and with results reported to each Project Steering Committee on an annual basis. | Quarterly (until ESMPs and management plans are in place) | Required ESMF steps are completed in a timely manner. | UNDP CO  RTA | None |
| Monitoring of potential impacts identified in ESIA and per the subsequent ESMP, especially for activities which have not yet been defined | Permanent and participatory implementation and monitoring of impacts and mitigation measures, in accordance with ESMP (to be prepared together with ESIA). | Continuous, once ESIA is completed and ESMP is in place | Implementation of ESMP; participatory monitoring of ESIA findings (i.e. identifying indicators, monitoring potential impacts and risks); integration of ESMP into project implementation strategies. Monitoring of environmental and social risks, and corresponding management plans as relevant (tendered to national institute, local consultant, CSO or service provider) | PMU | 25,000 |
| Learning | Knowledge, good practices and lessons learned regarding social and environmental risk management will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project. | At least annually | Relevant lessons are captured by the project teams and used to inform management decisions. | PMU | None |
| Annual project quality assurance | The quality of the project will be assessed against UNDP’s quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project. | Annually | Areas of strength and weakness will be reviewed and used to inform decisions to improve project performance. | PMU  UNDP CO | None |
| Review and make course corrections | Internal review of data and evidence from all monitoring actions to inform decision-making. | At least annually | Performance data, risks, lessons and quality will be discussed by the project steering committee and used to make course corrections. | PSC | None |
| Annual project implementation reports | As part of progress report to be presented to the Project Steering Committee and key stakeholders, analysis, updating and recommendations for risk management will be included. | Annually | Updates on progress of ESMF/ESMP will be reported in the project’s annual PIRs. A summary of the avoidance and mitigation of potential social and environmental impacts will be included in the program annual report, sharing best practices and lessons learned across the programme. | PMU | None |
| Project review | The Project Steering Committee will consider updated analysis of risks and recommended risk mitigation measures at all meetings. | At least annually | Any risks and/ or impacts that are not adequately addressed by national mechanisms or project team will be discussed in project steering committee. Recommendations will be made, discussed and agreed upon. | PSC  PMU  UNDP CO | None |

# Budget for ESMF implementation

Table 12: Budget for ESMF Implementation

| **Monitoring Activity** | **Cost (excl. staff time) USD** | **Source of Funding** |
| --- | --- | --- |
| Development of ESIA, ESMP | 30,000 | Project |
| ESMP and ESIA report and protocols | 5,000 | Project |
| Monitoring of Environmental and Social Safeguards including gender and stakeholder engagement | 25,000 | Project |
| Safeguards Capacity-Building Plan | 10,000 | UNDP CO |
| **Total Budget** | **70,000** |  |

# Annexes

Annex 1 Indicative Outline of Environmental and Social Impact Assessment (ESIA)

Annex 2 : Indicative outline of Environmental and Social Management Plan (ESMP)

Annex 3: Sample Terms of Reference for a Grievance Redress Mechanism (GRM)

## Annex 1: Indicative Outline of Environmental and Social Impact Assessment (ESIA) Report

Please refer to the [UNDP SES Guidance Note on Assessment and Management](https://info.undp.org/sites/bpps/SES_Toolkit/SES%20Document%20Library/Uploaded%20October%202016/Final_UNDP_SES_Assessment_and_Management_GN_-_Dec2016.pdf) for additional information.

An ESIA report should include the following major elements (not necessarily in the following order):

* 1. **Executive summary:** Concisely discusses significant findings and recommended actions.
  2. **Legal and institutional framework**

Summarizes the analysis of the legal and institutional framework for the project, within which the social and environmental assessment is carried out, including (a) the country's applicable policy framework, national laws and regulations, and institutional capabilities (including implementation) relating to social and environmental issues; obligations of the country directly applicable to the project under relevant international treaties and agreements; (b) applicable requirements under UNDP’s SES; and (c) other relevant social and environmental standards and/or requirements, including those of any other donors and development partners. Compares the existing social and environmental framework and applicable requirements of UNDP’s SES (and those of other donors/development partners) and identifies any potential gaps that will need to be addressed.

* 1. **Project description**

Concisely describes the proposed project and its geographic, social, environmental, and temporal context, including any offsite activities that may be required (e.g., dedicated pipelines, access roads, power supply, water supply, housing, and raw material and product storage facilities), as well as the project’s primary supply chain. Includes a map of sufficient detail, showing the project site and the area that may be affected by the project’s direct, indirect, and cumulative impacts. (i.e. area of influence).

* 1. **Baseline data**

Summarizes the baseline data that is relevant to decisions about project location, design, operation, or mitigation measures; identifies and estimates the extent and quality of available data, key data gaps, and uncertainties associated with predictions;assesses the scope of the area to be studied and describes relevant physical, biological, and socioeconomic conditions, including any changes anticipated before the project commences; and takes into account current and proposed development activities within the project area but not directly connected to the project.

* 1. **Social and environmental risks and impacts**

Predicts and takes into account all relevant social and environmental risks and impacts of the project, including those related to UNDP’s SES (Overarching Policy and Principles and Project-level Standards). These will include, but are not limited to, the following:

1. *Environmental risks and impacts*, including any material threat to the protection, conservation, maintenance and rehabilitation of natural habitats, biodiversity, and ecosystems; those related to climate change and other transboundary or global impacts; those related to community health and safety; those related to pollution and discharges of waste; those related to the use of living natural resources, such as fisheries and forests; and those related to other applicable standards.[[4]](#footnote-4)
2. *Social risks and impacts*, including: any project-related threats to human rights of affected communities and individuals; threats to human security through the escalation of personal, communal or inter-state conflict, crime or violence; risks of gender discrimination; risks that adverse project impacts fall disproportionately on disadvantaged or marginalized groups; any prejudice or discrimination toward individuals or groups in providing access to development resources and project benefits, particularly in the case of disadvantaged or marginalized groups; negative economic and social impacts relating to physical displacement (i.e. relocation or loss of shelter) or economic displacement (i.e. loss of assets or access to assets that leads to loss of income sources or means of livelihood) as a result of project-related land or resource acquisition or restrictions on land use or access to resources; impacts on the health, safety and well-being of workers and project-affected communities; and risks to cultural heritage.
   1. **Analysis of alternatives**

Systematically compares feasible alternatives to the proposed project site, technology, design, and operation – including the "without project" situation – in terms of their potential social and environmental impacts; assesses the alternatives’ feasibility of mitigating the adverse social and environmental impacts; the capital and recurrent costs of alternative mitigation measures, and their suitability under local conditions; the institutional, training, and monitoring requirements for the alternative mitigation measures; for each of the alternatives, quantifies the social and environmental impacts to the extent possible, and attaches economic values where feasible. Sets out the basis for selecting the particular project design.

* 1. **Mitigation Measures**

Inclusion or summary of (with attachment of full) Environmental and Social Management Plan (ESMP) (see indicative outline of ESMP below). The ESMP identifies mitigation measures required to address identified social and environmental risks and impacts, as well as measures related to monitoring, capacity development, stakeholder engagement, and implementation action plan.

* 1. **Conclusions and Recommendations**

Succinctly describes conclusion drawn from the assessment and provides recommendations.

* 1. **Appendices**
* List of the individuals or organizations that prepared or contributed to the social and environmental assessment;
* References – setting out the written materials both published and unpublished, that have been used;
* Record of meetings, consultations and surveys with stakeholders, including those with affected people and local NGOs. The record specifies the means of such stakeholder engagement that were used to obtain the views of affected groups and local NGOs, summarizes key concerns and how these concerns addressed in project design and mitigation measures;
* Tables presenting the relevant data referred to or summarized in the main text;
* Attachment of any other mitigation plans; and
* List of associated reports or plans.

## Annex 2: Indicative outline of Environmental and Social Management Plan (ESMP)

Please refer to the [UNDP SES Guidance Note on Assessment and Management](https://info.undp.org/sites/bpps/SES_Toolkit/SES%20Document%20Library/Uploaded%20October%202016/Final_UNDP_SES_Assessment_and_Management_GN_-_Dec2016.pdf) for additional information.

An ESMP may be prepared as part of the Environmental and Social Impact Assessment (ESIA) or as a stand-alone document.[[5]](#footnote-5) The content of the ESMP should address the following sections:

* 1. **Mitigation**

Identifies measures and actions in accordance with the mitigation hierarchy that avoid, or if avoidance not possible, reduce potentially significant adverse social and environmental impacts to acceptable levels. Specifically, the ESMP: (a) identifies and summarizes all anticipated significant adverse social and environmental impacts; (b)describes – with technical details – each mitigation measure, including the type of impact to which it relates and the conditions under which it is required (e.g., continuously or in the event of contingencies), together with designs, equipment descriptions, and operating procedures, as appropriate; (c)estimates any potential social and environmental impacts of these measures and any residual impacts following mitigation; and (d) takes into account, and is consistent with, other required mitigation plans (e.g. for displacement, indigenous peoples).

* 1. **Monitoring**

Identifies monitoring objectives and specifies the type of monitoring, with linkages to the impacts assessed in the environmental and social assessment and the mitigation measures described in the ESMP. Specifically, the monitoring section of the ESMP provides

* + 1. a specific description, and technical details, of monitoring measures, including the parameters to be measured, methods to be used, sampling locations, frequency of measurements, detection limits (where appropriate), and definition of thresholds that will signal the need for corrective actions;
    2. monitoring and reporting procedures to (i) ensure early detection of conditions that necessitate particular mitigation measures, and (ii) furnish information on the progress and results of mitigation.
  1. **Capacity development and training**

To support timely and effective implementation of social and environmental project components and mitigation measures, the ESMP draws on the environmental and social assessment of the existence, role, and capability of responsible parties on site or at the agency and ministry level. Specifically, the ESMP provides a description of institutional arrangements, identifying which party is responsible for carrying out the mitigation and monitoring measures (e.g. for operation, supervision, enforcement, monitoring of implementation, remedial action, financing, reporting, and staff training). Where support for strengthening social and environmental management capability is identified, ESMP recommends the establishment or expansion of the parties responsible, the training of staff and any additional measures that may be necessary to support implementation of mitigation measures and any other recommendations of the environmental and social assessment.

* 1. **Stakeholder Engagement**

Outlines plan to engage in meaningful, effective and informed consultations with affected stakeholders. Includes information on

* + 1. means used to inform and involve affected people in the assessment process;
    2. summary of stakeholder engagement plan for meaningful, effective consultations during project implementation, including identification of milestones for consultations, information disclosure, and periodic reporting on progress on project implementation;
    3. description of effective processes for receiving and addressing stakeholder concerns and grievances regarding the project’s social and environmental performance.
  1. **Implementation action plan (schedule and cost estimates):**

For all four above aspects (mitigation, monitoring, capacity development, and stakeholder engagement), ESMP provides (a) an implementation schedule for measures that must be carried out as part of the project, showing phasing and coordination with overall project implementation plans; and (b) the capital and recurrent cost estimates and sources of funds for implementing the ESMP. These figures are also integrated into the total project cost tables. Each of the measures and actions to be implemented will be clearly specified and the costs of so doing will be integrated into the project's overall planning, design, budget, and implementation.

## Annex 2: Sample Terms of Reference: Project-level Grievance Redress Mechanism

Please refer to the [Supplemental Guidance on Grievance Redress Mechanism](https://info.undp.org/sites/bpps/SES_Toolkit/SES%20Document%20Library/Uploaded%20October%202016/Supplemental%20Guidance_Grievance%20Redress%20Mechanisms.pdf) for additional information.

1. **Mandate**

The mandate of the GRM will be to:

* 1. Receive and address any concerns, complaints, notices of emerging conflicts, or grievances

(collectively “*Grievance*”) alleging actual or potential harm to affected person(s) (the “*Claimant(s)*”) arising from the project;

* 1. Assist in resolution of Grievances between and among Project Stakeholders; as well as the various government ministries, agencies and commissions, CSOs and NGOs, and others (collectively, the “*Stakeholders*”) in the context of the project;
  2. Conduct itself at all times in a flexible, collaborative, and transparent manner aimed at problem solving and consensus building.

1. **Functions**

The functions of the GRM will be to:

* 1. Receive, log and track all grievances received;
  2. Provide regular status updates on grievances to claimants, Project Board (PB) members and other relevant stakeholders, as applicable;
  3. Engage the PB members, government institutions and other relevant stakeholders in grievance resolution;
  4. Process and propose solutions and ways forward related to specific grievances *within a period not to exceed sixty (60) days* from receipt of the grievance;
  5. Identify growing trends in grievances and recommend possible measures to avoid the same;
  6. Receive and service requests for, and suggest the use of, mediation or facilitation;
  7. Elaborate bi-annual reports, make said reports available to the public, and more generally work to maximize the disclosure of its work (including its reports, findings and outcomes);
  8. Ensure increased awareness, accessibility, predictability, transparency, legitimacy, and credibility of the GRM process;
  9. Collaborate with Partner Institutions and other NGOs, CSOs and other entities to conduct outreach initiatives to increase awareness among Stakeholders as to the existence of the GRM and how its services can be accessed;
  10. Ensure continuing education of PB members and their respective institutions about the relevant laws and policies that they will need to be aware of to participate in the development of effective resolutions to grievances likely to come before the GRM;
  11. Monitor follow up to grievance resolutions, as appropriate.

1. **Composition**

The GRM will be composed of:

[Name of Implementing Partner] as the Secretariat and either:

1. A standing GRM Sub-Committee [made up of x, y, z PB members]

and/or

1. Ad hoc GRM Task Teams in response to specific requests for grievance

The GRM Sub-Committee will be balanced in composition (government and non-government) and should not include any PB members with a direct interest or role in the grievance/dispute.

1. **[Name of Implementing Partner]**

In its role as GRM Secretariat, [Name of Implementing Partner] will perform the following core functions:

* Publicize the existence of the GRM and the procedure for using it;
* Receive and log requests for dispute resolution;
* Acknowledge receipt to the requestor;
* Determine eligibility;
* Forward eligible requests to the PB for review and action, and
* Track and document efforts at grievance/dispute resolution and their outcomes.

1. **Project Board/GRM Sub-Committee/GRM Task Team**

The Project Board/GRM Sub-Committee and/or GRM Task Team will perform the following core functions:

* Take direct action to resolve the grievance/dispute (e.g. bring the relevant parties together to discuss and resolve the issue themselves with oversight by the PB);
* Request further information to clarify the issue, and share that information with all relevant parties, or ensure that a government agency represented on the PB took an appropriate administrative action to deal with a complaint;
* Refer the grievance/dispute to independent mediation, while maintaining oversight; or
* Determine that the request was outside the scope and mandate of the PB and refer it elsewhere (e.g. Ministry of Justice and Police or to the courts).

1. **Communicating a Grievance**
   1. *Who can Submit a Grievance?*

A grievance can be sent by any individual or group of individuals that believes it has been or will be harmed by the Project.

If a grievance is to be lodged by a different individual or organization on behalf of those said to be affected, the claimant must identify the individual and/or people on behalf of who the grievance is submitted and provide written confirmation by the individual and/or people represented that they are giving the claimant the authority to present the grievance on their behalf. The GRM will take reasonable steps to verify this authority.

* 1. *How is the Grievance Communicated?*

The GRM shall maintain a flexible approach with respect to receiving grievances in light of known local constraints with respect to communications and access to resources for some stakeholders. A grievance can be transmitted to the GRM by any means available (i.e. by email, letter, phone call, meeting, SMS, etc.). The contact information is the following:

[Implementing Partner to add address, phone number, fax, etc.]

To facilitate communications with and between the GRM and potential claimants, the GRM will receive support from the PB members’ institutions, local government and civil society organizations

* 1. *What information should be included in a grievance?*

The Grievance should include the following information:

* + 1. the name of the individual or individuals making the complaint (the “claimant”);
    2. a means for contacting the claimant (email, phone, address, other);
    3. if the submission is on behalf of those alleging a potential or actual harm, the identity of those on whose behalf the grievance is made, and written confirmation by those represented of the

Claimant’s authority to lodge the grievance on their behalf;

* + 1. the description of the potential or actual harm;
    2. Claimant’s statement of the risk of harm or actual harm (description of the risk/harm and those affected, names of the individual(s) or institutions responsible for the risk/harm, the location(s) and date(s) of harmful activity);
    3. what has been done by the claimant thus far to resolve the matter;
    4. whether the claimant wishes that their identity is kept confidential; and
    5. the specific help requested from the GRM.

However, complainants are not required to provide all of the information listed above. Initially, the complainant need only provide enough information to determine eligibility. If insufficient information is provided, the GRM has an obligation to make a substantial, good faith effort to contact the complainant to request whatever additional information is needed to determine eligibility, and if eligible, to develop a proposed response.

1. **Logging, Acknowledgment, and Tracking**

All grievances and reports of conflict will be received, assigned a tracking number, acknowledged to the claimant, recorded electronically, and subject to periodic updates to the claimant as well as the office file.

Within one (1) week from the receipt of a Grievance, the GRM will send a *written* acknowledgement to the claimant of the grievance received with the assigned tracking number.1

Each grievance file will contain, at a minimum:

1. the date of the request as received;
2. the date the written acknowledgment was sent (and oral acknowledgment if also done);

1 Oral acknowledgments can be used for expediency (and also recorded), but must be followed by a written acknowledgment.

1. the dates and nature of all other communications or meetings with the claimant and other relevant stakeholders;
2. any requests, offers of, or engagements of a mediator or facilitator;
3. the date and records related to the proposed solution/way forward;
4. the acceptance or objections of the claimant (or other stakeholders);
5. the proposed next steps if objections arose;
6. the alternative solution if renewed dialogues were pursued;
7. notes regarding implementation; and
8. any conclusions and recommendations arising from monitoring and follow up.
9. **Maintaining Communication and Status Updates**

Files for each grievance will be available for review by the claimant and other stakeholders involved in the grievance, or their designated representative(s). Appropriate steps will be taken to maintain the confidentiality of the claimant if previously requested.

The GRM will provide periodic updates to the claimant regarding the status and current actions to resolve the grievance. Not including the acknowledgment of receipt of the grievance, such updates will occur within reasonable intervals (not greater than every thirty (30) days).

1. **Investigation and Consensus Building**

Within one (1) week of receiving a grievance, [Implementing Partner] will notify the PB/**GRM Sub-Committee (GRM SC)/GRM Task Team (GRM TT)** and any other relevant institutions of the receipt of the grievance.

[IF THE PB, RATHER THAN A PRE-DESIGNATED GRM SC OR GRM TT IS THE PRIMARY BODY RECEIVING COMPLAINTS:

The PB will identify a specific team of individuals drawn from the PB and/or their respective institutions to develop a response to the grievance. The names of these individuals will be made available to the claimant.]

The designated PB members/GRM SC/GRM TT will promptly engage the claimant and any other relevant stakeholders deemed appropriate, to gather all necessary information regarding the grievance.

Through the PB members/GRM SC/GRM TT, the GRM will have the authority to request from relevant government institutions any information (documents or otherwise) relevant to resolving the Grievance and avoiding future grievances of the same nature.

As necessary, the PB members/GRM SC/GRM TT will convene one or more meetings with relevant individuals and institutions in [national capital], or elsewhere in [name of country] as needed.

The objective of all investigative activities is to develop a thorough understanding of the issues and concerns raised in the grievance and facilitate consensus around a proposed solution and way forward.

The PB members/GRM SC/GRM TT will procure the cooperation of their respective staff with the investigation.

At any point during the investigation, the PB members/GRM SC/GRM TT may determine that an onsite field investigation is necessary to properly understand the Grievance and develop an effective proposed solution and way forward.

1. **Seeking Advisory Opinion and/or Technical Assistance**

At any point after receiving a grievance and through to implementation of the proposed solution and way forward, the PB members/GRM SC/GRM TT may seek the technical assistance and/or an advisory opinion from any entity or individual in [country] or internationally which may reasonably be believed to be of assistance.

1. **Making Proposed Actions and Solutions Public and Overseeing Implementation**

The PB members/GRM SC/GRM TT will communicate to the claimant one or more proposed actions or resolutions and clearly articulate the reasons and basis for proposed way forward.

If the claimant does not accept the resolution, the PB members/GRM SC/GRM TT will engage with the claimant to provide alternative options.

If the claimant accepts the proposed solution and way forward, the GRM will continue to monitor the implementation directly and through the receipt of communications from the claimant and other relevant parties. As necessary, the GRM may solicit information from the relevant parties and initiate renewed dialogue where appropriate.

In all communications with the Claimant and other stakeholders, the GRM will be guided by its problem-solving role, non-coercive principles and process, and the voluntary, good faith nature of the interaction with the claimant and other stakeholders.

1. **Monitoring and Evaluation**

Bi-annually, the GRM will make available to the public, a report describing the work of the GRM, listing the number and nature of the grievances received and processed in the past six months, a date and description of the grievances received, resolutions, referrals and ongoing efforts at resolution, and status of implementation of ongoing resolutions. The level of detail provided with regard to any individual grievance will depend on the sensitivity of the issues and stakeholder concerns about confidentiality, while providing appropriate transparency about the activities of the GRM. The report will also highlight key trends in emerging conflicts, grievances, and dispute resolution, and make recommendations regarding:

* 1. measures that can be taken by the government to avoid future harms and grievances; and
  2. improvements to the GRM that would enhance its effectiveness, accessibility, predictability, transparency, legitimacy, credibility, and capacity.

1. **Mediation**

For the option of independent mediation, mediators on the roster/panel should have at least the following qualifications:

* professional experience and expertise in impartial mediation;
* knowledge of [project type and activities in the country] and the region, including an understanding of indigenous and tribal culture and practices;
* [national and local language, as appropriate] proficiency;
* availability in principle for assignments of up to 20 days; and
* willingness to declare all relationships and interests that may affect their ability to act as impartial mediators in particular cases.

If mediation succeeded in resolving the dispute or grievance, the outcome will be documented by [Implementing Partner] and reviewed by the Task Team. If it is unsuccessful, stakeholders will have the option to return to the PB members/GRM SC/GRM TT for assistance.

1. **Without Prejudice**

The existence and use of this GRM is without prejudice to any existing rights under any other complaint mechanisms that an individual or group of individuals may otherwise have access to under national or international law or the rules and regulations of other institutions, agencies or commissions.

1. See [UNSDG, Leaving no one behind – A UNSDG operational guide for UN Country Teams](https://undg.org/document/leaving-no-one-behind-a-unsdg-operational-guide-for-un-country-teams-interim-draft/) (interim draft April 2019). [↑](#footnote-ref-1)
2. For further information, visit [www.undp.org/secu-srm](http://www.undp.org/secu-srm). [↑](#footnote-ref-2)
3. Engendering safeguards [↑](#footnote-ref-3)
4. For example, the Environmental, Health, and Safety Guidelines (EHSGs), which are technical reference documents with general and industry-specific statements of Good International Industry Practice. The EHSGs contain information on industry-specific risks and impacts and the performance levels and measures that are generally considered to be achievable in new facilities by existing technology at reasonable cost. Available at [www.ifc.org/ehsguidelines](http://www.ifc.org/ehsguidelines#_blank). [↑](#footnote-ref-4)
5. This may be particularly relevant where contractors are being engaged to carry out the project, or parts thereof, and the ESMP sets out the requirements to be followed by contractors. In this case the ESMP should be incorporated as part of the contract with the contractor, together with appropriate monitoring and enforcement provisions. [↑](#footnote-ref-5)