PROJECT NAME

Environmental and Social

Management Framework

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# Executive Summary

Concise summary of overall project objectives, responsible partners, potential social and environmental impacts, and the ESMF, including alignment with the UNDP SES and *inter alia* its requirements on stakeholder engagement and grievance redress.

# Introduction

This Environmental and Social Management Framework (ESMF) has been prepared in support of a project proposal for “WHAT” by the Government of WHAT to the Green Climate Fund (GCF). As this project is supported by UNDP in its role as a GCF Accredited Entity, the project has been screened against UNDP’s Social and Environmental Standards (SES) utilizing the UNDP Social and Environmental Screening Procedure (SESP) and deemed a Moderate Risk project.

The PROJECT NAME includes a range of activities that have not been fully specified in terms of specific locations/components and cannot be fully assessed at this stage for all potential social and environmental risks and impacts. As such, this ESMF has been prepared that sets out the principles, rules, guidelines and procedures for screening, assessing, and managing the potential social and environmental impacts of the forthcoming but as yet undefined interventions. It contains measures and plans to avoid, and where avoidance is not possible, to reduce, mitigate and/or offset adverse risks and impacts. The ESMF specifies the most likely applicable social and environmental policies and requirements and 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.

WHERE RELEVANT, INCLUDE AND FURTHER ELABORATE THIS PARA. For the project components that have been defined with a reasonable degree of certainty, this ESMF includes as annexes initial management plans (or outlines thereof) for addressing likely social and environmental impacts and to address the requirements of applicable policies and standards, including the UNDP SES.

# Project Description

THE WHO with support from UNDP, is formulating a project on WHAT for submission to the GCF. The project will seek to OVERARCHING OBJECTIVE.

## Overview of the Project

[context, issue identification].

The (Figure 1).

### Description of baseline environmental and socioeconomic conditions

(see Project Proposal and Feasibility Study for additional information).

Figure 1 Map

## Summary of Activities

The proposed project will have the following activities:

Insert table from proposal

# Applicable Legal and Institutional Framework

This section provides a preliminary review of the applicable policy, legal and institutional (PLR) framework related to the potential risks and benefits of the implementation of the proposed activities. It includes a brief review of applicable national legislation, policies and regulations; applicable international agreements; and the UNDP SES.

NOTE: CCA and REDD+ ESMFs have naturally adopted somewhat different approaches to this section of the ESMF, with CCA proposals focused on identifying laws/regs related largely but not exclusively to the physical footprint of activities, and hence in particular those related to EIA. REDD+ ESMFs, often with a broader policy reform focus, take a broader review across various sector policies, utilizing the PLR analysis tables as well as a gaps analysis with the Cancun SGs. ESMFs should continue to provide flexibility for these different approaches. A key aim of both types of analyses should be, in addition to identifying applicable laws/regs, to also identifying potential gaps with the UNDP SES and the need for invoking key SES requirements where gaps are identified (e.g. if FPIC processes with indigenous peoples are not required nationally, the UNDP SES requirements need to be invoked). For REDD+ ESMFs, reference to the Cancun SGs (now listed below) would need to be moved up to inform the gap analysis.

## Legislation, Policies and Regulations

The following legislation is relevant to the project: [Note: utilize and adapt for either CCA or REDD+ format of PLR analysis]

* .

## Environmental Impact Assessment IN WHERE

[Note: detailed analysis typically for activities with likely physical footprint. Should include review whether EIA requirements address UND SES including consultation and disclosure requirements].

.

### Environmental Impact Assessment Process

.

## International Agreements and Protocols

WHO is a signatory to a number of international and regional agreements and conventions, which are related to the environment. They include: [Note: identify directly relevant international agreements, and where possible, why they have been listed in relation to the project. A listing of all potential signed conventions is not useful]

## UNDP SES

The project will comply with UNDP’s [Social and Environmental Standards](http://www.undp.org/content/undp/en/home/librarypage/operations1/undp-social-and-environmental-standards/) (SES), which came into effect in January 2015. The SES underpin UNDP’s commitment to mainstream social and environmental sustainability in its Programmes and Projects to support sustainable development. The objectives of the standards 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
* Ensure full and effective stakeholder engagement, including through a mechanism to respond to complaints from project-affected people

The SES are an integral component of UNDP’s quality assurance and risk management approach to programming. This includes the [Social and Environmental Screening Procedure](http://www.undp.org/content/undp/en/home/librarypage/operations1/undp-social-and-environmental-screening-procedure/) (see the completed SESP for the project in Annex XXX of proposal).

**Key Elements of UNDP’s Social and Environmental Standards (SES)​**

|  |  |  |
| --- | --- | --- |
| ​​​​Overarching Policy | ​Project-Level Standards | ​Policy Delivery Process & Accountability |
| **​**[**Principle 1:** ​Human Rights](https://info.undp.org/sites/bpps/SES_Toolkit/SitePages/Human%20Rights.aspx)[**Principle 2:** ​Gender Equality and Women's Empowerment](https://info.undp.org/sites/bpps/SES_Toolkit/SitePages/Gender%20Equality%20and%20Women%27s%20Empowerment.aspx)[**Principle 3:** Environmental Sustainability](https://info.undp.org/sites/bpps/SES_Toolkit/SitePages/Environmental%20Sustainability.aspx) | [​​**Standard 1:**Biodiversity Conservation and Sustainable Natural Resource Management​](https://info.undp.org/sites/bpps/SES_Toolkit/SitePages/Standard%201.aspx)[**Standard 2:** Climate Change Mitigation and Adaptation​](https://info.undp.org/sites/bpps/SES_Toolkit/SitePages/Standard%202.aspx)[**Standard 3:** Community Health, Safety and Working Conditions​](https://info.undp.org/sites/bpps/SES_Toolkit/SitePages/Standard%203.aspx)[**Standard 4:** Cultural Heritage](https://info.undp.org/sites/bpps/SES_Toolkit/SitePages/Standard%204.aspx)[**Standard 5:** Displacement and Resettlement​](https://info.undp.org/sites/bpps/SES_Toolkit/SitePages/Standard%205.aspx)[**Standard 6:**Indigenous Peoples](https://info.undp.org/sites/bpps/SES_Toolkit/SitePages/Standard%206.aspx)[**Standard 7:** Pollution Prevention and Resource Efficiency](https://info.undp.org/sites/bpps/SES_Toolkit/SitePages/Standard%207.aspx) | [**Quality Assurance**](https://info.undp.org/sites/bpps/SES_Toolkit/SitePages/Policy%20Delivery.aspx)[**Screening and Categorization**](https://info.undp.org/sites/bpps/SES_Toolkit/SitePages/Policy%20Delivery.aspx)[**Assessment and Management**](https://info.undp.org/sites/bpps/SES_Toolkit/SitePages/Policy%20Delivery.aspx)[**Stakeholder Engagement**](https://info.undp.org/sites/bpps/SES_Toolkit/SitePages/Stakeholder%20Engagement.aspx) and [**Response Mechanism**](https://info.undp.org/sites/bpps/SES_Toolkit/SitePages/Response%20Mechanisms.aspx)[**Access to Information**](https://info.undp.org/sites/bpps/SES_Toolkit/SitePages/Access%20to%20Information.aspx)[**Monitoring, Reporting**](https://info.undp.org/sites/bpps/SES_Toolkit/SitePages/Monitoring%2C%20Reporting%20and%20Compliance.aspx), and [**Compliance review**](https://info.undp.org/sites/bpps/SES_Toolkit/SitePages/Compliance%20Review.aspx) |

The Standards are underpinned by an [Accountability Mechanism](http://www.undp.org/content/undp/en/home/operations/accountability/secu-srm/) with two key functions:

* A [Stakeholder Response Mechanism](http://www.undp.org/content/undp/en/home/operations/accountability/secu-srm/stakeholder-response-mechanism/) (SRM) that ensures individuals, peoples, and communities affected by UNDP projects have access to appropriate procedures for hearing and addressing project-related grievances; and
* A [Compliance Review](http://www.undp.org/content/undp/en/home/operations/accountability/secu-srm/social-and-environmental-compliance-unit.html) process to respond to claims that UNDP is not in compliance with UNDP’s social and environmental policies.

Through the GCF Accreditation Process, the SES are acknowledged to be consistent with the GCF’s Environment and Social Standards.

## [UNFCCC REDD+ safeguard requirements]

[FOR REDD+ ESMFs] The project will also comply with the UNFCCC REDD+ safeguard requirements, referred to as the ‘Cancun safeguards’. Appendix 1 of decision [1/CP.16](http://unfccc.int/resource/docs/2010/cop16/eng/07a01.pdf) indicate that when undertaking activities referred to in [paragraph 70](http://unfccc.int/resource/docs/2010/cop16/eng/07a01.pdf) (REDD+) of decision [1/CP.16](http://unfccc.int/resource/docs/2010/cop16/eng/07a01.pdf), the following safeguards should be promoted and supported when undertaking REDD+ Activities:

1. That actions complement or are consistent with the objectives of national forest programmes and relevant international conventions and agreements;
2. Transparent and effective national forest governance structures, taking into account national legislation and sovereignty;
3. Respect for the knowledge and rights of indigenous peoples and members of local communities, by taking into account relevant international obligations, national circumstances and laws, and noting that the United Nations General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples;
4. The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities, in the actions referred to in paragraphs 70 and 72 of this decision;
5. That actions are consistent with the conservation of natural forests and biological diversity, ensuring that the actions referred to in paragraph 70 of this decision are not used for the conversion of natural forests, but are instead used to incentivize the protection and conservation of natural forests and their ecosystem services, and to enhance other social and environmental benefits;
6. Actions to address the risks of reversals;
7. Actions to reduce displacement of emissions.

While it’s considered that Cancun safeguards (f) and (g) are implicitly captured in the UNDP Social and Environmental Standards and Policies (see table in Attachment 1 of Annex XXX SESP), it is important to consider these Cancun safeguards separately in the SESP and ESMF because they: 1) are not explicitly referenced in the UNDP standards; 2) are unique to risks for forest and land use; and 3) should be reflected separately in the national reporting of the SIS/Summary Of Information (SOI).

# Potential Social and Environmental Impacts and Procedures for Addressing Them

## Social and Environmental Impacts

The project has been screened against UNDP’s Social and Environmental Standards utilizing the UNDP Social and Environmental Screening Procedure. The Social and Environmental Screening Template (Annex XX) was prepared and the project deemed to be a Moderate Risk project. The SESP provides the rationale for the risk categorization. The Table below further addresses identified risks by project component and the proposed mitigation and management measures to address them. and classified as a moderate risk.

Note: The CCA ESMFs provide a useful project component/activity level summary of related risks and proposed mitigation measures. This approach is helpful in ensuring that all potential mitigation measures are listed (and could feed into the ESMP once activities are further specified). It pulls the risks from the SESP and places them in relation to the specific project component. However, if this approach is not possible given the present lack of definition to specific project components, then a summary table of the risks and mitigation measures from the SESP can be entered.

Table 3 UNDP Risk matrix

| **Activity** | **Risks and Impacts** | **Avoidance and Mitigation Measures** |
| --- | --- | --- |
| Output 1:  |
| 1.1 |  |  |
| 1.2 |  |  |
|  |  |  |
| Output 2:  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

### Discussion of significant social and environmental issues and impacts

This section, if needed, can be utilized to describe particularly significant issues and impacts that will need to be addressed (e.g. land tenure issues, indigenous peoples’ issues)

## Procedures to Address Social and Environmental Impacts

The purpose of this section is to ensure that project activities once fully defined are screened for risks and appropriate assessment and management measures are adopted. In addition, it serves as a “commitment plan” listing the key assessments and management plans that will need to be undertaken and budgeted for. This includes plans mandated by the UNDP SES, where relevant.

The ESMF identifies potential social and environmental risks and impacts from project activities and outlines strategies and procedures for identifying risks and impacts from as yet fully defined project components and for managing those risks and minimising undesirable environmental and social impacts. Further, the ESMF identifies stakeholder engagement processes and a Grievance Redress Mechanism for stakeholders with concerns and/or complaints regarding the project.

### Screening for further social and environmental risks and impacts

OPTION A: For projects with components still to be fully defined:

The PROJECT NAME includes a number of components and their specific locations that remain to be fully defined and assessed. These components and activities are the following (see also sec. XXX of this ESMF):

* LIST PROJECT COMPONENTS THAT REMAIN TO BE FULLY DEFINED AND ASSESSED

Once the project activities are fully specified, the project SESP will be updated to review the fully specified components and to determine whether additional social and environmental impacts may be present and need to be assessed and managed. Where the screening of the fully defined projects components identifies potential social and environmental risks that could be categorized as High Risk, these components will be redesigned to eliminate and/or minimize such risks. Project components that may still present High Risks after redesign will be excluded. The SESP will also be updated in there are any significant changes in the project’s design or context that may materially change its social and environmental risk profile.

OPTION B: For projects that will include a series of sub-projects:

The PROJECT NAME will support a series of sub-projects over the course of its implementation. These sub-projects are described in section XXX of this ESMF. Each sub-project will be screened for social and environmental risks and impacts utilizing the [A SPECIFIC SCREENING TOOL IS OFTEN UTILIZED IN ESMFs THAT IS TAILORED FOR IDENTIFYING RISKS/IMPACTS OF THE SUBPROJECTS TO BE SUPPORTED. THIS SPECIFC SCREENING TOOL IS TO BE DEVELOPED IN A MANNER CONSISTENT WITH SES/SESP AND ANNEXED TO THE ESMF]. Where the screening of the sub-project identifies potential social and environmental risks that could be categorized as High Risk, the sub-project will be redesigned to eliminate and/or minimize such risks. Sub-projects that may still present High Risks after redesign will be excluded. The screening of sub-projects will also be updated in there are any significant changes in the sub-project’s design or context that may materially change its social and environmental risk profile.

### Assessment and management of social and environmental risks and impacts

This section specifies the types of additional social and environmental analyses/assessments and management plans that will need to be undertaken/developed to address the risks/impacts identified by the additional screening in the above section. This could involve targeted assessments of specific issue areas, including site-specific assessments the development of site-specific ESMPs, or if feasible, a comprehensive ESIA that encompasses all project components.

NOTE: where the project components are already known with a degree of certainty and analysis has been undertaken, include reference here to an initial ESMP and the Key Environmental and Social indicators and Management Measures (see Annexures on ESMP and Indicators). A number of CCA ESMPs have included extensive management/operational plans for addressing particular well-defined risks (e.g. water, air quality, noise, flora and fauna).

The targeted assessments/site-specific assessments/comprehensive Environmental and Social Impact Assessment (ESIA) will be undertaken once project activities/sub-projects and sites are fully defined. The assessment(s) will be conducted in a manner consistent with national regulations and the UNDP SES and lead to the development of appropriately scaled management measures and plans to address the identified risks and impacts.

The UNDP SES and SESP require that in all cases required social and environmental assessments and adoption of appropriate mitigation and management measures must be completed, disclosed, and discussed with stakeholders prior to implementation of any activities that may cause adverse social and environmental impacts.

WHERE THE NEED FOR SPECIFIC MANAGEMENT PLANS HAS BEEN IDENTIFIED: Based on the above initial analysis, the following management plans will need to be elaborated after project details and sites are confirmed. The following management plans will be consistent with the requirements of the UNDP SES and may be incorporated into an updated ESMP or elaborated as a site-specific plans. If articulated as a site-specific plans, the project ESMP will be updated to note the need for such plans and which activities cannot proceed until such plans are in place:

List of management plans that may need to be developed (examples). Elaborate reason for each:

* Stakeholder Engagement Plan (see section 7 and Annex XX if attaching stand-alone SEP)
* Livelihood Action Plan
* Indigenous Peoples Plan
* Biodiversity Management Plan
* Cultural Heritage Management Plan

### Assumptions Underpinning the ESMF

The following assumptions have been made in the preparation of this ESMF:

* NOTE: list of key assumption or exclusions can be provided here. For example, it is known that no physical displacement will takes place, or no activities will take place in protected areas. Otherwise section can be eliminated.

# Implementation and operation

This section gives a clear definition of roles and responsibilities of project staff and associated agencies in implementation of project activities and application of social and environmental procedures (e.g. screening, assessment, preparation of management plans, monitoring). Assess the particular institutional needs within the implementation framework for application of the ESMF, including a review of the authority and capability of institutions at different administrative levels (e.g. local, district, provincial/regional, and national), and their capacity to manage and monitor ESMF implementation. Where necessary, capacity building and technical assistance activities should be included to enable implementing agencies and involved institutions and stakeholders to implement the ESMF, including preparation, implementation and monitoring of specific social and environmental management plans/measures.

Below is an example of specified roles and responsibilities.

## General Management Structure and Responsibilities

A high-level PMU structure is shown in Figure 2 The key roles are discussed below.

Figure 2 Project organisation structure

### Project Board

The Project Board (Steering Committee) is comprised of the Responsible Parties and the Implementing Partner. PROVIDE DETAILS ON RESPONSIBLE PARTIES. The Implementing Partner for this project is the WHO. The WHO is accountable to UNDP for managing the project, including the monitoring and evaluation of project interventions, achieving project outcomes, and for the effective use of UNDP resources.

The Project Board reviews and appraises the detailed project plan, including the ESMF, and provides overall guidance and direction to the project, including guidance to the Project Manager on possible management actions to address specific risks.

The following parties have entered into agreements with WHO to assist in successfully delivering project outcomes and are directly accountable to the WHO as outlined in the terms of their agreement:

### Project Management Unit and Project Manager

The PMU will be established under the Implementing Partner WHO. The PMU will include the key roles identified in the organisation chart, in particular the Project Manager.

The Project Manager will run the project on a day-to-day basis on behalf of the WHOwithin the constraints laid down by the Project Board. The Project Manager’s function will end when the final project terminal evaluation report and other documentation required by UNDP has been completed and submitted to UNDP.

The Project Manager is responsible for day-to-day management and decision-making for the project. The Project Manager’s prime responsibility is to ensure that the project produces the results specified in the Project Document to the required standard of quality and within the specified constraints of time and cost.

The Project Manager is responsible for overseeing implementation of the ESMF and required environmental and social risk management actions (see below).

### Project Assurance

The ‘project assurance’ function of UNDP is to support the Project Board by carrying out objective and independent project oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed. Project assurance has to be independent of the Project Manager; therefore, the Project Board cannot delegate any of its assurance responsibilities to the Project Manager. Furthermore, as the Senior Supplier, UNDP provides quality assurance for the project; ensures adherence to the NIM guidelines and compliance with UNDP policies and procedures, including its Social and Environmental Standards and implementation of the requirements of this ESMF.

A UNDP Programme Officer, or M&E Officer, typically holds the Project Assurance role on behalf of UNDP.

## Project Delivery and Administration

### Project Delivery

The Implementing Partner WHO – through the PMU, Project Manager and subsidiary departments and the delivery organisations (e.g. contractors and/or NGOs LIST WHERE KNOWN) – will implement the project. In addition, collaboration with councils, existing NGOs and local communities is expected by UNDP.

### Administration of Environmental and Social Management Framework

This section specifies the key responsibilities for addressing the ESMF in project activities. It needs to be adapted to the particular project. Below includes a number of responsibilities associated with projects that have construction activities.

The Implementing Partner WHO and will be responsible for overseeing the implementation and compliance with the ESMF via the collaborating delivery organisations (e.g. contractors, NGOs). The ESMF and developed management plans and will be part of any tender documentation.

The Implementing Partner WHO will be responsible for the revision or updates of this document and relevant management plans during the course of work. Material changes to the ESMF will be made in consultation with UNDP.

The UNDP and WHO are accountable for the provision of specialist advice on environmental and social issues to the delivery organisations (e.g. contractors, NGOs) and for environmental and social monitoring and reporting. The WHO or its delegate will assess the environmental and social performance of the delivery organisations (e.g. contractors, NGOs) in charge of delivering each component throughout the project and ensure compliance with the ESMF. During operations the delivery organisations will be accountable for implementation of the ESMF. Personnel working on the project have accountability for preventing or minimising environmental and social impacts.

For construction activities, the delivery organisation/site supervisor will be responsible for daily inspections (e.g. environmental inspections, Occupational Health & Safety) of the construction site. The WHO will cross check these inspections by undertaking monthly audits. The Supervising Engineer/Project Manager will supervise the contractor, while the WHO will be responsible for environment and social issues.

The delivery organisation (e.g. contractor, NGO) will be responsible for the day-to-day compliance of the ESMF at the specific project site. The delivery organisation (e.g. contractor, NGO) will maintain and keep all administrative and social and environmental records which would include a log of complaints and incidents together with records of any measures taken to mitigate the cause of the complaints or incidents (see below sections on incident reporting and on complaints).

### Social and environmental procedures, site and activity-specific work plans/instructions

Social and environmental procedures provide a written method describing how the management objectives for a particular project element are to be obtained. They contain the necessary detail to be site or activity-specific and are required to be followed for all construction works. Site and activity-specific work plans and instructions are to be issued consistent with ESMF.

### Social and environmental incident reporting

Any incidents, including non-conformances to the procedures of the ESMF, are to be recorded using an Incident Record and the details entered into a register. For any incident that causes or has the potential to cause material or significant social and/or environmental harm, the site supervisor/designated officer shall notify the Project Manager as soon as possible. The delivery organisation/contractor must cease work until remediation has been completed as per the approval of WHO.

### Daily and weekly inspection checklists

A daily social and environmental checklist (including OHS issues) is to be completed at each work site by the relevant site supervisor/designated officer and maintained within a register. A weekly social and environmental checklist is to be completed and will include reference to any issues identified in the daily checklists completed by the designated officer(s). The completed checklist is to be forwarded to WHO for review and follow-up if any issues are identified.

### Corrective Actions

Any non-conformances to the ESMF are to be noted in weekly social and environmental inspections and logged into the register. Depending on the severity of the non- conformance, the site supervisor/designated officer may specify a corrective action on the weekly site inspection report. The progress of all corrective actions will be tracked using the register. Any non-conformances and the issue of corrective actions are to be advised to WHO.

### Review and auditing

The ESMF and its procedures are to be reviewed at least every two monthsby UNDP staff and WHO. The objective of the review is to update the document to reflect knowledge gained during the course of project delivery/construction and to reflect new knowledge and changed community standards (values).

The ESMF will be reviewed and amendments made if:

* There are relevant changes to social and environmental conditions or generally accepted management practices; or
* New or previously unidentified social and environmental risks are identified; or
* Information from the project monitoring and surveillance methods indicate that current control measures require amendment to be effective; or
* There are changes to environmental legislation that are relevant to the project; or
* There is a request made by a relevant regulatory authority; or

Any changes are to be developed and implemented in consultation with UNDP Staff and WHO. When an update is made, all site personnel are to be made aware of the revision as soon as possible, e.g. through a tool box meeting or written notification.

## Capacity Building and Training

Delivery organisations (e.g. contractors, NGOs) have the responsibility for ensuring systems are in place so that relevant employees, contractors and other workers are aware of the environmental and social requirements for project implementation, including the ESMF.

All project personnel will attend an induction that covers relevant ESMF requirements, including health, safety, environment and cultural requirements.

All workers engaged in any activity with the potential to cause serious social and/or environmental harm (e.g. handling of hazardous materials) will receive task specific training.

# Stakeholder Engagement

This section outlines communications and stakeholder engagement with key stakeholder groups. It describes procedures for ensuring consultation and stakeholder engagement during assessment, development of action plans, project implementation and monitoring of social and environmental impacts associated with specific project activities, including information disclosure requirements. It also describes the project grievance redress mechanism.

If a stakeholder engagement plan has already been prepared, then this section should provide a brief summary and refer to the annexed plan.

## General Communications

NOTE: Concisely describe how general communications with stakeholders will be handled (e.g. communications officer, planned public information campaigns, websites) and how stakeholders will be able to obtain more information about the project.

The UNDP and WHO will develop and release updates on the project on a regular basis to provide interested stakeholders with information on project status. Updates may be via a range of media e.g. print, radio, social media or formal reports. A publicized telephone number will be maintained throughout the project to serve as a point of contact for enquiries, concern, complaints and/or grievances. All material must be published in English and LOCAL LANGUAGE as appropriate.

## Stakeholder Consultation and Information Disclosure

NOTE: This section describes procedures for ensuring consultation and stakeholder engagement during assessment, development of action plans, and monitoring of social and environmental impacts associated with specific project activities, including information disclosure requirements. Describe or provide reference to consultations conducted to date and provide specifics on the who/what/when of planned consultations going forward, as identified in the Stakeholder Engagement Plan. Where the project involves engagement with indigenous peoples, describe engagement process, including processes where free, prior and informed consent will be pursued. Reference any annexed stakeholder engagement plan and record of stakeholder consultations. Stakeholder engagement arrangements need to be consistent with requirements of the UNDP SES. See the [UNDP Guidance Note: Stakeholder Engagement](https://info.undp.org/sites/bpps/SES_Toolkit/SitePages/Stakeholder%20Engagement.aspx).

The project builds on extensive stakeholder engagement and consultations which will continue throughout project implementation, including in the identification, assessment, and development of management measures for forthcoming project activities. The project was discussed with a wide range of stakeholders including relevant government departments, industry groups, NGOs, and individual community members and approved by Government. Extensive on-ground consultation has been undertaken during the design of the project (provide any Reports on Consultations in annexes).

Note: the following is general language on the nature of stakeholder engagement and the requirements that need to be addressed: Meaningful, effective and informed stakeholder engagement and participation will continue to be undertaken that will seek to build and maintain over time a constructive relationship with stakeholders, with the purpose of avoiding or mitigating any potential risks in a timely manner. The scale and frequency of the engagement will reflect the nature of the activity, the magnitude of potential risks and adverse impacts, and concerns raised by affected communities.

Stakeholders will have access to relevant project information in order to understand potential project-related opportunities and risks and to engage in project design and implementation. Specifically, the following information will be made available:

* Stakeholder engagement plans and summary reports of stakeholder consultations,
* Social and environmental screening reports (SESP) with project documentation (30 days prior to approval),
* Draft social and environmental assessments, including any draft management plans (30 days prior to finalization),
* Final social and environmental assessments and associated management plans,
* Any required social and environmental monitoring reports.

This information is to be disclosed in a timely manner, in an accessible place, and in a form and language understandable to affected persons and other stakeholders. These elements of effective disclosure are briefly elaborated below:

* Timely disclosure: information on potential project-related social and environmental impacts and mitigation/management measures will be provided in advance of decision-making whenever possible. In all cases, draft and final screenings, assessments and management plans must be disclosed and consulted on prior to implementation of activities that may give rise to potential adverse social and environmental impacts.
* Accessible information: Appropriate means of dissemination will need to be considered in consultation with stakeholders. This could include posting on websites, public meetings, local councils or organizations, newsprint, television and radio reporting, flyers, local displays, direct mail.
* Appropriate form and language: Information needs to be in a form and language that is readily understandable and tailored to the target stakeholder group.

## Grievance Redress Mechanism

This section describes the project-level grievance redress mechanism. The description below is general and will need to be adapted for any specific GRMs already established. Annexure XX provides a sample ToR for a project-level GRM. See the [UNDP Supplemental Guidance: Grievance Redress Mechanism](https://info.undp.org/sites/bpps/SES_Toolkit/SitePages/Response%20Mechanisms.aspx) for further information on designing and evaluating grievance redress mechanisms.

For Moderate and High Risk projects, the availability of a project-level grievance mechanism (GRM) is required. The mandate and functions of a project-level grievance mechanism could be executed by the Project Board or through an Implementing Partner’s existing grievance mechanisms or procedures for addressing stakeholder concerns. Where needed, UNDP and Implementing Partners will strengthen the Implementing Partners’ capacities to address project-related grievances. In addition, UNDP’s Stakeholder Response Mechanism will be available to Project stakeholders as a supplemental means of redress for concerns that have not been resolved through standard project management procedures.

During the design, construction and implementation of any project, a person or group of people may perceive or experience potential harm, directly or indirectly due to the project activities. The grievances that may arise can be related to social issues such as eligibility criteria and entitlements, disruption of services, temporary or permanent loss of livelihoods and other social and cultural issues. Grievances may also be related to environmental issues such as excessive dust generation, damages to infrastructure due to construction related vibrations or transportation of raw material, noise, traffic congestions, decrease in quality or quantity of private/ public surface/ ground water resources during irrigation rehabilitation, damage to home gardens and agricultural lands, etc.

Should such a situation arise, there must be a mechanism through which affected parties can resolve such issues in a cordial manner with the project personnel in an efficient, unbiased, transparent, timely and cost-effective manner. To achieve this objective, a Grievance Redress Mechanism has been included in the ESMF for this project.

The Grievance Redress Mechanism has been designed to:

1. be a legitimate process that allows for trust to be built between stakeholder groups and assures stakeholders that their concerns will be assessed in a fair and transparent manner;
2. allow simple and streamlined access to the Grievance Redress Mechanism for all stakeholders and provide adequate assistance for those that may have faced barriers in the past to be able to raise their concerns;
3. provide clear and known procedures for each stage of the Grievance Redress Mechanism process, and provides clarity on the types of outcomes available to individuals and groups;
4. ensure equitable treatment to all concerned and aggrieved individuals and groups through a consistent, formal approach that, is fair, informed and respectful to a concern, complaints and/or grievances;
5. to provide a transparent approach, by keeping any aggrieved individual/group informed of the progress of their complaint, the information that was used when assessing their complaint and information about the mechanisms that will be used to address it; and
6. enable continuous learning and improvements to the Grievance Redress Mechanism. Through continued assessment, the learnings may reduce potential complaints and grievances.

The GRM will be gender- and age-inclusive and responsive and address potential access barriers to women, the elderly, the disabled, youth and other potentially marginalized groups as appropriate to the Project. The GRM will not impede access to judicial or administrative remedies as may be relevant or applicable and will be readily accessible to all stakeholders at no cost and without retribution.

Information about the Grievance Redress Mechanism and how to make a complaint and/or grievance must be communicated during the stakeholder engagement process and placed at prominent places for the information of the key stakeholders.

All complaints and/or grievances regarding social and environmental issues can be received either orally (to the field staff), by phone, in complaints box or in writing to the UNDP, WHO or the Contractor. A key part of the grievance redress mechanism is the requirement for the WHO/PMU and construction contractor to maintain a register of complaints and/or grievances received at the respective project site offices. The following information will be recorded:

1. time, date and nature of enquiry, concern, complaints and/or grievances;
2. type of communication (e.g. telephone, letter, personal contact);
3. name, contact address and contact number;
4. response and review undertaken as a result of the enquiry, concern, complaints and/or grievances; and
5. actions taken and name of the person taking action.

PROVIDE FURTHER INFORMATION ON SPECIFC GRM AND RESPONSBILITIES WHERE SPECIFIED TO DATE.

### UNDP SRM and SECU

In addition to the project-level and national grievance redress mechanisms, complainants have the option to access UNDP’s Accountability Mechanism, with both compliance and grievance functions. The Social and Environmental Compliance Unit investigates allegations that UNDP's Standards, screening procedure or other UNDP social and environmental commitments are not being implemented adequately, and that harm may result to people or the environment. The Social and Environmental Compliance Unit is housed in the Office of Audit and Investigations, and managed by a Lead Compliance Officer. A compliance review is available to any community or individual with concerns about the impacts of a UNDP programme or project. The Social and Environmental Compliance Unit is mandated to independently and impartially investigate valid requests from locally impacted people, and to report its findings and recommendations publicly.

The Stakeholder Response Mechanism offers locally affected people an opportunity to work with other stakeholders to resolve concerns, complaints and/or grievances about the social and environmental impacts of a UNDP project. Stakeholder Response Mechanism is intended to supplement the proactive stakeholder engagement that is required of UNDP and its Implementing Partners throughout the project cycle. Communities and individuals may request a Stakeholder Response Mechanism process when they have used standard channels for project management and quality assurance, and are not satisfied with the response (in this case the project level grievance redress mechanism). When a valid Stakeholder Response Mechanism request is submitted, UNDP focal points at country, regional and headquarters levels will work with concerned stakeholders and Implementing Partners to address and resolve the concerns. Visit [www.undp.org/secu-srm](http://www.undp.org/secu-srm) for more details. The relevant form is attached at the end of the ESMF.

# Monitoring and Evaluation of ESMF Implementation

This section defines the monitoring and evaluation arrangements in order to monitor the implementation of the ESMF and specific social and environmental management plans/measures, including the parameters to be measured and arrangements for stakeholder participation in such monitoring.

NOTE: BELOW IS AN EXAMPLE OF A TABLE FOR TRACKING ESMF RELATED COMMITMENTS, NOT SPECIFIC ENVIROINMENTAL AND SOCIAL PERFORMANCE INDICATORS WHICH WOULD APPEAR IN ESMP/MANAGEMTN PLANS.

Table XX provides a summary of specific measures related to implementation of the ESMF requirements (table to be verified and adapted to specific ESMF Commitments).

Table XX. Summary of ESMF Implementation Activities

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Monitoring Activity** | **Purpose** | **Frequency** | **Expected Action** | **Roles and Responsibilities** | **Cost** **(if any)** |
| **Development of Environmental and Social Impact Assessment (ESIA)** | Carried out and drafted in a participatory and gender responsive manner, in-depth analysis of potential social and environmental impacts, as well as identification / validation of mitigation measures linked to projects activities. | Quarters one and two of programme implementation | Risks and potential impacts are assessed according the site of implementation and the modality, with support of external consultants and participation of project team and stakeholders; management actions are identified and incorporated into project implementation strategies.  | XXX with the support of UNDP will launch the ESIA process. A group of consultants will lead the process and garner the expertise needed. Stakeholders will review the terms of reference, and validate the findings. The Consultants and the team will ensure that relevant changes and updates are made to the ESMF and again validated by stakeholders. |  |
| **Development of Management plans** |  |  |  |  |  |
| **Track progress of ESMF implementation** | Application of mitigation measures, as well as any required changes to ESMF, including site-specific plans as required by applicable SES, will be monitored through a participatory process, and with results reported to Project Board on bi-annual basis. | Quarterly, or in the frequency required for each measure. | Slower than expected progress will be addressed by project management. | Collection of data will be ascribed to various stakeholder groups and the PMU. The project management unit, and particularly the safeguards and gender officer, will integrate the mitigation measures into the overall monitoring and reporting framework of the project.  |  |
| **Implementation of mitigation measures and monitoring of potential impacts identified in ESIA,**  | Permanent and participatory implementation and monitoring of impacts and mitigation measures, in accordance with Environmental and Social Management Plan - ESMF (to be revised and updated once the ESIA is completed) | Continuous | Implementation of ESMF; participatory monitoring of ESIA findings (i.e. identifying and aligning indicators, monitoring potential impacts and risks); integration of ESMF into project implementation strategies | The PMU will be responsible for the implementation of the mitigation measures in conjunction with stakeholders in various parts of the project, these include XXXXXX Main stakeholder groups. Reporting to the UNFCCC will be done by Climate Change Directorate of the MMA once validation has taken place.  |  |
| **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 team and used to inform management decisions. | MMA with the Project management unit with the communications officer, and the learning units of the project, including sub-national and local partners.  |  |
| **Bi-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. | Bi-Annually | Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance. | MMA with the Project Board. |  |
| **Review and adapt activities and approach as necessary**  | 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 board and used to make course corrections. | PMU, MMA |  |
| **Project Report** | As part of progress report to be presented to the Project Board and key stakeholders, analysis, updating and recommendations for risk management will be included. | Annually, and at the end of the project (final report) |  | PMU  |  |
| **Project Review (Project Board)** | The project’s governance mechanism (i.e., project board) will hold regular project reviews during which an updated analysis of risks and recommended risk mitigation measures will be discussed. | At least annually | Any risks and/ or impacts that are not adequately addressed by national mechanisms or project team will be discussed in project board. Recommendations will be made. | Project Board  |  |
| **REDD+ Specific** |  |  |  |  |  |
| **System of Information on Safeguards SIS** | Systematize information on how REDD+ safeguards are addressed and respected during project implementation, in order to comply with the requirement of the Warsaw framework on REDD.  | Continuously  | The information on how REDD+ safeguards are addressed and respected during project implementation will be available online, once the SIS web-platform is up and running.  | XXX at the National Level with support from UNDP as required.  |  |
| **Summary of Information to the UNFCCC on how safeguards are addressed and respected**  | Summarize for the UNFCCC, how the REDD+ safeguards have been and are being addressed and respected during project implementation, prior to seeking REDD+ RBP.  | Summary of information (SoI) as part of the National Communication every 4 years; encouraged to submit the SoI more frequently (every 2 years) directly to the UNFCCC REDD+ platform. | Elaboration of the summary of information, once every 4 years, in the National Communication. Direct submission of the Summary of Information to the UNFCCC REDD+ platform on more frequent basis (every 2 years) is encouraged. | XXX at the National Level with support from UNDP as required.  |  |

# Budget for ESMF Implementation

A budget has been prepared for the implementation of the ESMF as follows:

NOTE: THE BELOW BUDGET NEEDS TO BE ADAPTED FOR THE SPECIFC ESMF IMPLEMENTATION ACTIONS IDENTIFIED ABOVE AND SPECIFC SOCIAL AND ENVIRONMENTAL MANAGEMENT ACTIONS IDENTIFIED IN THE ESMF. MANY ITEMS BELOW FOCUSED ON CONSTRUCTION ACTIVITIES

|  |  |
| --- | --- |
| **Item** | **Cost** |
| ESMF Updating and Auditing | $10,000 |
| General ESMF Expenses | $20,000 |
| Consultants for development of identified management plans | $50,000 |
| Ecological Monitoring (40 sites - two assessments/year over five years) | $120,000 |
| Water Quality Monitoring (monitoring to be undertaken over five years) | $220,000 |
| Water Quality Sample Laboratory Analysis (monitoring to be undertaken over five years) | $60,000 |
| Sediment Sample Field Testing (monitoring to be undertaken over five years) | $90,000 |
| Sediment Sample Laboratory Analysis (monitoring to be undertaken over five years) | $90,000 |
| Erosion, Drainage and Sediment Control (includes silt curtains etc) | $75,000 |
| Archaeological Management | $25,000 |
| Stakeholder Engagement Workshops | $140,000 |
| Grievance Redress Mechanism | $50,000 |
| **Total** | **$900,000** |

Annexures

Below is a list of potential examples and indicative outlines for annexes that may need to be attached to the ESMF

UNDP SESP for Project XXX

Indicative Outline for ESIA Report

Indicative Outline for ESMP

Key Social and Environmental Indicators and Management Measures

Guidance on Stakeholder Engagement Plan

ToR for Project-level Grievance Redress Mechanism

Guidance for submitting requests to UNDP SECU/SRM

Indicative Outline for Biodiversity Action Plan

Indicative Outline for Indigenous Peoples Plan

Indicative Outline for Livelihood Action Plan

Indicative Outline for Resettlement Action Plan

Annexure XX. UNDP SESP for Project XXX

Annexure XX. Indicative Outline for 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) and 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.

**(3) 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).

**(4) 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.

**(5) 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:

*(a) 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.[[1]](#footnote-1)

*(b) 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.

**(6) 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.

**(7) 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.

**(8) Conclusions and Recommendations:** Succinctly describes conclusion drawn from the assessment and provides recommendations.

**(9) Appendices:**  (i) List of the individuals or organisations that prepared or contributed to the social and environmental assessment; (ii) References – setting out the written materials both published and unpublished, that have been used; (iii) 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; (iv) Tables presenting the relevant data referred to or summarized in the main text; (v) Attachment of any other mitigation plans; (vi) List of associated reports or plans.

Annexure XX: Indicative Outline for ESMP

Below is an indicative outline for the development of an ESMP once project activities have been fully specified and assessed. A number of elements of the SMF feed directly into the 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. The following Annexure on Key Environmental and Social Indicators and Management Measures is an integral part of the ESMP but is provided separately for ease of use.

An ESMP may be prepared as part of the Environmental and Social Impact Assessment (ESIA) or as a stand-alone document.[[2]](#footnote-2) 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).

**(2) 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 (a) 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; and (b) 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.

**(3) 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.

**(4) Stakeholder Engagement:** Outlines plan to engage in meaningful, effective and informed consultations with affected stakeholders. Includes information on (a) means used to inform and involve affected people in the assessment process; (b) 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; and (c) description of effective processes for receiving and addressing stakeholder concerns and grievances regarding the project’s social and environmental performance.

**(5) 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.

Annexure XX Key Environmental and Social Indicators and Management Measures

Note: this annex would be included in the ESMF where particular risks and impacts associated with known project activities are readily identifiable. It is primarily focused on project with potential physical footprints (e.g. construction activities). This annex would also form part of any ESMP that is to be developed. It provides specific management control actions during project implementation.

1. Climate
2. Ecology
3. Groundwater
4. Surface Water
5. Air Quality
6. Noise and Vibration
7. Erosion, Drainage and Sediment Control
8. Waste Management
9. Monitoring Social Impacts
10. Cultural Heritage
11. Emergency Management Measures

This section identifies the key environmental and social indicators identified for the project and outlines respective management objectives, potential impacts, control activities and the environmental performance criteria against which these indicators will be judged (i.e. audited).

This section further addresses the need for monitoring and reporting of environmental performance with the aim of communicating the success and failures of control procedures, distinguish issues that require rectification and identify measures that will allow continuous improvement in the processes by which the projects are managed.

1. Climate

Background

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1. Ecology

Background

.

Terrestrial

.

Figure 3

Marine

* .

.

.

Invasive Species:

.

Figure 4

.

Performance Criteria

The following performance criteria are set for the construction of the projects:

1. no clearance of vegetation outside of the designated clearing boundaries;
2. no death to native fauna as a result of clearing activities;
3. no deleterious impacts on aquatic environments and terrestrial habitats;
4. no introduction of new weed species as a result of construction activities; and
5. no increase in existing weed proliferation within or outside of any project footprint as a result of construction activities.

Monitoring

A flora and fauna monitoring program will be implemented (Table 4).

Weed monitoring will be undertaken and appropriate action taken in the event of alien or noxious species being identified.

The delivery organisation will when undertaking works, compile a weekly report to WHO outlining:

1. any non-conformances to this ESMF;
2. the areas that have been rehabilitated during the preceding week; and
3. details of the corrective action undertaken.

Reporting

All flora and fauna monitoring results and/or incidents will be tabulated and reported as outlined in the ESMF. The WHO must be notified in the event of any suspected instances of death to native fauna and where vegetation if detrimentally impacted.

Table 4 Flora and Fauna Management Measures

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Issue** | **Control Activity (and Source)** | **Action Timing** | **Responsibility** | **Monitoring and Reporting** |
| FF1. Habitat loss and disturbance of fauna | FF1.1 Limit vegetation clearing and minimise habitat disturbance through adequate protection and management of retained vegetation. | During construction | Camp officer | Daily and maintain records |
| FF1.2: Minimise noise levels and lighting intrusion throughout construction and operation in the vicinity of any sensitive locations. | During construction | Camp officer | Daily and maintain records |
| FF1.3: Ensure that all site personnel are made aware of sensitive fauna/habitat areas and the requirements for the protection of these areas. | During construction | Contractor | Daily and maintain records |
| FF1.4 Minimise disturbance to on-site fauna and recover and rescue any injured or orphaned fauna during construction and operation. | During construction | Contractor | Daily and maintain records, report  |
|  |  |  |  |
|  |  |  |  |
| FF2. Introduced flora and weed species | FF2.1: Implement an ESCP to reduce the spread of weeds through erosion and sediment entering any waterways and therefore spreading. | Pre and during construction | Contractor | Maintain records |
| FF2.2: Revegetate disturbed areas using native and locally endemic species that have high habitat value. | During construction | Camp officer | As required and maintain records |
| FF2.3: Minimise disturbance to mature remnant vegetation, particularly canopy trees. | During construction | Camp officer | Daily and maintain records |
| FF2.4: Seed is to be weed free | Operation | Camp Officer | Maintain records |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Issue** | **Control Activity (and Source)** | **Action Timing** | **Responsibility** | **Monitoring and Reporting** |
| FF2. Introduced flora and weed species |  |  |  |  |
| FF2.6: Environmental weeds and noxious weeds within the project footprints shall be controlled. | During and post construction | Camp officer | Weekly and maintain records |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |

1. Groundwater

Background

Groundwater

.

*Insert ground water data*

Project specific groundwater studies have not been undertaken, however there have been a number of studies done and earlier pilot programmes that provide insight into groundwater conditions.

Performance Criteria

The following performance criteria are set for the project:

1. no significant decrease in the quality and quantity of groundwater as a result of construction and operational activities in proximity to the projects;
2. effective implementation of site-specific EDSCPs and other measures to protect groundwater.

By following the management measures set out in the ESMF the project will not have a significant impact on water quality across the broader area.

Monitoring

Refer to Table 5 for the monitoring requirements for groundwater.

During the project groundwater quality should be assessed initially and then at least every two months. Initial assessment should cover a wide range of parameters (e.g. depth to water, pH, DO, conductivity, nitrates, phosphates, faecal coliforms, heavy metals, turbidity, hydrocarbons) to provide a baseline and to confirm suitability for intended use. Subsequent monitoring parameters will be determined on need.

Ongoing monitoring should form part of the operation of the boreholes.

Reporting

All water quality monitoring results and/or incidents will be tabulated and reported as outlined in the ESMF. The WHO must be notified immediately in the event of any suspected instances of material or serious environmental harm, or if a determined level with respect to water quality is exceeded.

Table 5 Groundwater management measures

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Issue** | **Control activity (and source)** | **Action timing** | **Responsibility** | **Monitoring & reporting** |
| GW 1: Increase of gross pollutants, hydrocarbons, metals and other chemical pollutants into the groundwater and/or surface water environment. | GW1.1: Conduct regular surface and groundwater quality monitoring in location where the groundwater is likely to be impacted, including assessing the changes to groundwater quality. | Construction and operation phase | Camp officer | Weekly and as required with reporting to WHO and UNDP |
| GW1.2: Prevent contaminated surface water from entering aquifers via boreholes and wells - protect from runoff and flooding and keep surrounds clean. | All phases | All Personnel | Weekly |
| GW1.3: Designated areas for storage of fuels, oils, chemicals or other hazardous liquids should have compacted impermeable bases and be surrounded by a bund to contain any spillage. Refuelling to be undertaken in areas away from water systems. | Entire construction and operation phase | All Personnel | Weekly with reporting to WHO and UNDP |
|  |  |  |  |
| GW1.5: Check all vehicles, equipment and material storage areas daily for possible fuel, oil and chemical leaks. Undertake refuelling at designated places away from water systems. | All phases | All Personnel | Daily and maintain records |
| GW 1.6: Minimise the use of herbicides, pesticides and other chemicals and use only biodegradable herbicides that have minimal impact on water quality and fauna. Use only as per directions | All phases | All Personnel | Weekly reporting to WHO and UNDP |

1. Surface Water

Background

.

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Figure 5 Annual rainfall patterns in WHERE

Performance Criteria

The following performance criteria are set for the construction of the projects:

1. no significant decrease in water quality as a result of construction and operational activities;
2. water quality shall conform to any approval conditions stipulated by UNDP, WHO and/or other government departments, or in the absence of such conditions follow a ‘no worsening’ methodology; and
3. effective implementation of site-specific EDSCPs.

Monitoring

Having water of a quality that is fit for purpose is important. Water quality can affect plant growth, livestock health, soil quality, farm equipment and domestic use. The quality of a water source is also variable depending upon weather and external inputs.

Evaporation increases the concentrations of salts while a flush of water dilutes salts but may increase sediment and fertilisers, and manure or nutrient runoff. Monitoring should be done regularly and more frequently in summer or in periods of prolonged moisture stress.

Table 6 outlines the monitoring required.

Reporting

All water quality monitoring results and/or incidents will be tabulated and reported as outlined in the ESMF. The WHO must be notified immediately in the event of any suspected instances of material or serious environmental harm, or if a determined level with respect to water quality is exceeded.

Table 6 Water Quality Management Measures

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Issue** | **Control activity (and source)** | **Action timing** | **Responsibility** | **Monitoring & reporting** |
| W1: Elevated suspended solids and other contaminants in surface water systems. | W1.1: Develop and implement a site specific Erosion, Drainage and Sediment Control Plan (EDSCP) to address drainage control, sediment and erosion controls and stockpiling of materials including soil during construction of all components of the projects. EDSCP measures to be inspected regularly to ensure all devices are functioning effectively. | Pre Earthworks | Camp officer | Initial set up and then as required with reporting to WHO and UNDP |
| W1.2: Designated areas for storage of fuels, oils, chemicals or other hazardous liquids should have compacted impermeable bases and be surrounded by a bund to contain any spillage. Refuelling to be undertaken in areas away from water systems. | Entire construction and operation phase | All Personnel | Weekly with reporting to WHO and UNDP |
| W1.3: Conduct regular surface and groundwater quality monitoring in location where the groundwater is likely to be impacted including assessing the changes to groundwater quality.  | Entire construction and operation phase | Camp officer | Weekly and as required with reporting to WHO and UNDP |
| W1.4: Schedule works in stages to ensure that disturbed areas are revegetated and stabilised progressively and as soon as practicable after completion of works. | Avoid undertaking bulk earthworks during wet season | Camp officer and WHO | Maintain records |
| W1.5: Construction materials will not be stockpiled in proximity to aquatic environment that may allow for release into the environment. Construction equipment will be removed from in proximity to the aquatic environment at the end of each working day or if heavy rainfall is predicted | Entire construction and operation phase | Camp officer | Maintain daily records |

1. Air Quality

Background

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All construction activities have the potential to cause air quality nuisance.

The project areas are predominantly village or rural in character. Existing air quality reflects those environments, with dust being the main air quality nuisance.

Workers involved in construction and operation activities should be familiar with methods minimising the impacts of deleterious air quality and alternative construction procedures as contained in WHERE legislation or good international industry practice.

Performance Criteria

The following performance criteria are set for the construction of the projects:

1. release of dust/particle matter must not cause an environmental nuisance;
2. undertake measures at all times to assist in minimising the air quality impacts associated with construction and operation activities; and
3. corrective action to respond to complaints and/or grievances is to occur within 48 hours.

Monitoring

A standardised air monitoring program has been developed for the projects (Table 7). The program is subject to review and update at least every two months from the date of issue. Importantly:

1. the requirement for dust suppression will be visually observed by site personnel daily and by WHO and UNDP staff when undertaking routine site inspections; and
2. Vehicles and machinery emissions – visual monitoring and measured when deemed excessive.

Reporting

All air quality monitoring results and/or incidents will be tabulated and reported as outlined in the ESMF. The WHO must be notified immediately in the event of any suspected instances of material or serious environmental harm, or if a determined level with respect to air quality is exceeded.

Table 7 Air Quality Management Measures

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Issue** | **Control activity (and source)** | **Action timing** | **Responsibility** | **Monitoring & reporting** |
| A.1 Increase in dust levels at sensitive receptors | A1.1: Implement effective dust management measures in all areas during design, construction and operation. | Pre and during construction | All Personnel | Daily and maintain records |
| A1.2: Restrict speeds on roads and access tracks. | During construction | Camp officer | Daily and maintain records |
| A1.3: Manage dust/particulate matter generating activities to ensure that emissions do not cause an environmental nuisance at any sensitive locations | During construction | Camp officer | Daily and maintain records |
| A1.4: Construction activities should minimise risks associated with climatic events (check forecasts). | During construction | Camp officer | Daily and maintain records |
| A1.5: Implement scheduling/staging of proposed works to ensure major vegetation disturbance and earthworks are minimised. | Entire construction | Contractor | Daily and maintain records |
| A1.6: Locate material stockpile areas as far as practicable from sensitive receptors. Cover if appropriate. | During construction | Camp officer | Daily and maintain records |
| A1.7: Source sufficient water of a suitable quality for dust suppression activities complying with any water restrictions. | During construction | Camp officer | Daily and maintain records |
| A1.8: Schedule revegetation activities to ensure optimum survival of vegetation species.  | During construction | Camp officer | Maintain records |
| A1.9: Rubbish receptacles should be covered and located as far as practicable from sensitive locations | During construction | Camp officer | Maintain records |
|  |  |  |  |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Issue** | **Control activity (and source)** | **Action timing** | **Responsibility** | **Monitoring & reporting** |
|  |  | During construction | Camp officer | Daily and maintain records |
| A2. Increase in vehicle / machinery emissions | A2.1 Ensure vehicles/machines are switched off when not in use. | During construction | Camp officer | Daily and maintain records |
| A2.2 Ensure only vehicles required to undertake works are operated onsite. | During construction | Camp officer | Daily and maintain records |
| A2.3 Ensure all construction vehicles, plant and machinery are maintained and operated in accordance with design standards and specifications. | During construction | Camp officer | Daily and maintain records |
| A2.4 Develop and implement an induction program for all site personnel, which includes as a minimum an outline of the minimum requirements for environmental management relating to the site. | Pre and during construction | Contractor | Daily and maintain records |
| A2.5 Locate construction vehicle/plant/equipment storage areas as far as practicable from sensitive locations. | During construction | Camp officer | Daily and maintain records |
| A2.6 Direct exhaust emissions of mobile plant away from the ground. | During construction | Camp officer | Daily and maintain records |
|  | During construction | Camp officer | Daily and maintain records |

1. Noise and Vibration

Background

Due to the limited urban development and heavy industry, environmental noise is relatively low. However, the low topography and large expanses of water means that noise is readily transmitted across large distances. Sources of noise include: aircraft (limited flights), motor vehicles, ships and boats utilising the lagoons, generators and power stations and general urban noise.

All construction and operation activities have the potential to cause noise nuisance. Vibration disturbance to nearby residents and sensitive habitats is likely to be caused through the use of vibrating equipment. Blasting is not required to be undertaken as part of this project.

The use of machinery or introduction of noise generating facilities could have an adverse effect on the environment and residents if not appropriately managed.

Contractors involved in construction activities should be familiar with methods of controlling noisy machines and alternative construction procedures as contained within specific WHERE legislation or in its absence, good international industry practice may be used if the legislation has not been enacted.

The detail, typical equipment sound power levels, provides advice on project supervision and gives guidance noise reduction. Potential noise sources during construction may include:

1. heavy construction machinery;
2. power tools and compressors;
3. delivery vehicles;

Performance Criteria

The following performance criteria are set for the construction of the projects:

1. noise from construction and operational activities must not cause an environmental nuisance at any noise sensitive place;
2. undertake measures at all times to assist in minimising the noise associated with construction activities;
3. no damage to off-site property caused by vibration from construction and operation activities; and
4. corrective action to respond to complaints and/or grievances is to occur within 48 hours.

Monitoring

A standardised noise monitoring program has been developed for the projects.

). The program is subject to review and update at least every two months from the date of issue. Importantly, the site supervisor will:

1. ensure equipment and machinery is regularly maintained and appropriately operated; and
2. carry out potentially noisy construction activities during ‘daytime’ hours only.

Reporting

All noise monitoring results and/or incidents will be tabulated and reported as outlined in the ESMF. The WHO must be notified immediately in the event of any suspected instances of material or serious environmental harm, or if a determined level with respect to noise is exceeded

Table 8 Noise and Vibration Management Measures

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Issue** | **Control activity (and source)** | **Action timing** | **Responsibility** | **Monitoring & reporting** |
| N1: Increased noise levels | N1.1: Select plant and equipment and specific design work practices to ensure that noise emissions are minimised during construction and operation including all pumping equipment.  | All phases | Contractor | Maintain records |
| N1.2: Specific noise reduction devices such as silencers and mufflers shall be installed as appropriate to site plant and equipment. | Pre and during construction | Contractor | Maintain records |
| N1.3 Minimise the need for and limit the emissions as far as practicable if noise generating construction works are to be carried out outside of the hours: 7am-5.30pm  | Construction phase | All Personnel | Daily and maintain records |
| N1.4: Consultation with nearby residents in advance of construction activities particularly if noise generating construction activities are to be carried out outside of ‘daytime’ hours: 7am-5.30pm. | Construction phase | All Personnel | Daily and maintain records |
| N1.5 The use of substitution control strategies shall be implemented, whereby excessive noise generating equipment items onsite are replaced with other alternatives. | Construction phase | All Personnel | Daily and maintain records |
| N1.6 Provide temporary construction noise barriers in the form of solid hoardings where there may be an impact on specific residents. | Construction phase | Camp officer | Daily and maintain records |
| N1.7 All incidents complaints and non-compliances related to noise shall be reported in accordance with the site incident reporting procedures and summarised in the register. | Construction phase | Camp officer | Maintain records |
| N1.8 The contractor should conduct employee and operator training to improve awareness of the need to minimise excessive noise in work practices through implementation of measures. | Pre and during construction | Contractor | Maintain records |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Issue** | **Control activity (and source)** | **Action timing** | **Responsibility** | **Monitoring & reporting** |
| N2. Vibration due to construction | N2.1: Identify properties, structures and habitat locations that will be sensitive to vibration impacts resulting from construction and operation of the project. | Pre and during construction | Contractor | Maintain records |
| N2.2: Design to give due regard to temporary and permanent mitigation measures for noise and vibration from construction and operational vibration impacts. | Pre-construction | Contractor | Maintain records |
| N2.3: All incidents, complaints and non-compliances related to vibration shall be reported in accordance with the site incident reporting procedures and summarised in the register. | Construction phase | Camp officer | Maintain records |
| N2.4: During construction, standard measure shall be taken to locate and protect underground services from construction and operational vibration impacts. | Construction phase | Camp officer | Maintain records |

##

1. Erosion, Drainage and Sediment Control

Background

Topography

Geology

Soils

Figure 6 provides a map of soil types across WHERE. The broad types of soil found in WHERE are:

1. ;
2. ;
3. ; and
4. .

Figure 6 Soils of WHERE

Soil erosion depends on several parameters such as type of soil, slope, vegetation, the nature of topography and rainfall intensity. The loss of soil stability and soil erosion can take place due to the removal of vegetation cover, and numerous construction activities. It can cause the loss of soil fertility and induce slope instability. Land preparation for the project could result in blockage or alteration of natural flow paths causing changes in the drainage patterns in the area. Effective and efficient mitigation measures can not only reduce, but could improve the conditions over the existing conditions.

As discussed in Section 0 Surface Water, rainfall occurs mostly in the wet season which runs from November to April (Figure 7). Rainfall can have a significant impact on the ability to manage environmental impacts, particularly in terms of managing drainage, erosion and sedimentation. Therefore, activities which involve significant disturbance of soil or operating with drainage lines and waterways should be planned to be undertaken during the driest months. It is also important to ensure that all required erosion and sediment control mechanisms are in place before the onset of the wet season.

Figure 7 Average monthly rainfall

Activities that have the potential to cause erosion should be undertaken with the likely weather conditions in mind.

Performance Criteria

The following performance criteria are set for the projects:

1. no build-up of sediment in the aquatic environments and/or surface and/or groundwater as a result of construction and operation activities;
2. no degradation of water quality on or off site of all projects;
3. all water exiting the project site and/or into groundwater systems is to have passed through best practice erosion, drainage and sediment controls; and
4. effective implementation of site-specific EDSCP.

By following the management measures set out in the ESMF, construction and operation activities of the projects will not have a significant impact as a result of sedimentation across the broader area.

Monitoring

A standardised sediment control monitoring program has been developed for the projects (Table 9). The program is subject to review and update at least every two months from the date of issue. The camp officer will be required to:

1. conduct site inspections on a weekly basis or after rainfall events exceeding 20mm in a 24 hour period;
2. develop a site-specific checklist to document non-conformances to this ESMF or any applicable EDSCPs; and
3. communicate the results of inspections and/or water quality testing and ensure that any issues associated with control failures are rapidly rectified and processes are put in place to ensure that similar failures are not repeated.

Reporting

All sediment and erosion control monitoring results and/or incidents will be tabulated and reported as outlined in the ESMF. The WHO must be notified immediately in the event of any suspected instances of material or serious environmental harm, or if a determined level with respect to erosion and sediment control is exceeded.

Table 9 Erosion, Drainage and Sediment Control Measures

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Issue** | **Control activity (and source)** | **Action timing** | **Responsibility** | **Monitoring & reporting** |
| E1: Loss of soil material and sedimentation to the surface and/or groundwater systems from site due to earthwork activities | E1.1: Develop and implement an EDSCP for any surface works, embankments and excavation work, water crossings and stormwater pathways. | Construction phase | All Personnel | Maintain records |
| E1.2: Ensure that erosion and sediment control devices are installed, inspected and maintained as required. | Construction phase | All Personnel | Maintain records |
| E1.3: Schedule/stage works to minimise cleared areas and exposed soils at all times. | Pre and during construction | Camp officer | Maintain records |
| E1.4: Incorporate the design and location of temporary and permanent EDSC measures for all exposed areas and drainage lines. These shall be implemented prior to pre-construction activities and shall remain onsite during work | Pre and during construction | Camp officer | Maintain records |
| E1.5: Schedule/stage proposed works to ensure that major vegetation disturbance and earthworks are carried out during periods of lower rainfall and wind speeds. | Pre and during construction | Camp officer | Maintain records |
| E1.6: Strip and stockpile topsoil for use during revegetation and/or place removed soils back on to agricultural lands. | Pre and during construction | Camp officer | Maintain records |
| E1.7: Schedule/stage works to minimise the duration of stockpiling topsoil material. Vegetate stockpiles if storage required for long periods. | During construction  | All Personnel | Maintain records |
| E1.8: Locate stockpile areas away from drainage pathways, waterways and sensitive locations. | Pre and during construction | Camp officer | Maintain records |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Issue** | **Control activity (and source)** | **Action timing** | **Responsibility** | **Monitoring & reporting** |
| E1: Loss of soil material and sedimentation to the surface and/or groundwater systems from site due to earthwork activities | E1.9: Design stormwater management measures to reduce flow velocities and avoid concentrating runoff. | Pre and during construction | Camp officer | Maintain records |
| E1.10: Include check dams in drainage lines where necessary to reduce flow velocities and provide some filtration of sediment. Regularly inspect and maintain check dams. | Pre and during construction | Camp officer | Maintain records |
| E1.11: Mulching shall be used as a form of erosion and sediment control and where used on any slopes (dependent on site selection), include extra sediment fencing during high rainfall. | During construction  | All Personnel | Maintain records |
| E1.12: Bunding shall be used either within watercourses or around sensitive/dangerous goods as necessary. | During construction  | All Personnel | Maintain records |
| E1.13: Grassed buffer strips shall be incorporated where necessary during construction to reduce water velocity. | During construction  | Camp officer | Maintain records |
| E1.14: Silt fences or similar structures to be installed to protect from increased sediment loads. | During construction  | Contractors | Maintain records |
| E1.15: Excess sediment in all erosion and sediment control structures (e.g. sediment basins, check dams) shall be removed when necessary to allow for adequate holding capacity. | During construction  | Contractors | Maintain records |
| E2: Soil Contamination | E2.1: If contamination is uncovered or suspected (outside of the project footprints), undertake a Stage 1 preliminary site contamination investigation. The contractor should cease work if previously unidentified contamination is encountered and activate management procedures and obtain advice/permits/approval (as required). | Construction phase | All Personnel | Daily and maintain records |
| **Issue** | **Control activity (and source)** | **Action timing** | **Responsibility** | **Monitoring & reporting** |
| E2: Soil Contamination | E2.2: Adherence to best practice for the removal and disposal of contaminated soil/ material from site (if required), including contaminated soil within the project footprints. | Construction phase | All Personnel | Daily and maintain records |
| E2.3: Drainage control measures to ensure runoff does not contact contaminated areas (including contaminated material within the project footprints) and is directed/diverted to stable areas for release. | Construction phase | All Personnel | Daily and maintain records |
| E2.4: Avoid importing fill that may result in site contamination and lacks accompanying certification/documentation. Where fill is not available through on site cut, it must be tested in accordance with geotechnical specifications. | Construction phase | All Personnel | Daily and maintain records |
| E3: Disposal of excess soil/silt | E3.4: Silt removed from dams/canals/weirs during rehabilitation / maintenance is to be beneficially reused e.g. composted, returned to farm land, brick making etc. Silt should be tested to confirm suitability for proposed use  | Construction and operation phases | WHO | Maintain records |

1. Waste Management

Background

As the implementing agency, the WHO advocate good waste management practice. The preferred waste management hierarchy and principles for achieving good waste management is as follows:

1. waste avoidance (avoid using unnecessary material on the projects);
2. waste re-use (re-use material and reduce disposing);
3. waste recycling (recycle material such as cans, bottles, etc.); and
4. waste disposal (all petruscible and/or contaminated waste to be dumped at approved landfills).

The key waste streams generated during construction are likely to include residual sediment and construction wastes such as:

1. the excavation wastes unsuitable for reuse during earthworks;
2. wastes from construction and drilling equipment maintenance. Various heavy vehicles and construction equipment will be utilised for the duration of the construction and drilling phase. Liquid hazardous wastes from cleaning, repairing and maintenance of this equipment may be generated. Likewise, leakage or spillage of fuels/oils within the site needs to be managed and disposed of appropriately;
3. non-hazardous liquid wastes will be generated through the use of workers’ facilities such as toilets; and
4. general wastes including scrap materials and biodegradable wastes.

Key waste streams generated during operations are likely to include:

1. excavated sediment (primarily sand and coral, which can be used for concrete or spread on suitable areas);
2. ;
3. packaging; and
4. used oil and machinery parts.

Workers involved in construction and operational activities should be familiar with methods minimising the impacts of clearing vegetation to minimise the footprint to that essential for the works and rehabilitate disturbed areas. By doing these activities, the projects should minimise the impact of waste generated by the project.

Performance Criteria

The following performance criteria are set for the construction of the projects:

1. waste generation is minimised through the implementation of the waste hierarchy (avoidance, reduce, reuse, recycle);
2. no litter will be observed within the project area or surrounds as a result of activities by site personnel;
3. no complaints received regarding waste generation and management;
4. any waste from on-site portable sanitary facilities will be sent off site for disposal by a waste licensed contractor; and
5. waste oils will be collected and disposed or recycled off-site, local oil companies or shipped for recycling.

Monitoring

A waste management monitoring program has been developed for the projects (Table 10). The program is subject to review and update at least every two months from the date of issue.

Reporting

The WHO as implementing agency must be notified immediately in the event of any suspected instances of material or serious environmental harm, or if a determined level with respect to waste is exceeded.

Table 10 Waste Management Measures

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Issue** | **Control activity (and source)** | **Action timing** | **Responsibility** | **Monitoring & reporting** |
| WT1: Production of wastes and excessive use of resources | WT1.1: Preference shall be given to materials that can be used to construct the project that would reduce the direct and indirect waste generated. | Pre and during construction | Contractor | Maintain records |
| WT1.2: Daily waste practices shall be carried out unless these are delegated to the activities of external waste management bodies. | During construction | Camp officer | Daily and maintain records |
| WT1.3: The use of construction materials shall be optimised and where possible a recycling policy adopted. | During construction | Camp officer | Weekly and maintain records |
| WT1.4: Separate waste streams shall be maintained at all times i.e. general domestic waste, construction and contaminated waste. Specific areas on site shall be designated for the temporary management of the various waste streams. | During construction | Camp officer | Weekly and maintain records |
| WT1.5: Any contaminated waste shall be disposed of at an approved facility. | During construction | Camp officer | Weekly and maintain records |
| WT1.6: Recyclable waste (including oil and some construction waste) shall be collected separately and disposed of correctly. | During construction | Camp officer | Weekly and maintain records |
| WT1.7: Waste sites shall be sufficiently covered to ensure that wildlife does not have access. | During construction | Camp officer | Daily |
| WT1.8: Disposal of waste shall be carried out in accordance with the Government of WHERE requirements. | During construction | Camp officer | Weekly and maintain records |
| WT1.9: Fuel and lubricant leakages from vehicles and plant shall be immediately rectified. | During construction | Camp officer | Daily and maintain records |

1. Monitoring Social Impacts

Background

Note key identified social risks and impacts

The project has been designed with the assistance of stakeholders and aims to provide benefits to the broader community. Notwithstanding, as with any project that involves construction, some dissatisfaction can occur and conflicts may arise. It is important that potential areas of tension are recognised early and appropriate actions taken to avoid or minimise conflict.

The project and its sub-projects do not require involuntary resettlement or acquisition of land although they may impact on land during construction activities which will be temporary in nature.

Performance Criteria

The following performance criteria are set for the project:

1. the community has been consulted and project elements have been designed with their informed consultation and participation throughout the project in accordance with project Stakeholder Engagement Plan;
2. all stakeholders are appropriately represented;
3. avoid adverse impacts to local community during construction and operations and where not possible, minimise, restore or compensate for these impacts;
4. cultural heritage is not adversely impacted;
5. community health and safety is protected and overall well-being benefits derived from the project;
6. complaint and grievance mechanisms are put in place and proactively managed; and
7. long-term social benefits are achieved.

Local stakeholders and community members have a key role to play in the implementation and monitoring of the project.

Consultation with stakeholders will continue. This will help ensure that stakeholders continue to be aware of the project, its progress and any changes in the project. It will also assist in identifying any issues as they arise.

WHO will be responsible for advisory support and extensions services to local beneficiaries along with being responsible for distributing material inputs and providing technical training and backstopping in the implementation of programme activities.

Reporting

Records of all consultations are to be kept and reported on monthly basis.

The WHO must be notified in the event of any individual or community complaint or dissatisfaction and ensure the Grievance Redress Mechanism is complied with.

|  |
| --- |
| Table 11: Social Management Measures |
| **Issue** | **Control activity (and source)** | **Action timing** | **Responsibility** | **Monitoring & reporting** |
| SM1:  | SM 1.1: Carry out community consultation on the purpose and benefits of making changes to land use | Pre-construction | MNRE | Maintain records |
| SM 1.2: Get community buy-in on any change of land use | Pre-construction | MNRE | Maintain records |
| SM 1.3: Ensure compliance with the Grievance Redress Mechanism process | Entire construction and operation phase | MNRE | Maintain records |
| SM2: Public nuisance caused by construction/operation activities (e.g. noise, dust etc) | SM 2.1: Carry out community consultation prior to undertaking activities | Pre-construction | MNRE | Maintain records |
| SM 2.2: Implement appropriate management plans (refer to Noise, Air, ESCP, and Waste sections of the ESMF) | Construction and operation | Site supervisor and MNRE | Daily and maintain records |
| SM 2.3: Ensure compliance with the Grievance Redress Mechanism process | All phases | MNRE | Maintain records |

1. Cultural Heritage

Background

The following performance criteria are set for cultural heritage issues related to the project:

1. There will be no impact on any important Archaeological, Indigenous and/or Cultural Heritage sites;
2. Manage any specific sites of important Archaeological, Indigenous and/or Cultural significance (significant sites);
3. Where there is a mix of modern development and traditional ‘fale’ areas within villages use community engagement to confirm options of enabling future development as nominated by the participants and protecting culturally significant traditional areasand
4. Work with the village communities to differentiate between traditional village areas of cultural significance (uses and physical form) within each of the Village fono boundary areas during the construction phase of the project.
5. Monitoring

Local stakeholders and community members have a key role to play in the implementation and monitoring of the project.

Consultation with stakeholders will continue. This will help ensure that stakeholders continue to be aware of the project, its progress and any changes in the project. It will also assist in identifying any issues as they arise.

WHO will be responsible for advisory support and extensions services to local beneficiaries along with being responsible for distributing material inputs and providing technical training and backstopping in the implementation of programme activities.

Reporting

Records of all consultations are to be kept and reported on monthly basis.

Table 12: Archaeological and Cultural Heritage

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Issue** | **Control activity (and source)** | **Action timing** | **Responsibility** | **Monitoring & reporting** |
| CH1: Damage or disturbance to significant important Archaeological, Indigenous and/or Cultural Heritage during the earth disturbances and land clearing activities | CH1.1: Should any important Archaeological, Indigenous and/or Cultural Heritage sites, immediately cease work within the area that the site has been observed and consult with the relevant Museum/traditional owner groups, UNDP, MNRE and archaeologist available for implementation during construction. | Pre and during construction | Contractor | Daily, maintain records and immediately notify UNDP and MNRE of any find |

1. Emergency Management Measures

In the event of actions occurring, which may result in serious health, safety and environmental (catastrophic) damage, emergency response or contingency actions will be implemented as soon as possible to limit the extent of environmental damage.

The delivery organisation will need to incorporate emergency responses into the project complying with the requirements under the Occupational, Health and Safety Policy of the delivery organisation and the relevant WHERE legislation.

Performance Criteria

The following performance criteria are set for the construction of the projects:

1. no incident of fire outbreak;
2. no failure of water retaining structures;
3. no major chemical or fuel spills;
4. no preventable industrial or work related accidents;
5. provide an immediate and effective response to incidents that represent a risk to public health, safety or the environment; and
6. minimise environmental harm due to unforeseen incidents.

Monitoring

An emergency response monitoring program has been developed for the projects (Table 13). The program is subject to review and update at least every two months from the date of issue. Importantly, visual inspections will be conducted by camp officer daily with reporting to WHO and UNDP staff on a weekly basis (minimum) noting any non-conformances to this ESMF.

Reporting

The WHO and UNDP staff must be notified immediately in the event of any emergency, including fire or health related matter including those that have resulted in serious environmental harm.

Table 13 Emergency Management Measures

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Issue** | **Control activity (and source)** | **Action timing** | **Responsibility** | **Monitoring & reporting** |
| E1. Fire and Emergency management and prevention strategies implemented | E1.1: Flammable and combustible liquids bunding/storage areas to be designed in accordance with appropriate international standards | Pre and during construction | Contractor | Daily and maintain records |
| E1.2: Fire extinguishers are to be available on site | During construction | Contractor | Daily and maintain records |
| E1.3: No open fires are permitted within the project area | During construction | Camp officer | Daily and maintain records |
| E1.4: Communication equipment and emergency protocols to be established prior to commencement of construction activities. |  |  |  |
|  |  |  |  |
| E1.6: Train all staff in emergency preparedness and response (cover health and safety at the work site). Coordinate with NDMO. | During construction | Camp officer | Daily and maintain records |
| E1.7: Check and replenish First Aid Kits | During construction | Camp officer | Daily and maintain records |
| E1.8: Use of Personal Protection Equipment | During construction | All Personnel | Daily and maintain records |

Annexure XX. Guidance on Stakeholder Engagement Plan

UNDP supported projects require the development of an appropriately scaled Stakeholder Engagement Plan. See [UNDP Guidance Note: Stakeholder Engagement](https://info.undp.org/sites/bpps/SES_Toolkit/SitePages/Stakeholder%20Engagement.aspx) for further information on stakeholder engagement. The following information is provided here as guidance to assist in the development of a Stakeholder Engagement Plan.

***Appropriately scaled plans.*** No one type or format of a stakeholder engagement plan will accommodate all projects. Its content will depend on various factors, including the nature, scale, location, and duration of project; the diverse interests of stakeholders; the scale of the project’s potential positive and adverse impacts on people and the environment; and the likelihood of grievances.

For a relatively small project with few if any potential adverse social and environmental impacts or initial stakeholder concerns (e.g. Low Risk project, straightforward Moderate Risk project), it is likely that only a “simplified” stakeholder engagement plan would be needed, focusing primarily on initial consultations, information disclosure and periodic reporting (see Box). In such cases, the “plan” would be relatively simple and easily described in the body of the Project Document (that is, no separate plan would be needed).

**Box. Triggering the appropriate scale of stakeholder engagement plans**

* *Simplified stakeholder engagement plan*: Project funding aimed at providing technical support (training in survey equipment) and materials (office space, computers, GPS equipment) to a national land and survey commission will likely have minimal impact on stakeholders other than the government.
* *Comprehensive stakeholder engagement plan*: Project funding to the same land and survey commission to actually conduct land titling in indigenous and forest-dependent communities across the nation, however, would require a comprehensive plan.

A project with greater complexity and potentially significant adverse social and environmental impacts (complex Moderate Risk project or High Risk project) should elaborate a more strategic plan. A “comprehensive” plan would outline mechanisms that buttress not just disclosure and good communications, but iterative consultations and possibly consent processes over the course of the social and environmental assessment process, development of mitigation and management plans, monitoring project implementation, and evaluation. A separate, detailed stakeholder engagement plan should be appended to the Project Document (see outline below).

All stakeholder engagement plans – whether simplified or comprehensive (see below) – should address basic minimum criteria. The following checklist will help ensure that the plan addresses key issues and components.

|  |
| --- |
| **Checklist: Key questions for developing a stakeholder engagement plan[[3]](#footnote-3)** |
| *Who* | * Which stakeholder groups and individuals are to be engaged based on the stakeholder analysis?
* Have potentially marginalized groups and individuals been identified among stakeholders?
 |
| *Why* | * Why is each stakeholder group participating (e.g. key stakeholder objectives and interests)?
 |
| *What* | * What is the breadth and depth of stakeholder engagement at each stage of the project cycle?
* What decisions need to be made through stakeholder engagement?
 |
| *How* | * How will stakeholders be engaged (strategy and methods, including communications)?
* Are special measures required to ensure inclusive participation of marginalized or disadvantaged groups?
 |
| *When* | * What is the timeline for engagement activities, and how will they be sequenced, including information disclosure?
 |
| *Responsibilities* | * How have roles and responsibilities for conducting stakeholder engagement been distributed among project partners (e.g. resident mission, executing agency, consultants, NGOs)?
* What role will stakeholder representatives play?
* Are stakeholder engagement facilitators required?
 |
| *Resources* | * What will the stakeholder engagement plan cost and under what budget?
 |

Building mutual trust and ensuring meaningful and effective engagement is facilitated by stakeholder ownership of the relevant processes. All efforts should be made to work with the relevant stakeholders to design by mutual agreement the engagement and consultation processes, including mechanisms for inclusiveness, respecting cultural sensitivities, and any required consent processes. Cultural understanding and awareness are central to meaningful stakeholder engagement.

Moreover, a general solicitation of feedback or input cannot be relied upon, nor accepted as the sole method of consultation. Information laden questions presenting various options, the reasons for those options, and their consequences may be a better method in that it presents information in a relationship-building manner, does not assume full stakeholder knowledge of the project plans, and solicits input on specific project instances instead of placing the impetus on the stakeholder to make seemingly high-level suggestions.

Recall that stakeholder engagement may be minimal at certain times and intense at others, depending on the issues and particular project phase. Also, targeted input from select stakeholder groups may be needed at key points in project development and implementation.

As project information changes – perhaps from subsequent risk assessments, the addition of project activities, stakeholder concerns – the stakeholder engagement plan should be reviewed and modified accordingly to ensure its effectiveness in securing meaningful and effect stakeholder participation.

The stakeholder engagement plan should also anticipate if/when professional, neutral facilitators might be needed to lead key engagement activities. For projects where the stakeholder engagement process is likely to be complex or sensitive, social advisors or other expert staff should help design and facilitate the process and assist with participatory methodologies and other specialized techniques. [[4]](#footnote-4)

Grievance redress processes for the project need to be described in the stakeholder engagement plan. Section 3.4 above elaborates on relevant SES requirements.

The plan should also outline a reasonable budget for stakeholder engagement activities, including potential support for groups to facilitate their participation where necessary (noting that meeting locations should be as convenient as possible and stakeholder acceptance of such support should not be interpreted as endorsement of the project).

**Simplified Stakeholder Engagement Plan**

The below provides a rough outline for a simplified stakeholder engagement plan. Many approaches exist, and this is one example of outlining key elements. It is important to notsimply list stakeholders and say they will be consulted, but to identify **why** they are being engaged, **how** engagement will proceed, **who** will do it, **when**, and **how** it will be financed/supported.

|  |
| --- |
| **Sample template for simplified stakeholder engagement plan** |
| **Stakeholder Group** | **Why included (interests)** | **Participation methods** | **Timeline** | **Cost est.** |
|  |  | **Method** | **Responsibility** |  |  |
|  |  |  |  |  |  |
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**Comprehensive Stakeholder Engagement Plan**

Below is an example of elements that should be addressed in a comprehensive stakeholder engagement plan. The scope and level of detail of the plan should be scaled to fit the needs of the project.

**1. Introduction**

* Briefly describe the project including design elements and potential social and environmental issues. Where relevant, include maps of the project site and surrounding area.

**2. Regulations and Requirements**

* Summarize any legal, regulatory, donor/lender requirements pertaining to stakeholder engagement applicable to the project. This may involve public consultation and disclosure requirements related to the social and environmental assessment process as well as relevant international obligations.

**3. Summary of any previous stakeholder engagement activities**

* If any stakeholder engagement activities had been undertaken to date, including information disclosure and/or consultation, provide the following details:
* Type of information disclosed, in what forms and languages (e.g., oral, brochure, reports, posters, radio, etc.), and how it was disseminated
* Locations and dates of any meetings undertaken to date
* Individuals, groups, and/or organizations that have been consulted
* Key issues discussed and key concerns raised
* Responses to issues raised, including any commitments or follow-up actions
* Process undertaken for documenting these activities and reporting back to stakeholders

**4. Project Stakeholders**

* List the key stakeholder groups who will be informed about and engaged in the project (based on stakeholder analysis). These should include persons or groups who:
* Are directly and/or indirectly affected by the project
* Have “interests” in the project that determine them as stakeholders
* Have the potential to influence project outcomes or operations
* [Examples of potential  stakeholders are beneficiaries and project-affected communities, local organizations, NGOs, and government authorities, indigenous peoples; stakeholders can also include politicians, private sector companies, labor unions, academics, religious groups, national environmental and social public sector agencies, and the media]
* Consider capacities of various stakeholder groups to effectively participate in the stakeholder engagement activities, and include measures to support them where capacity is limited

**5. Stakeholder Engagement Program**

* Summarize the purpose and goals of the stakeholder engagement program
* Briefly describe what information will be disclosed, in what formats and languages, and the types of methods that will be used to communicate this information to each of the stakeholder groups identified in section 4 above. Methods used may vary according to target audience, for example:
	+ Newspapers, posters, radio, television
	+ Information centers and exhibitions or other visual displays
	+ Brochures, leaflets, posters, non-technical summary documents and reports
* Briefly describe the methods that will be used to engage and/or consult with each of the stakeholder groups identified in section 4. Methods used may vary according to target audience, for example:
	+ Interviews with stakeholder representatives and key informants
	+ Surveys, polls, and questionnaires
	+ Public meetings, workshops, and/or focus groups with specific groups
	+ Participatory methods
	+ Other traditional mechanisms for consultation and decision-making
* Describe how the views of women and other relevant groups (e.g. minorities, elderly, youth, other marginalized groups) will be taken into account and their participation facilitated
* Where relevant, define activities that require prior consultation and FPIC from indigenous peoples (and refer to Indigenous Peoples Plan and FPIC protocols)
* Outline methods to receive feedback and to ensure ongoing communications with stakeholders (outside of a formal consultation meeting)
* Describe any other engagement activities that will be undertaken, including participatory processes, joint decision-making, and/or partnerships undertaken with local communities, NGOs, or other project stakeholders. Examples include benefit-sharing programs, stakeholder-led initiatives, and training and capacity building/support programs.

**6. Timetable**

* Provide a schedule outlining dates/periodicity and locations where various stakeholder engagement activities, including consultation, disclosure, and partnerships will take place and the date by which such activities will be undertaken

**7. Resources and Responsibilities**

* Indicate who will be responsible for carrying out the specified stakeholder engagement activities
* Specify the budget and other resources allocated toward these activities
* [For projects with significant potential impacts and multiple stakeholder groups, it is advisable to hire a qualified stakeholder engagement facilitator to undertake all or portions of the stakeholder engagement activities]

**8. Grievance Mechanism**

* Describe the process by which people concerned with or potentially affected by the project can express their grievances for consideration and redress. Who will receive grievances, how and by whom will they be resolved, and how will the response be communicated back to the complainant? (see Annex 4)
* Ensure reference is made to and stakeholders are informed of the availability of UNDP’s Accountability Mechanism (Stakeholder Response Mechanism, SRM, and Social and Environmental Compliance Unit, SECU) as additional avenues of grievance redress.

**9. Monitoring and Reporting**

* Describe any plans to involve project stakeholders (including target beneficiaries and project-affected groups) or third-party monitors in the monitoring of project implementation, potential impacts and management/mitigation measures
* Describe how and when the results of stakeholder engagement activities will be reported back to project-affected and broader stakeholder groups. Examples include newsletters/bulletins, social and environmental assessment reports; monitoring reports.

Annexure XX. Sample ToR for Project-level Grievance Redress Mechanism

Below is a sample Terms of Reference (ToR) for the creation of a project-level grievance redress mechanism (GRM). See the [UNDP Supplemental Guidance: Grievance Redress Mechanism](https://info.undp.org/sites/bpps/SES_Toolkit/SitePages/Response%20Mechanisms.aspx) for further information on designing and evaluating grievance redress mechanisms.

**Sample Terms of Reference: Project-level Grievance Redress Mechanism**

**I. 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 Project;
2. assist in resolution of Grievances between and among Project Stakeholders; as well as the various government ministries, agencies and commissions, CSOs and NGOs, and other natural resource users (collectively, the “*Stakeholders*”) in the context of the REDD+ Project;
3. Conduct itself at all times in a flexible, collaborative, and transparent manner aimed at problem solving and consensus building.

**II. 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, Policy 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.

**III. 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
2. 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.

**IV. [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.

**V. Project Board**

The Project Board would perform the following core functions:

GRM Sub-Committee and/or GRM Task Team will:

* 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).

**VI. 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, District Commissioners, [local actors and others?]

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;
4. the description of the potential or actual harm;
5. 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);
6. what has been done by Claimant thus far to resolve the matter;
7. whether the Claimant wishes that their identity is kept confidential; and
8. the specific help requested from the GRM.

**VII. Logging, Acknowledgment, and Tracking**

All Grievances and reports of conflict will be received, assigned a tracking number, acknowledged to 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 Claimant of the Grievance received with the assigned tracking number.[[5]](#footnote-5)

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);
3. the dates and nature of all other communications or meetings with the Claimant and other relevant Stakeholders;
4. any requests, offers of, or engagements of a Mediator or Facilitator;
5. the date and records related to the proposed solution/way forward;
6. the acceptance or objections of the Claimant (or other Stakeholders);
7. the proposed next steps if objections arose;
8. the alternative solution if renewed dialogues were pursued;
9. notes regarding implementation; and
10. any conclusions and recommendations arising from monitoring and follow up.

**IX. 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).

**X. Investigation and Consensus Building**

Within one (1) week of receiving a Grievance, [Implementing Partner] will notify the PB and any other relevant institutions of the receipt of the Grievance.

The PB will identify [Need to develop a specific procedure for doing this] 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 [hereafter called Task Team] will promptly engage the Claimant and any other relevant Stakeholders deemed appropriate, to gather all necessary information regarding the Grievance.

Through the PB members, the GRMwill 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 Task Team 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 will procure the cooperation of their respective staff with the investigation.

At any point during the investigation, the Task Team may determine that an onsite field investigation is necessary to properly understand the Grievance and develop an effective proposed solution and way forward.

**XI. 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 Task Team 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.

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

The Task Team 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 Task Team 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.

**XII. 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.

**XIII. 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 would be documented by [Implementing Partner] and reviewed by the Task Team. If it were unsuccessful, stakeholders would have the option to return to the Task Team for assistance.

**XIV. 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.

Annexure XX Guidance for Submitting a Request to UNDP SECU and/or SRM

 

Guidance for Submitting a Request to the Social and Environmental Compliance Unit (SECU) and/or the Stakeholder Response Mechanism (SRM)

**Purpose of this form**

* **If you use this form, please put your answers in bold writing to distinguish text**
* **The use of this form is recommended, but not required. It can also serve as a guide when drafting a request.**

This form is intended to assist in:

1. Submitting a request when you believe UNDP is not complying with its social or environmental policies or commitments and you are believe you are being harmed as a result. This request could initiate a ‘compliance review’, which is an independent investigation conducted by the Social and Environmental Compliance Unit (SECU), within UNDP’s Office of Audit and Investigations, to determine if UNDP policies or commitments have been violated and to identify measures to address these violations. SECU would interact with you during the compliance review to determine the facts of the situation. You would be kept informed about the results of the compliance review.

and/or

1. Submitting a request for UNDP “Stakeholder Response” when you believe a UNDP project is having or may have an adverse social or environmental impact on you and you would like to initiate a process that brings together affected communities and other stakeholders (e.g., government representatives, UNDP, etc.) to jointly address your concerns. This Stakeholder Response process would be led by the UNDP Country Office or facilitated through UNDP headquarters. UNDP staff would communicate and interact with you as part of the response, both for fact-finding and for developing solutions. Other project stakeholders may also be involved if needed.

Please note that if you have not already made an effort to resolve your concern by communicating directly with the government representatives and UNDP staff responsible for this project, you should do so before making a request to UNDP’s Stakeholder Response Mechanism.

**Confidentiality** If you choose the Compliance Review process, you may keep your identity confidential (known only to the Compliance Review team). If you choose the Stakeholder Response Mechanism, you can choose to keep your identity confidential during the initial eligibility screening and assessment of your case. If your request is eligible and the assessment indicates that a response is appropriate, UNDP staff will discuss the proposed response with you, and will also discuss whether and how to maintain confidentiality of your identity.

**Guidance**

When submitting a request please provide as much information as possible. If you accidentally email an incomplete form, or have additional information you would like to provide, simply send a follow-up email explaining any changes.

**Information about You**

Are you…

1. A person affected by a UNDP-supported project?

Mark “X” next to the answer that applies to you: Yes: No:

1. An authorized representative of an affected person or group?

Mark “X” next to the answer that applies to you: Yes: No:

*If you are an authorized representative, please provide the names of all the people whom you are representing, and documentation of their authorization for you to act on their behalf, by attaching one or more files to this form.*

1. First name:
2. Last name:
3. Any other identifying information:
4. Mailing address:
5. Email address:
6. Telephone Number (with country code):
7. Your address/location:
8. Nearest city or town:
9. Any additional instructions on how to contact you:
10. Country:

**What you are seeking from UNDP: Compliance Review and/or Stakeholder Response**

You have four options:

* Submit a request for a Compliance Review;
* Submit a request for a Stakeholder Response;
* Submit a request for both a Compliance Review and a Stakeholder Response;
* State that you are unsure whether you would like Compliance Review or Stakeholder Response and that you desire both entities to review your case.
1. Are you concerned that UNDP’s failure to meet a UNDP social and/or environmental policy or commitment is harming, or could harm, you or your community? Mark “X” next to the answer that applies to you: Yes: No:
2. Would you like your name(s) to remain confidential throughout the Compliance Review process?

Mark “X” next to the answer that applies to you: Yes: No:

If confidentiality is requested, please state why:

1. Would you like to work with other stakeholders, e.g., the government, UNDP, etc. to jointly resolve a concern about social or environmental impacts or risks you believe you are experiencing because of a UNDP project?

Mark “X” next to the answer that applies to you: Yes: No:

1. Would you like your name(s) to remain confidential during the initial assessment of your request for a response?

Mark “X” next to the answer that applies to you: Yes: No:

If confidentiality is requested, please state why:

1. Requests for Stakeholder Response will be handled through UNDP Country Offices unless you indicate that you would like your request to be handled through UNDP Headquarters. Would you like UNDP Headquarters to handle your request?

Mark “X” next to the answer that applies to you: Yes: No:

If you have indicated yes, please indicate why your request should be handled through UNDP Headquarters:

1. Are you seeking both Compliance Review and Stakeholder Response?

Mark “X” next to the answer that applies to you: Yes: No:

1. Are you unsure whether you would like to request a Compliance Review or a Stakeholder Response? Mark “X” next to the answer that applies to you: Yes: No:

**Information about the UNDP Project you are concerned about, and the nature of your concern:**

1. Which UNDP-supported project are you concerned about? (if known):
2. Project name (if known):
3. Please provide a short description of your concerns about the project. If you have concerns about UNDP’s failure to comply with its social or environmental policies and commitments, and can identify these policies and commitments, please do (not required). Please describe, as well, the types of environmental and social impacts that may occur, or have occurred, as a result. If more space is required, please attach any documents. You may write in any language you choose
4. Have you discussed your concerns with the government representatives and UNDP staff responsible for this project? Non-governmental organisations?

Mark “X” next to the answer that applies to you: Yes: No:

If you answered yes, please provide the name(s) of those you have discussed your concerns with

Name of Officials You have Already Contacted Regarding this Issue:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| First Name | Last Name | Title/Affiliation | Estimated Date of Contact | Response from the Individual |
|  |  |  |  |  |
|  |  |  |  |  |
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1. Are there other individuals or groups that are adversely affected by the project?

Mark “X” next to the answer that applies to you: Yes: No:

1. Please provide the names and/or description of other individuals or groups that support the request:

|  |  |  |  |
| --- | --- | --- | --- |
| First Name | Last Name | Title/Affiliation | Contact Information |
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Please attach to your email any documents you wish to send to SECU and/or the SRM. If all of your attachments do not fit in one email, please feel free to send multiple emails.

Submission and Support

To submit your request, or if you need assistance please email: project.concerns@undp.org

Annexure XX. Indicative Outline for Biodiversity Action Plan

**Elements of Biodiversity Action Plan**

Please refer to the [UNDP SES Guidance Note: Standard 1: Biodiversity Conservation and Sustainable Natural Recourse Management](https://info.undp.org/sites/bpps/SES_Toolkit/SES%20Document%20Library/Uploaded%20October%202016/Final%20UNDP%20SES%20Biodiversity%20Conservation%20and%20Sustainable%20NRM%20GN_Oct2017.pdf) for additional information.

Where biodiversity values of importance to conservation are associated with a project or its area of influence, the preparation of a Biodiversity Action Plan (BAP) or Biodiversity Management Plan (BMP) provides a useful means to focus a project’s mitigation and management strategy. For project activities in critical habitats and protected areas, Standard 1 notes that a BAP needs to be in place. For projects solely designed to strengthen biodiversity and maintain or restore ecosystems in areas of critical habitat, the project document itself would constitute such a plan. Biodiversity plans are highly encouraged when also operating in natural habitats (or in modified habitats with biodiversity values of importance to conservation).

Targeted biodiversity-related mitigation and management measures may be integrated into more general Environmental and Social Management Plans (ESMPs) or related plans. However, a BAP or BMP provides focused attention to actions in ecologically critical areas. A BAP/BMP may be included as part of a broader ESMP.

As noted in the Section 2.1 of this guidance note, National Biodiversity Strategies and Action Plans (NBSAP) are the primary instruments for implementing the Convention on Biological Diversity at the national level. A BAP/BMP is a more targeted instrument for enhancing and conserving biodiversity and ecosystem services in particular habitats, demonstrated on an appropriate geographic scale. A BAP/BMP should seek to achieve net gains to the biodiversity values for which the critical habitat was designated. A BAP/BMP is highly context specific.

There is no one widely recognized, cross-sectoral framework for the development of a BAP/BMP. Typically, a BAP will be undertaken to address significant gaps in information for undertaking biodiversity-related actions (such as insufficient baseline data or understanding of key biodiversity values) whereas a BMP would be developed where adequate information is available for developing appropriate actions.

General elements of a BAP/BMP include the following:

**(1) Description of biodiversity context:** Identifies national and/or regional biodiversity context; location of projects site/s; relevant physiography; general description of relevant ecosystems, habitats, flora, fauna; priority biodiversity features and components of elevated significance.

**(2) Objectives and targets biodiversity actions and mitigation:** Identifies measures and actions to enhance and conserve biodiversity and/or in accordance with the mitigation hierarchy avoid, minimize, mitigate, potentially significant adverse social and environmental impacts to acceptable levels. Describes – with technical details – each biodiversity-related action/mitigation measure, including the type of issue/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, implementation descriptions and operating procedures, as appropriate; takes into account, and is consistent with, other relevant mitigation plans (e.g. indigenous peoples, economic displacement).

**(3) Implementation action plan (schedule and cost estimates):** Outlines 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 the capital and recurrent cost estimates and sources of funds for implementing the BAP/BMP. Describes institutional arrangements, identifying which party is responsible for carrying out the actions/mitigation and monitoring measures.

**(4) Stakeholder Engagement:** Outlines plan to engage in meaningful, effective and informed consultations with relevant stakeholders, including locally affected groups. Includes information on (a) means used to inform and involve affected people and description of effective processes for receiving and addressing stakeholder concerns and grievances regarding the project’s social and environmental performance.

**(5) Monitoring and reporting:** Identifies monitoring objectives and specifies the type of monitoring, with linkages to the biodiversity actions and mitigation measures. Describes 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. Establishes reporting schedule and format

Annexure XX. Indicative Outline for Indigenous Peoples Plan

Please refer to the [UNDP SES Guidance Note: Standard 6: Indigenous Peoples](https://info.undp.org/sites/bpps/SES_Toolkit/SES%20Document%20Library/Uploaded%20October%202016/Final%20UNDP%20SES%20Indigenous%20Peoples%20GN_Jan2017.pdf?Web=1) for additional information.

If the proposed Project may affect the rights, lands, resources or territories of indigenous peoples, an "Indigenous Peoples Plan" (***IPP***) needs to be elaborated and included in the Project documentation. The ***IPP*** is to be elaborated and implemented in a manner consistent with the UNDP Social and Environmental Standards and have a level of detail proportional to the complexity of the nature and scale of the proposed Project and its potential impacts on indigenous peoples and their lands, resources and territories. With the effective and meaningful participation of the affected peoples, the ***IPP*** shall be elaborated and contain provisions addressing, at a minimum, the substantive aspects of the following outline:

1. Executive Summary of the Indigenous Peoples Plan: Concisely describes the critical facts, significant findings, and recommended actions
2. Description of the Project: General description of the project, the project area, and components/activities that may lead to impacts on indigenous peoples
3. Description of Indigenous Peoples: A description of affected indigenous people(s) and their locations, including:
	1. description of the community or communities constituting the affected peoples (e.g. names, ethnicities, dialects, estimated numbers, etc.);
	2. description of the resources, lands and territories to be affected and the affected peoples connections/ relationship with those resources, lands, and territories; and
	3. an identification of any vulnerable groups within the affected peoples (e.g. uncontacted and voluntary isolated peoples, women and girls, the disabled and elderly, others).
4. Summary of Substantive Rights and Legal Framework: A description of the substantive rights of indigenous peoples and the applicable legal framework, including:
	1. An analysis of applicable domestic and international laws affirming and protecting the rights of indigenous peoples (include general assessment of government implementation of the same).
	2. Analysis as to whether the Project involves activities that are contingent on establishing legally recognized rights to lands, resources, or territories that indigenous peoples have traditionally owned, occupied or otherwise used or acquired. Where such contingency exists (see Standard 6 Guidance Note, sections 6 & 7), include:
		1. identification of the steps and associated timetable for achieving legal recognition of such ownership, occupation, or usage with the support of the relevant authority, including the manner in which delimitation, demarcation, and titling shall respect the customs, traditions, norms, values, land tenure systems and effective and meaningful participation of the affected peoples, with legal recognition granted to titles with the full, free prior and informed consent of the affected peoples; and
		2. list of the activities that are prohibited until the delimitation, demarcation and titling is completed.
	3. Analysis whether the Project involves activities that are contingent on the recognition of the juridical personality of the affected Indigenous Peoples. Where such contingency exists (see Standard 6 Guidance Note, section 7):
		1. identification of the steps and associated timetables for achieving such recognition with the support of the relevant authority, with the full and effective participation and consent of affected indigenous peoples; and
		2. list of the activities that are prohibited until the recognition is achieved.
5. Summary of Social and Environmental Assessment and Mitigation Measures
	1. A summary of the findings and recommendations of the required prior social and environmental impact studies (e.g. limited assessment, ESIA, SESA, as applicable) – specifically those related to indigenous peoples, their rights, lands, resources and territories. This should include the manner in which the affected indigenous peoples participated in such study and their views on the participation mechanisms, the findings and recommendations.
	2. Where potential risks and adverse impacts to indigenous peoples, their lands, resources and territories are identified, the details and associated timelines for the planned measures to avoid, minimize, mitigate, or compensate for these adverse effects. Identification of special measures to promote and protect the rights and interests of the indigenous peoples including compliance with the affected peoples’ internal norms and customs.
	3. If the Project will result in the relocation of indigenous peoples from their lands and territories, a description of the consultation and FPIC process leading to the resulting agreement on relocation and just and fair compensation, including the possibility of return.
	4. A description of measures to protect traditional knowledge and cultural heritage in the event that the Project will result in the documentation and/or use and appropriation of such knowledge and heritage of the indigenous peoples and the steps to ensure FPIC before doing so.
6. Participation, Consultation, and FPIC Processes
	1. A summary of results of the culturally appropriate consultation and, where required, FPIC processes undertaken with the affected peoples’ which led to the indigenous peoples' support for the Project.
	2. A description of the mechanisms to conduct iterative consultation and consent processes throughout implementation of the Project. Identify particular Project activities and circumstances that shall require consultation and FPIC (consistent with section 4 of the Standard 6 Guidance Note).
7. Appropriate Benefits: An identification of the measures to be taken to ensure that indigenous peoples receive equitable social and economic benefits that are culturally appropriate, including a description of the consultation and consent processes that lead to the determined benefit sharing arrangements.
8. Capacity support
	1. Description of Project activities aimed at increasing capacity within the government and/or the affected indigenous peoples, and facilitating exchanges, awareness, and cooperation between the two.
	2. Description of measures to support social, legal, technical capabilities of indigenous peoples’ organizations in the project area to enable them to better represent the affected indigenous peoples more effectively
	3. Where appropriate and requested, description of steps to support technical and legal capabilities of relevant government institutions to strengthen compliance with the country’s duties and obligations under international law with respect to the rights of indigenous peoples.
9. Grievance Redress: A description of the procedures available to address grievances brought by the affected indigenous peoples arising from Project implementation, including the remedies available, how the grievance mechanisms take into account indigenous peoples' customary laws and dispute resolution processes, as well as the effective capacity of indigenous peoples under national laws to denounce violations and secure remedies for the same in domestic courts and administrative processes.
10. Monitoring, Reporting, Evaluation
	1. Mechanisms and benchmarks appropriate to the Project for transparent, participatory joint monitoring, evaluating, and reporting, including a description of how the affected indigenous peoples are involved.
	2. Define the mechanisms put in place to allow for periodic review and revision of the ***IPP*** in the event that new Project circumstances warrant modifications developed through consultation and consent processes with the affected indigenous peoples.
11. Institutional Arrangements: Describes institutional arrangement responsibilities and mechanisms for carrying out the measures contained in the ***IPP***, including participatory mechanisms of affected indigenous peoples. Describes role of independent, impartial entities to audit, conduct social and environmental assessments as required, and/or to conduct oversight of the project.
12. Budget and Financing: An appropriately costed plan, with itemized budget sufficient to satisfactorily undertake the activities described.

**Note:** The ***IPP*** will be implemented as part of Project implementation. However, in no case shall Project activities that may adversely affect indigenous peoples – including the existence, value, use or enjoyment of their lands, resources or territories – take place before the corresponding activities in the ***IPP*** are implemented. The relationship between the implementation of specific ***IPP*** measures and the permitted commencement of distinct Project activities shall be detailed within the ***IPP*** to allow for transparent benchmarks and accountability.

Where other Project documents already develop and address issues listed in the above sections, citation to the relevant document(s) shall suffice.

Annexure XX. Indicative Outline for Livelihood Action Plan

Please refer to the [UNDP SES Guidance Note: Standard 5: Displacement and Resettlement](https://info.undp.org/sites/bpps/SES_Toolkit/SES%20Document%20Library/Uploaded%20October%202016/FInal%20UNDP%20SES%20Displacement%20and%20Resettlement%20GN_Dec2016.pdf?Web=1) for additional information.

A Livelihood Action Plan (RAP) details the **procedures** and **actions** that will be undertaken in order to ensure that the capacity, production levels, and standards of living of economically displaced people are improved or at least restored, and that displaced people are compensated adequately. This plan must be developed after it has been determined, following the process outlined in Standard 5, that displacement is unavoidable. The LAP reflects the commitment made by the Implementing Partner and UNDP to affected people and communities to meet obligations arising from economic displacement.

1. Introduction

* Briefly describe the project and associated facilities (if any)
* Describe project components requiring economic displacement; land acquisition and resettlement; give overall estimates of land and/or resources to which access has been restricted
* Provide explanation of how economic displacement is necessary to achieve the project objectives, how the project is in the ‘public interest’ and how displacement is proportional to project outcomes

2. Minimizing Displacement

* Describe the justification for the displacement
* Describe efforts and measures to minimize displacement, and expected outcomes of these efforts and measures
* Describe how requirements of Indigenous Peoples Standard have been addressed if Indigenous Peoples are displaced.

3. Census and Socioeconomic Surveys

* Provide results of the census, assets inventories, natural resource assessments, and socioeconomic surveys and briefly describe how these were performed, i.e., techniques used, individuals interviewed, etc.
* Identify all people and communities potentially affected by displacement activities and potential impacts to each

4. Legal Framework

* Describe all relevant international, national, local, and community laws and customs that apply to displacement activities, with particular attention to laws and customs relating to tenure rights
* Describe how free, prior, informed consent was obtained for displacement of indigenous peoples and tribal communities, if applicable
* Describe project-specific mechanisms to address conflicts
* Describe entitlement/compensation policies for each type of impact
* Describe method of valuation used for affected structures, land, trees, and other assets
* Prepare entitlement matrix, which includes budget and timeframe for payment of entitlements

5. Displacement-related Property

* Describe how affected people have been involved in a participatory process to identify replacement property when they have lost access to property to which they have legitimate rights. Describe the advantages and disadvantages of the properties, including the property chosen.
* Describe how affected people whose livelihoods are urban-based have been involved in a participatory process to identify livelihood replacement and support opportunities.
* Describe how affected people whose livelihoods are land-based have been involved in a participatory process to identify lands they can access, including lands with productive potential, locational advantages, and other factors at least equivalent to that being lost.
* Describe how affected people whose livelihoods are natural resource-based have been involved in a participatory process to identify resources they can access with equivalent livelihood-earning potential and accessibility.
* Describe how affected people whose access to legally designated parks and protected areas has been restricted have been involved in identifying and choosing measures to mitigate impacts.
* Describe the feasibility studies conducted to determine the suitability of chosen lands and/or natural resources described above, including natural resource assessments (soils and land use capability, vegetation and livestock carrying capacity, water resource surveys) and environmental and social impact assessments of the sites.
* Give calculations relating to land and resource availability
* Describe, as relevant, mechanisms for: 1) procuring, 2) developing and 3) allotting displacement property, including the awarding of title or use rights to allotted lands and/or resources. Indicate to whom titles and use rights will be allocated, including by gender.
* Provide detailed description of the arrangements for site development for agriculture, including funding of development costs
* If circumstances made it difficult to provide land or resources as described above, provide evidence of mutual agreement with affected people/communities on alternative measures.

6. Income Restoration

* Are compensation entitlements sufficient to restore and/or improve livelihoods and income streams for each category of impact? Attach independent review of opportunities to restore and improve incomes/livelihoods. What additional economic rehabilitation measures are necessary?
* Briefly spell out the restoration strategies for each category of impact and describe their institutional, financial, and technical aspects
* Describe the process of consultation with affected populations and their participation in finalizing strategies for income restoration
* How do these strategies vary with the area of impact?
* Does income restoration require change in livelihoods, development of alternative farmlands or some other activities that require a substantial amount of training, time for preparation, and implementation?
* How are the risks of impoverishment to be addressed?
* What are the main institutional and other risks for the smooth implementation of the resettlement programs?
* Describe the process for monitoring the effectiveness of the income restoration measures
* Describe any social or community development programs currently operating in or around the project area. If programs exist, do they meet the development priorities of their target communities? Are there opportunities to support new programs or expand existing programs to meet the development priorities of communities in the project area?

7. Institutional Arrangements

* Describe the institution(s) responsible for delivery of each item/activity in the entitlement policy; implementation of income restoration programs; and coordination of the activities associated with and described in the livelihood action plan
* State how coordination issues will be addressed where displacement is spread over a number of jurisdictions or where displacement will be implemented in stages over a long period of time
* Identify the agency that will coordinate all implementing agencies. Does it have the necessary mandate and resources?
* Describe the external (nonproject) institutions involved in the process of income restoration (land development, land allocation, credit, training) and the mechanisms to ensure adequate performance of these institutions
* Discuss institutional capacity for and commitment to displacement
* Describe mechanisms for ensuring independent monitoring, evaluation, and financial audit of the LAP and for ensuring that corrective measures are carried out in a timely fashion

8. Implementation Schedule

* List the chronological steps in implementation of the LAP, including identification of agencies responsible for each activity and with a brief explanation of each activity
* Prepare a month-by-month implementation schedule of activities to be undertaken as part of resettlement implementation
* Describe the linkage between resettlement implementation and initiation of civil works for each of the project components

9. Participation and Consultation

* Describe the various stakeholders
* Describe the process of promoting consultation/participation of affected populations and stakeholders in resettlement preparation and planning
* Describe the process of involving affected populations and other stakeholders in implementation and monitoring
* Describe the plan for disseminating LAP information to affected populations and stakeholders, including information about compensation for lost assets, eligibility for compensation, displacement assistance, and grievance redress

10. Grievance Redress

* Describe the step-by-step process for registering and addressing grievances and provide specific details regarding a cost-free process for registering complaints, response time, and communication modes
* Describe the mechanism for appeal
* Describe the provisions for approaching civil courts if other options fail

11. Monitoring and Evaluation

* Describe the internal/performance monitoring process. Ensure monitoring program seeks to measure whether displaced enjoy at least a standard of living and access to livelihoods equal to what they enjoyed before displacement
* Define key monitoring indicators derived from baseline survey. Provide a list of monitoring indicators that will be used for internal monitoring, including number and location of displaced persons
* Describe institutional (including financial) arrangements
* Describe frequency of reporting and content for internal monitoring
* Describe process for integrating feedback from internal monitoring into implementation
* Define methodology for external monitoring
* Define key indicators for external monitoring
* Describe frequency of reporting and content for external monitoring. Ensure monitoring program is regular and ongoing following project completion until durable solutions are reached
* Describe process for integrating feedback from external monitoring into implementation
* Describe arrangements for final external evaluation
* Describe need for updates to census, assets inventories, resource assessments, and socioeconomic surveys, if necessary, as part of LAP monitoring and evaluation

12. Costs and Budgets

* Provide a clear statement of financial responsibility and authority
* List the sources of funds for displacement and describe the flow of funds
* Ensure that the budget for displacement is sufficient and included in the overall project budget. Include provisions for non-anticipated adverse impacts.
* Identify displacement costs, if any, to be funded by the government and the mechanisms that will be established to ensure coordination of disbursements with the LAP and the project schedule. Prepare estimated budget, by cost and by item, for all displacement costs including planning and implementation, management and administration, monitoring and evaluation, and contingencies
* Describe the specific mechanisms to adjust cost estimates and compensation payments for inflation and currency fluctuations
* Describe the provisions to account for physical and price contingencies
* Describe the financial arrangements for external monitoring and evaluation including the process for awarding and maintenance of contracts for the entire duration of displacement

Annexes

* Copies of census and survey instruments, interview formats, and any other research tools
* Information on all public consultation including announcements and schedules of public meetings, meeting minutes, and lists of attendees
* Examples of formats to be used in monitoring and reporting on LAP implementation
* Entitlement matrix
* Evidence of prior informed consent for indigenous peoples and tribal communities

Annexure XX. Indicative Outline for Resettlement Action Plan

Please refer to the [UNDP SES Guidance Note: Standard 5: Displacement and Resettlement](https://info.undp.org/sites/bpps/SES_Toolkit/SES%20Document%20Library/Uploaded%20October%202016/FInal%20UNDP%20SES%20Displacement%20and%20Resettlement%20GN_Dec2016.pdf?Web=1) for additional information.

A Resettlement Action Plan (RAP) details the **procedures** to be followed and the **actions** to be taken in order to properly resettle and compensate affected people and communities. This plan must be developed after it has been determined, following the process outlined in Standard 5, that displacement and resettlement are unavoidable. The RAP reflects the commitment made by the Implementing Partner and UNDP to affected people and communities to meet obligations arising from resettlement.

1. Introduction

* Briefly describe the project and associated facilities (if any)
* Describe project components requiring land acquisition and resettlement; give overall estimates of land acquisition and resettlement
* Provide explanation of how displacement is necessary to achieve the project objectives, how the project is in the ‘public interest’ and how displacement is proportional to project outcomes

2. Minimizing Resettlement

* Describe the justification for the resettlement
* Describe efforts and measures to minimize displacement, and expected outcomes of these efforts and measures

3. Census and Socioeconomic Surveys

* Provide results of the census, assets inventories, natural resource assessments, and socioeconomic surveys and briefly describe how these were performed, i.e., techniques used, individuals interviewed, etc.
* Identify all people and communities potentially affected by displacement activities and potential impacts to each

4. Legal Framework

* Describe all relevant international, national, local, and community laws and customs that apply to displacement and resettlement activities, with particular attention to laws and customs relating to tenure rights
* Describe how free, prior, informed consent was obtained for resettlement of indigenous peoples and tribal communities, if applicable
* Describe project-specific mechanisms to address conflicts
* Describe entitlement/compensation policies for each type of impact
* Describe method of valuation used for affected structures, land, trees, and other assets
* Prepare entitlement matrix, which includes budget and timeframe for payment of entitlements

5. Resettlement Sites and Housing

* If the project requires relocation, describe how affected people have been involved in a participatory process to identify sites, assess advantages and disadvantages of each site, and select preferred sites. Site selection to be risk-informed (e.g. ensure not subject to higher levels of risks from floods, landslides, earthquakes). Describe the options
* If housing must be replaced, describe how affected people have been involved in developing an acceptable strategy for housing replacement and how alternative housing meets adequate housing criteria (including legal security of tenure; availability of services, materials, facilities and infrastructure; affordability; habitability; accessibility; location; cultural adequacy). Describe the specific process of involving affected populations in identifying potential housing sites, assessing advantages and disadvantages, and selecting sites
* If the project involves allocation of agricultural land or pasture/rangeland, describe how individual households that will be allocated lands have been involved in identifying potential new sites, and how they have explicitly accepted the selected sites
* Describe the feasibility studies conducted to determine the suitability of the proposed relocation sites and housing, including where relevant natural resource assessments (soils and land use capability, vegetation and livestock carrying capacity, water resource surveys) and environmental and social impact assessments of the sites. Include a description of potential access of affected people to necessary services, shelter, food, water, energy, and sanitation
* Demonstrate where relevant that the land quality and area are adequate for allocation to all of the people eligible for allocation of agricultural land. Provide data on land quality and capability, productive potential, and quantity
* Give calculations relating to site requirements and availability
* Describe mechanisms for: 1) procuring, 2) developing and 3) allotting resettlement sites and housing, including the awarding of title or use rights to allotted lands. Indicate to whom titles and use rights will be allocated, including by gender
* Provide detailed description of the arrangements where relevant for site development for agriculture, including funding of development costs

6. Income Restoration

* Are compensation entitlements sufficient to restore and/or improve livelihoods and income streams for each category of impact? Attach independent review of opportunities to restore and improve incomes/livelihoods. What additional economic rehabilitation measures are necessary?
* Briefly spell out the restoration strategies for each category of impact and describe their institutional, financial, and technical aspects
* Describe the process of consultation with affected populations and their participation in finalizing strategies for income restoration
* How do these strategies vary with the area of impact?
* Does income restoration require change in livelihoods, development of alternative farmlands or some other activities that require a substantial amount of training, time for preparation, and implementation?
* How are the risks of impoverishment to be addressed?
* What are the main institutional and other risks for the smooth implementation of the resettlement programs?
* Describe the process for monitoring the effectiveness of the income restoration measures
* Describe any social or community development programs currently operating in or around the project area. If programs exist, do they meet the development priorities of their target communities? Are there opportunities to support new programs or expand existing programs to meet the development priorities of communities in the project area?

7. Institutional Arrangements

* Describe the institution(s) responsible for delivery of each item/activity in the entitlement policy; implementation of income restoration programs; and coordination of the activities associated with and described in the resettlement action plan
* State how coordination issues will be addressed where resettlement is spread over a number of jurisdictions or where resettlement will be implemented in stages over a long period of time
* Identify the agency that will coordinate all implementing agencies. Does it have the necessary mandate and resources?
* Describe the external (nonproject) institutions involved in the process of income restoration (land development, land allocation, credit, training) and the mechanisms to ensure adequate performance of these institutions
* Discuss institutional capacity for and commitment to resettlement
* Describe mechanisms for ensuring independent monitoring, evaluation, and financial audit of the RAP and for ensuring that corrective measures are carried out in a timely fashion

8. Implementation Schedule

* List the chronological steps in implementation of the RAP, including identification of agencies responsible for each activity and with a brief explanation of each activity
* Prepare a month-by-month implementation schedule of activities to be undertaken as part of resettlement implementation
* Describe the linkage between resettlement implementation and initiation of civil works for each of the project components

9. Participation and Consultation

* Describe the various stakeholders
* Describe the process of promoting consultation/participation of affected populations and stakeholders in resettlement preparation and planning
* Describe the process of involving affected populations and other stakeholders in implementation and monitoring
* Describe the plan for disseminating RAP information to affected populations and stakeholders, including information about compensation for lost assets, eligibility for compensation, resettlement assistance, and grievance redress

10. Grievance Redress

* Describe the step-by-step process for registering and addressing grievances and provide specific details regarding a cost-free process for registering complaints, response time, and communication modes
* Describe the mechanism for appeal
* Describe the provisions for approaching civil courts if other options fail

11. Monitoring and Evaluation

* Describe the internal/performance monitoring process. Ensure monitoring program seeks to measure whether displaced enjoy at least a standard of living and access to livelihoods equal to what they enjoyed before displacement
* Define key monitoring indicators derived from baseline survey. Provide a list of monitoring indicators that will be used for internal monitoring, including number and location of displaced/resettled persons
* Describe institutional (including financial) arrangements
* Describe frequency of reporting and content for internal monitoring
* Describe process for integrating feedback from internal monitoring into implementation
* Define methodology for external monitoring
* Define key indicators for external monitoring
* Describe frequency of reporting and content for external monitoring. Ensure monitoring program is regular and ongoing following project completion until durable solutions are reached
* Describe process for integrating feedback from external monitoring into implementation
* Describe arrangements for final external evaluation
* Describe need for updates to census, assets inventories, resource assessments, and socioeconomic surveys, if necessary, as part of RAP monitoring and evaluation

12. Costs and Budgets

* Provide a clear statement of financial responsibility and authority
* List the sources of funds for resettlement and describe the flow of funds
* Ensure that the budget for resettlement is sufficient and included in the overall project budget. Include provisions for non-anticipated adverse impacts.
* Identify resettlement costs, if any, to be funded by the government and the mechanisms that will be established to ensure coordination of disbursements with the RAP and the project schedule. Prepare estimated budget, by cost and by item, for all resettlement costs including planning and implementation, management and administration, monitoring and evaluation, and contingencies
* Describe the specific mechanisms to adjust cost estimates and compensation payments for inflation and currency fluctuations
* Describe the provisions to account for physical and price contingencies
* Describe the financial arrangements for external monitoring and evaluation including the process for awarding and maintenance of contracts for the entire duration of resettlement

Annexes

* Copies of census and survey instruments, interview formats, and any other research tools
* Information on all public consultation including announcements and schedules of public meetings, meeting minutes, and lists of attendees
* Examples of formats to be used in monitoring and reporting on RAP implementation
* Entitlement matrix
* Evidence of prior informed consent for indigenous peoples and tribal communities
1. 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). [↑](#footnote-ref-1)
2. 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. Incorporate the following Annexure Key Environmental and Social Indicators and Management Measures. [↑](#footnote-ref-2)
3. As modified, see Asian Development Bank (ADB), Strengthening Participation, p. 43. [↑](#footnote-ref-3)
4. IFC Stakeholder Engagement, p. 101. [↑](#footnote-ref-4)
5. Oral acknowledgments can be used for expediency (and also recorded), but must be followed by a written acknowledgment. [↑](#footnote-ref-5)