Project Title:	Restoring and Enhancing the Value of Degraded Lands and Forest Ecosystems for Enhanced Climate Resilience in Benin (PIRVaTEFoD-Benin)		
Country(ies):	Benin	GEF Project ID:	10688
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Project Executing Entity(s):	Ministry of the Living Environment and Sustainable Development (MCVDD)	Submission Date:	27 October 2020
GEF Focal Areas:	Multi-focal: Land Degradation; Climate Change Adaptation	Project Duration (Months)	72 months

CONTENTS

Executive summary

This Environmental and Social Management Framework (ESMF) has been prepared, for the purpose of guiding the assessment and management of the identified social and environmental risks during the implementation of the project titled, "Restoring and Enhancing the Value of Degraded Lands and Forest Ecosystems for Enhanced Climate Resilience in Benin (PIRVaTEFoD-Benin)".

The Framework forms the basis upon which an Environmental and Social Impact Assessment (ESIA), Social and Environmental Strategic Assessment (SESA) will be undertaken, and Environmental and Social Management Plan (ESMP) and targeted management Plan will be developed, so as to ensure the full compliance with the UNDP's Social and Environmental Standards requirements.

Social and environmental risk screening, following the UNDP's Social and Environmental Screening Procedure (SESP), of the project during the PPG phase identified eleven (11) potential social and environmental risks associated with project activities.

Three significant risks are assessed in the SESP as **"Substantial":**

Risk 1: Local communities, especially farmers and vulnerable people, such as women or marginalized indigenous peoples, may not be adequately involved on integrated land use, landscape restoration, and forest management plans (outputs 2.1 and 2.2) and therefore not fully engaged in and not benefit fully from project activities.

Risk 2*:* Access to economic resources and natural resources facilitated through interventions under outputs 2.4 and 3.2 could create or exacerbate conflicts between ethnic groups or could increase the risk of violence between project-affected communities and individuals.

Risk 3: New approaches to land management, as planned under output 2.1, could result in changes to current access to resources in each PDA and could potentially lead to economic displacement.

Eight (8) potential risks are considered of Moderate significance.

Based on their significance, the overall project is categorized as a "Substantial Risk" project.

The broad scope of project activities and outputs is established. However, additional assessment is required within the first project year, and throughout the project when project activities are further defined, to identify potential adverse impacts at specific project sites and to identify which users/user groups might be affected. Adverse impacts will, as they are identified, be subject to further study and stakeholder consultation to identify and where possible quantify the magnitude and severity of such impacts on the individuals/communities affected. Measures to avoid, minimize, mitigate, or manage such impacts will be developed and implemented.

This ESMF has been developed on the basis of these risk categorizations to specify the processes that will be undertaken by the project for the additional assessment of potential impacts and identification and development of appropriate risk management measures, in line with UNDP's Social and Environmental Standards (SES). This ESMF also details the roles and responsibilities for its implementation and includes a framework for a Grievance Mechanism, budget, and monitoring and evaluation plans.

To meet the SES requirements the following have been prepared: (1) Environmental and Social Management Framework (ESMF); (2) Stakeholder Engagement Plan; (3) Gender Analysis and Gender Action Plan; (4) Grievance Redress Mechanism.

To assess and manage all the identified risks, when project locations and activities are finalized, they will be screened on a site and activity specific basis using the SESP. Based on the impacts identified, appropriate impact management measures will be integrated in the ESMP, that will be prepared by the first project year. The SESP will be revised as part of regular project monitoring and based on further assessments and on information/details gathered during project implementation. Revisions of the SESP will inform the ESIA and ESMP over the course of the project.

To mitigate the identified risks, an ESIA is required for each PDA for the field-level activities and a SESA is required for the policy-level activities, assessing each targeted policy. The SESA will be developed to ensure the impacts of upstream activities are assessed and mitigation measures are identified.

Identified adverse impacts through ESIA and SESA will be subject to further study and stakeholder consultation to identify and where possible quantify the magnitude and severity of such impacts on the individuals/communities affected. The ESIA will inform the development of the required ESMP. An ESMP will be developed for each PDA. Considering the risks related to Standard 6, the ESIA will also include assessment of specific impacts on Ethnic Groups (included in the UNDP's Indigenous Peoples definition), existing or potential conflicts among them, economic displacement and others that will lead to the preparation of one Ethnic Groups Plan for each PDA (based on the Ethnic Groups Planning Framework).

The FPIC has begun during PPG and will continue during project implementation with the aim of achieving initial consent from the specific rights-holders, in line with Standard 6 requirements. FPIC will be applied to all project-affected ethnic groups and communities with respect to project activities and plans, and the principles and key concepts of Standard 6 will be fully reflected in the ESMP, and the approach to Stakeholder Engagement.

Based on the findings of the site and activity specific SESP, Livelihood Action Plans will be developed where the risks of economic displacement (part or full) are verified, ensuring that restrictions to access to resources are adequately compensated.

To manage specific risks related to habitats and human health, site-specific Pesticides and Herbicides Management Plans will be developed within six months of implementation.

No activities which might have adverse impacts on the rights, lands, resources and territories of marginalized Ethnic Groups will commence until the ESIA/ESMP is completed, impact management measures established, and broad community consent has been obtained.

I.   INTRODUCTION

- **PROJECT DESCRIPTION**

The objective of the project is to support achievement of Benin's Land Degradation Neutrality (LDN) targets through climate risk integrated sustainable land and forest management practices and strengthen the climate resilience of vulnerable populations in the Niger Valley, Alibori Sud-Borgou Nord-2KP and Zou-Couffo Agricultural Development Areas.

Project strategy

The project has been designed as an integrated LDN project that aims to reverse current trends in land and ecosystem degradation in Benin, build adaptive capacity to enhance climate change resilience, and implement dynamic local resilience, land restoration, and improved livelihoods for communities in the target areas.

As noted in the ProDoc, the Government of Benin carried out a number of reforms to implement the Strategic Plan for Development of the Agricultural Sector (PSDSA), in particular the creation of seven Agricultural Development Areas (PDAs), each with its own Territorial Agricultural Development Agency (ATDA), deployed across 12 Decentralized Departments for Agriculture, Livestock and Fisheries (DDAEP). The principal project partners will be the ATDA structures at the target sites. The project will assist these Agencies—along with selected multi-sectoral, multi-party forums that have been created at national, district and local levels—to implement the reforms that are underway. The project will further provide technical guidance for improved climate resilient agricultural production and sustainable human development that is aligned with Benin's LDN targets.

In addition to building capacity at PDA level, the project has identified eight target communes, together covering approximately 22,400 km^2, where on-the ground restoration and prevention actions will take place.

Pilot activities within the above communes will demonstrate climate-resilient agricultural development, restoration techniques, income diversification strategies, etc. Restoration and other efforts will include community farmers as well as private forest concessions and plantations. In addition, the project sites include, or are in close proximity to, classified, community, and sacred forests, as well as protected areas.

Theory of change

Building on the identified baseline practices, the project will put in place a number of activities and outputs, which together will establish and strengthen capabilities within government and non-government stakeholders. These, in turn, will result in outcomes that together enable achievement of the development objective or goal.

The main outputs of the project will improve the information base for government decision making (LDN database), will strengthen multi-stakeholder processes such as the Committee to combat desertification for greater coordination of programs and actions, will strengthen institutions including their access to funding tasked with the promotion of land uses that conserve or rehabilitate the fertility and ecosystem services of the land with special focus on forestry, agroforestry and sustainable, climate resilient agriculture practices, will strengthen extension services, will pilot forest rehabilitation and sustainable land management models, will strengthen value chains for climate resilient agriculture, promote learning, and empower women in decision making and as market actors.

This set of outputs at institutional and field level will establish and reinforce capabilities within stakeholders that currently are weak, thereby reducing barriers to change. Specifically, government will be better able to analyse climate and land degradation risks and plan their interventions accordingly; the capabilities of government and non-government stakeholders to implement ecosystem restoration and climate resilient land use programs will be increased, and public and private actors will have increased capabilities to promote value chains that encourage sustainable production and land management.

These increased capabilities of key actors and institutions, in turn, will lead to the short-term outcomes of strengthened policies and increased funding for climate resilient and sustainable land use planning; better informed programs for ecosystem restoration and conservation; and tangible benefits for communities from increased climate resilience, reduced soil degradation, and income streams from sustainable value chains.

Over the longer term, agriculture and land use generally in Benin (and beyond) will become more sustainable and climate resilient, land degradation will decrease, ecosystems will be restored.

Building on the project experience, rural people will have increased and more reliable incomes, women will play a stronger and more empower role in rural societies and learning from this project will be exchanged with stakeholders in Benin and beyond through knowledge transfer.

These outcomes will enable the project goal (or development objective) of "Land degradation neutrality and increased climate resilience in rural Benin through sustainable land and forest management" to be achieved. Multi-stake dialogue processes will be ensured, not only to consult, but to co-design interventions with beneficiaries, and agents that can enable changes (e.g. private sector). This process will be guided by STAP forthcoming guidelines on behavioral change.

The **Project Objective** will be achieved through four Components:

Component 1: Political, financial, institutional, and regulatory frameworks to achieve climate risk informed Land Degradation Neutrality (LDN) and advance integration of vulnerability assessments and adaptation options within land use decisions. This will (Output 1.1) establish a national LDN and restoration database at MCVDD to serve as the hub for national monitoring and national reporting on LDN, (output 1.2) build national reporting and monitoring systems for tracking LDN and various aspects of climate change vulnerability, (output 1.3) strengthen the National Committee on Desertification as a key tool for national-level coordination, (output 1.4) raise the profile of LDN within national environmental funding mechanisms, (output 1.5) build capacities of key agencies for climate risk informed and resilient SLM, SFM and restoration.

Component 2: Restoration of land and forest ecosystems for improved agricultural productivity, prevention of deforestation, and enhanced climate resilience of vulnerable communities. This will (output 2.1) support the development of restoration and SLM / SFM components within management plans at various levels within the three PDAs target, (output 2.2) support restoration and sustainable land management at target sites, (output 2.3) strengthen capacities of government extension services to provide extension services to farmers, (output 2.4) provide training and awareness raising support within the communities at the target sites, (output 2.5) involve creating green infrastructure resilient to projected climate impacts in four of the target communes (Karimama, Kouandé, Ségbana and Gogounou) to strengthen Benin's Green Belt against desert encroachment from the north.

Component 3: Building diversified income-generating activities and value chains to strengthen community resilience to climate change. This will (output 3.1) consist of in-depth analyses of short-listed value chains from the perspective of their potential to generate income for local communities while delivering a variety of national and global environmental benefits, including enhanced climate change resilience, (output 3.2) strengthen selected

value chains through investment and extension support, (output 3.3) deliver technical and financial support to forest-friendly and climate resilient income generating activities, (output 3.4) help to increase market access for farmers and communities practicing climate-resilient, zero-degradation agriculture and agro-forestry, including NTFPs.

Component 4: Gender Empowerment, Knowledge Management, and M&E. This will (output 4.1) establish the gender-based parameters and goals of the project, and in particular its learning and replication efforts, by coordinating and monitoring a gender action plan that was developed during the PPG, (output 4.2) focus on the important M&E issues associated with delivering on LDN commitments, (output 4.3) underpin and expand the project's learning and replication ambitions by integrating LDN within overall PDA-level monitoring, (output 4.4) develop and implement a national-level communications and awareness program will be developed and implemented.

- **PURPOSE AND SCOPE OF THIS ESMF**

The project management unit will follow this ESMF during the start of the project implementation to ensure the environmental and social risks and impacts are fully assessed and management measures are in place prior to the implementation of the relevant project activities.

At the current stage of project development, as some specific on-the-ground activities and exact locations have not been fully specified, they cannot be fully assessed for all potential social and environmental risks and impacts. As such, this ESMF has been prepared to set out the principles, rules, guidelines and procedures for screening, assessing, and managing the potential social and environmental impacts of the project as they are further developed.

The document forms the basis upon which the project management unit will develop the Environmental and Social Management Plan to ensure that significant adverse environmental and social impact mitigation and management measures are implemented and monitored as required.

It identifies the steps for detailed assessment of the project's potential social and environmental risks, and for preparing and approving the required management plan for avoiding, and where avoidance is not possible reducing, mitigating and managing the identified adverse impacts of this project.

It also sets out the additional safeguards measures that apply to the project during the first project year, including but not limited to:

- conducting a Strategic Environmental and Social Assessment (SESA), assessing impacts associated with "upstream" aspects of the project involving planning support, policy advice and reform, and/or capacity building.
- conducting an Environmental and Social Impact Assessment (ESIA), to assess "downstream" impacts of on-the-ground activities identified in the SESP, paying particular attention to impacts on poor and marginalized individuals, women, ethnic groups and local communities.
- screening of project activities and specific interventions/outputs not yet fully specified, using the SESP, to ensure that associated impacts are adequately managed.
- Arrangements for ongoing screening, assessment and management of further (yet to be specified) activities and interventions during the project lifetime.

This ESMF will be publicly disclosed in line with UNDP's Information Disclosure Policy and SES. Free, Prior Informed Consent (FPIC) will be applied for any identified activities which may affect the rights and interests, lands, territories, and resources of forest-dependent communities and ethnic groups, including the conducting of the ESIA/SESA and the implementation of the ESMP.

- **POTENTIAL SOCIAL AND ENVIRONMENTAL IMPACTS**

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

The analysis identified a range of potential social and environmental impacts associated with the project activities. The SESP template details the specific environmental and social risks that apply. The significance of each risk, based on its probability of occurrence and extent of impact, has been estimated as being either moderate or substantial. Based on the significance of these individual risks, the project has been allocated an overall SESP risk categorization rating of "Substantial**"**, the overall risk category being taken from the highest rating allocated to any individual risk.

The following risks have been identified and assessed as being "**Substantial**". This category is defined as impacts with potential adverse social and environmental risks and impacts that are more varied or complex than those of Moderate Risk projects but remain limited in scale and are of lesser magnitude than those of High-Risk projects

(e.g. reversible, predictable, smaller footprint, less risk of cumulative impacts). Substantial risks require more extensive assessment and management measures. Scoping and assessment may determine that a scoped, fit-for-purpose Environmental and Social Impact Assessment (ESIA) or Strategic Environmental and Social Assessment (SESA) may be required in order to ensure that the SES requirements are appropriately addressed.

Risk 1: Local communities, especially farmers and vulnerable people, such as women or marginalized indigenous peoples, may not be adequately involved on integrated land use, landscape restoration, and forest management plans (outputs 2.1 and 2.2) and therefore not fully engaged in and not benefit fully from project activities. The development and the operationalisation at target sites of Integrated land use, landscape restoration, and forest management plans with climate change scenarios informing risks and selection of adaptation options, may not be ensuring the participation and the involvement of local communities, and especially marginalised people. While stakeholder participation and engagement in projects are usually well managed in Benin, there is still a tendency to engage in a top-down approach. Therefore, prudency in the project implementation is needed to further lower this risk. Identification of project locations must ensure meaningful participation of stakeholders, avoiding exclusions of marginalized people. The project needs to ensure that decision making processes are well structured, involving representative of all the different ethnic groups present in project areas.

Risk 2: Access to economic resources and natural resources facilitated through interventions under outputs 2.4 and 3.2 could create or exacerbate conflicts between ethnic groups or could increase the risk of violence between project-affected communities and individuals. The communities and groups living in the project areas are involved in different livelihood activities related to access to land and other natural resources. There are sedentary and nomadic communities. Between different communities and ethnic groups (from Benin or from neighboring countries) there may already be existing disputes and conflicts that could be exacerbated by the identified outputs. In particular, the selection of location and the selection of beneficiaries of the extension services (with target of 50% women) can lead to exacerbating inequality and potential conflicts, if a participatory approach is not granted and if the impacts are not identified at site level. The identification and the assessment of the value chains, the selection of climate resilient and sustainable agricultural and agroforestry practices and the access to the market channels need to be done under a sustainable framework.

Risk 3: New approaches to land management, as planned under output 2.1, could result in changes to current access to resources in each PDA and could potentially lead to economic displacement. Focusing on restoration of land and forest ecosystems for improved agricultural productivity, prevention of deforestation, and enhanced climate resilience of vulnerable communities, the project is leading to new approaches to land management. The information and data collected in the field by the national consultants during PPG contributed to identifying approaches in line with the current socio-economic scenario in Benin. Despite this, the impacts of new land management approaches need to be further assessed and mitigated.

The following risks rated "**Moderate**" have also been identified. Moderate risks are defined as activities with potential adverse social and environmental risks and impacts that are limited in scale, are largely reversible and can be identified with a reasonable degree of certainty and readily addressed through application of recognized good international practice, mitigation measures and stakeholder engagement during project implementation.

Risk 4: Project activities, such as access to extension services, climate resilient and sustainable agricultural and agroforestry practices implementation and reinforcement of cooperatives and farmer organizations and approaches might not fully incorporate or adequately reflect views of women and girls and ensure equitable opportunities for their involvement and benefits. During the project's development phase, the risks related to the lack of gender equality have been taken into consideration. The stakeholder consultation has been done by national consultants through a gender sensitive approach, considering women as one of the main actors who will ensure the project will reach the identified objectives. During

project implementation, attention will be put to ensure gender equality and to involve women into the project interventions. Attention has to be put on the fact that in Benin, gender bias remains prevalent, including in upper-middle and higher-level management. Finally, there is a tendency that men, more often than women, participate in trainings at all levels.

Risk 5: The operationalization of the Integrated land use, landscape restoration, and forest management (outputs 2.1 and 2.2) may have negative impacts on habitats, ecosystems, and/or livelihoods. If the risk materialized, further degradation of the agroecosystem could occur leading to further loss of ecosystem services, increased environmental impact and loss of land productivity. The latter resulting in reduced income for land users. However, the project's SLM and resilient agriculture interventions will build on existing national initiatives to strengthen the Green Belt in northern Benin and support SLM and support sustainable agriculture and food security. Successful models are to be scaled-up and act as demonstrations for other non-project sites. The projects demonstration sites will also act as training sites for practitioners and policy makers. Thus, the possibility for this risk to materialize is limited. Further, agriculture development in the target PDAs must take into consideration the existing management regimes for the neighboring Protected Areas (PAs) of W and Pendjari as well as classified and community protected forest reserves. These PAs are already under considerable pressure from increasing human populations in the surrounding communities where farmers, hunters and cattle herders do not respect the boundaries of the Controlled Occupational Zones. Balancing the needs of local communities to strengthen climate resilience while reducing degradation and safeguarding the biodiversity conservation efforts within the parks and buffer zones will be a necessary and challenging undertaking for the project.

Risk 6: Land and forest restoration (Output 2.2) and selected climate resilient and sustainable agricultural and agroforestry practices and market channels strengthening (output 3.2) could increase the vulnerabilities of populations to the effects of climate change. The project is climate dependent and changes in climate could have an impact on project's outputs and on vulnerability of communities. The project areas will be sensitive to increased droughts and deterioration of habitat as a result of climate change. However, planned project activities will contribute towards increased resilience to climate change effects in the area. The restoration of agricultural lands and habitats aims to reduce impacts and vulnerability of communities. For instance, the use of local species adapted to the current local climate conditions will result in increased resilience to local climate variations. The vulnerability of communities will be monitored and reported at national level, and these processes must ensure the consultation with local communities, to include their feedback.

Risk 7: Poorly designed or executed project activities could damage critical or sensitive habitats, including through the introduction of invasive alien species during land and forest restoration. As agricultural lands are one of the main pathways for the spread of alien invasive species, the project's engagement in cropland management and restoration of degraded forest lands and riparian areas creates the potential for inadvertently introducing IAS. This could happen either through IAS stowaway in seedlings or seeds or by being carried into the project areas by farmers or workers engaged in the restoration work or tending to their farmland, as many IAS can stick to clothing or be embedded in mud under boots, etc.

Risk 8: Selected climate resilient and sustainable agricultural and agroforestry practices poorly designed or executed (output 3.1 and 3.2) could negatively affect human health by the inappropriate use of pesticides and herbicides. As pesticides and herbicides may be used in connection with the project's demonstration work, there is a concern that this usage will have negative health effects. In this regard, the activities that will be identified for output 3.1 and 3.2 will ensure that: 1) no internationally or nationally banned herbicides or pesticides will be used 2) workers working with said products will be trained and are equipped with protective equipment where/if appropriate 3) follow national, provincial and local guidelines for handling and management use of chemicals and chemical containers.

Risk 9: Natural features with cultural significance, such as sacred forests, could be negatively impacted by outputs 2.2, 2.4, 3.1 and 3.2 During the baseline analysis and the field visits for PPG, the presence of sacred forests in the project areas has been identified as areas that could be impacted by project activities. Some of the new identified income generating activities and the land and forest restoration can involve areas where sacred sites are presents. Sacred sites or natural resources with sacred value (such as specific trees) are often presents in many areas in Benin. Project's activities must be managed considering such type of issue that are sensitive for the local population.

Risk 10: Field and policy level activities related to the agricultural value chains selected and assessed (outputs 3.1 and 3.2) could inadvertently support child labour, forced labour, and other violations of international labour standards. Agricultural and agroforestry practices and strengthened cooperatives and farmer organizations and negotiated partnerships with traders and processors can lead to the involvement of girl children in economic activities. Involvement of girls in economic activities will impact on their wellbeing and on the enjoyment of their right. In Benin the girls involved in labour are called "*vidomegon*". This practice is related to the family structure, where boys and especially girls are entrusted to relatives when the parents cannot take care of their daughters and sons or when there is a need of an income in the family.

Risk 11: Informal farmers, or those without registered legal entitlement to the land they farm, may be excluded from project benefits. Informal land tenure arrangements and/or a failure to update official land use records may result in the exclusion of non-registered farmers from project benefits, especially benefits under Component 3. This may apply particularly to marginalized/vulnerable groups, including migrants.

Further details of identified risks are contained in the SESP report in Annex 4.

Here below potential project benefits are identified, based in the SESP:

Components	Risks	SESP references (see SESP in Annex)	Potential project benefits
Component 1: Political, financial, institutional, and regulatory frameworks to achieve climate risk informed Land Degradation Neutrality (LDN) and advance integration of vulnerability assessments and adaptation options within land use decisions.	**Risk 1:** Local communities, especially farmers and vulnerable people, such as women or marginalized indigenous peoples, may not be adequately involved on integrated land use, landscape restoration, and forest management plans (outputs 2.1 and 2.2) and therefore not fully engaged in and not benefit fully from project activities. **Risk 10:** Field and policy level activities related to the agricultural value chains selected and assessed (outputs 3.1 and 3.2) could inadvertently support child labour, forced labour, and other violations of international labour standards.	Principles: Human Rights Sustainability and Resilience Accountability (Questions P.2, P.3, P.4, P.5, P.6, P.13, P14) Gender Equality and Women's Empowerment (Questions P.8, P.9, P.10, P.11) Project level standards: 6.Indigenous Peoples (Questions 6.1, 6.2, 6.3, 6.4) 7. Labour and Working Conditions	The project's objectives will be achieved through a participatory approach, starting from the involvement and the strong ownership of the project by the national authorities and all the institutions who are involved to support the technical quality of intervention and the effective project's management. The project will increase the awareness on risks related to climate change and related mitigation measures, thanks to the strengthening of the political, institutional and regulatory framework.

Components	Risks	SESP references (see SESP in Annex)	Potential project benefits
		(question 7.1, 7.3, 7.6)	A full stakeholder engagement at all level will ensure project's results sustainability.
Component 2: Restoration of land and forest ecosystems for improved agricultural productivity, prevention of deforestation, and enhanced climate resilience of vulnerable communities.	**Risk 1:** Local communities, especially farmers and vulnerable people, such as women or marginalized indigenous peoples, may not be adequately involved on integrated land use, landscape restoration, and forest management plans (outputs 2.1 and 2.2) and therefore not fully engaged in and not benefit fully from project activities. **Risk 2:** Access to economic resources and natural resources facilitated through interventions under outputs 2.4 and 3.2 could create or exacerbate conflicts between ethnic groups or could increase the risk of violence between project-affected communities and individuals. **Risk 3:** New approaches to land management, as planned under output 2.1, could result in changes to current access to resources in each PDA and could potentially lead to economic displacement **Risk 4:** Project activities, such as access to extension services, climate resilient and sustainable agricultural and agroforestry practices implementation and reinforcement of cooperatives and farmer organizations and approaches might not fully incorporate or adequately reflect views of women and girls and ensure equitable opportunities for their involvement and benefits **Risk 5:** The operationalization of the Integrated land use, landscape restoration, and forest management (outputs 2.1 and 2.2) may have negative impacts on habitats, ecosystems, and/or livelihoods. **Risk 6:** Land and forest restoration (Output 2.2) and selected climate resilient and sustainable agricultural and agroforestry practices and market channels strengthening (output 3.2) could increase the vulnerabilities of populations to the effects of climate change	Principles: Human Rights Sustainability and Resilience Accountability (Questions P.2, P.3, P.4, P.5, P.6, P.7, P.13, P14) Gender Equality and Women's Empowerment (Questions P.8, P.9, P.10, P.11) Project level Standards: 1. Biodiversity Conservation and Sustainable Natural Resource Management (Questions 1.1, 1.2, 1.3, 1.6, 1.7, 1.8, 1.9, 1.10) 2. Climate Change Mitigation and Disaster risks (Questions 2.1, 2.2, 2.3) 3. Community Health, Safety and Security (Question 3.6, 3.8) 4. Cultural Heritage (Questions 4.1, 4.3, and 4.4, 4.5) 5. Displacement and Resettlement (Questions 5.2, 5.4) 6. Indigenous Peoples (Questions 6.1, 6.2, 6.3, 6.4, 6.5, 6.6, 6.9)	Through an effective stakeholder engagement during project's implementation, the project can enhance the possibility of the populations to access to their rights including the use of land and the decrease of vulnerabilities linked to climate change. Access to natural resources can empower local communities, especially vulnerable people, and strengthen their knowledge and technical skills for accessing to the market and reducing their vulnerability. The women's role strengthening on land and resources management can empower them on the overall decision-making processes at household, local and national level. The involvement of women and marginalized local committees will strengthen the sustainability of project's results.

Components	Risks	SESP references (see SESP in Annex)	Potential project benefits
	Risk 7: Poorly designed or executed project activities could damage critical or sensitive habitats, including through the introduction of invasive alien species during land and forest restoration. **Risk 9:** Natural features with cultural significance, such as sacred forests, could be negatively impacted by outputs 2.2, 2.4, 3.1 and 3.2		
Component 3: Building diversified income-generating activities and value chains to strengthen community resilience to climate change.	**Risk 2:** Access to economic resources and natural resources facilitated through interventions under outputs 2.4 and 3.2 could create or exacerbate conflicts between ethnic groups or could increase the risk of violence between project-affected communities and individuals. **Risk 4:** Project activities, such as access to extension services, climate resilient and sustainable agricultural and agroforestry practices implementation and reinforcement of cooperatives and farmer organizations and approaches might not fully incorporate or adequately reflect views of women and girls and ensure equitable opportunities for their involvement and benefits **Risk 6:** Land and forest restoration (Output 2.2) and selected climate resilient and sustainable agricultural and agroforestry practices and market channels strengthening (output 3.2) could increase the vulnerabilities of populations to the effects of climate change **Risk 8:** Selected climate resilient and sustainable agricultural and agroforestry practices poorly designed or executed (output 3.1 and 3.2) could negatively affect human health by the inappropriate use of pesticides and herbicides. **Risk 9:** Natural features with cultural significance, such as sacred forests, could be negatively impacted by outputs 2.2, 2.4, 3.1 and 3.2 **Risk 10:** Field and policy level activities related to the agricultural value chains selected and	Principle: Human rights (Question P.2, P.3, P.4, P.5, P.6, P.7) Gender Equality and Women's Empowerment (Questions P.8, P.9, P.10, P.11) Project level Standards : 1. Biodiversity Conservation and Sustainable Natural Resource Management (Question 1.2) 2. Climate Change Mitigation and Disaster risks (Questions 2.1, 2.2, 2.3) 4. Cultural Heritage (Questions 4.1, 4.3, 4.4, 4.5) 5. Displacement and Resettlement (Questions 5.4) 6. Indigenous Peoples (Questions 6.1, 6.2, 6.3, 6.4, 6.5, 6.6, 6.9) 7. Labour and working conditions (Question 7.1, 7.3, 7.6)	The implementation of diversified income-generating activities can: • give the access to the market to vulnerable or marginalized groups. • increase the participation to decision making processes, due to the involvement in the local economy • facilitate the coexistence between different ethnic groups who need access to land • Increase the resilience of climate change of vulnerable communities • Increase skills of the involved population and increase their possibility to develop new income generating activities • Involve youth in the process of building the resilience to climate change, ==engaging them all along the project cycle (from design phase to implementation and M&E)==

Components	Risks	SESP references (see SESP in Annex)	Potential project benefits
	assessed (outputs 3.1 and 3.2) could inadvertently support child labour, forced labour, and other violations of international labour standards. **Risk 11:** Informal farmers, or those without registered legal entitlement to the land they farm, may be excluded from project benefits.	8. Pollution Prevention and Resource Efficiency (Question 8.1, 8.5)	
Component 4: Gender Empowerment, Knowledge Management and M&E	**Risk 1:** Local communities, especially farmers and vulnerable people, such as women or marginalized indigenous peoples, may not be adequately involved on integrated land use, landscape restoration, and forest management plans (outputs 2.1 and 2.2) and therefore not fully engaged in and not benefit fully from project activities. **Risk 4:** Project activities, such as access to extension services, climate resilient and sustainable agricultural and agroforestry practices implementation and reinforcement of cooperatives and farmer organizations and approaches might not fully incorporate or adequately reflect views of women and girls and ensure equitable opportunities for their involvement and benefits	Principles: Human Rights Sustainability and Resilience Accountability (Questions P.2, P.3, P.4, P.5, P.6, P.13, P14) Gender Equality and Women's Empowerment (Questions P.8, P.9, P.10, P.11) Project level Standards : 6.Indigenous Peoples (Questions 6.1, 6.2, 6.3, 6.4)	The project will strongly enhance the participation of women and girls to decision making process and to build resilience to climate change, giving to women a crucial role on project activities. The women involvement will facilitate the awareness raising process at community level. The project will support women groups who will increase their involvement in the market. The role and capacities to act of women groups or women committees, already existing at national and local level, will be strengthen all along project implementation.

II. LEGISLATION AND INSTITUTIONAL FRAMEWORKS FOR ENVIRONMENTAL AND SOCIAL MATTERS

This section provides a preliminary review of the policy, legal and institutional framework related to the potential risks and benefits of the proposed project. The framework underpins how social and environmental safeguards will be addressed and respected.

The section includes (a) the country's applicable policy framework (e.g. national laws and regulations) relating to relevant social and environmental issues; obligations of the country directly applicable to the project under relevant international treaties and agreements.

(b) likely applicable requirements under UNDP's SES.

This analysis will be further expanded in the ESMP when the SESA is conducted, to compare national policy, international legal framework, legal and institutional social and environmental standards as appropriate to specific project activities and indicate institutional and operational capacities and / or weaknesses, with recommendations to address identified gaps or weaknesses where appropriate.

- **NATIONAL LEGISLATION, POLICIES AND REGULATIONS**

The following provisions are key to the environmental and social management of the project, and their provisions must be reflected in the ESMP. Further examination of the impact and significance of national legislation will be contained in the Strategic Environmental and Social Assessment.

Gender and women empowerment (Risk 1/Substantial – Stakeholder Involvement, Risk 4/Moderate – Women involvement):
- Benin ratified the Personal and Family Code of 2004 (Law No. 2002-07 of 24 August 2004 on the Code of Persons and the Family)
- The National Gender Policy was completed in 2008.
- The Directorate General for Family and Social Affairs under the Ministry of Social Affairs and Microfinance carried out an in-depth national review of implementation of the Beijing Action Plan in Benin (The Beijing Platform +25 report, 2019) and notes the various laws that have been passed relating to gender in Benin:
  - Law No 2011-26 on Prevention of Violence against Women,
  - Law 2003-03 banning the practice of Female Genital Mutilation,
  - Law 2003-04 on Sexual Health and Reproduction
- National Plan of Action against Racism, Racial Discrimination, Xenophobia and Related Intolerance was completed in October 2014.

Restoration of degraded land and improved agricultural productivity and forest management (Risk 3/Substantial – Access to economic and natural resources/economic displacement; Risk 5/Moderate - Impacts on habitats, ecosystems, and/or livelihoods; Risk 6/Moderate – Vulnerability to Climate change; Risk 7/Moderate – IAS; Risk 8/Moderate – Use of pesticides and herbicides)
- The project is in line with national legislation and legal texts to support implementation of the UNCCD in Benin (UNCCD 2018-2030 Strategic Framework, Strategic Objective 1).
- The project is in line with Benin political commitment to achieve LDN through its Nationally Determined Contributions.
- The project contributes to achieving the National Strategic Plan for Development of the Agricultural Sector, PSDSA, 2025, which aims to position Benin as a viable regional competitor as it strengthens its agricultural production.
- The project is further consistent with:
  - the National Forestry Policy with a focus on forest protection.
  - the National Environmental Action Plan that defines environmental policy and strategy for improved natural resource management.
  - the National Action Plan for the Fight against Desertification, which aims to identify factors contributing to desertification and measures needed to combat desertification and mitigate the effects of droughts.
- The project is consistent with two of the Benin's National Plan for Agricultural Investments and Food and Nutritional Security (PNIASAN), objectives namely:
  - transformation of agriculture for sustainable growth,
  - strengthened systemic capacity.
- The project will also support Benin's contribution towards achieving the following Sustainable Development Goals: 1 (No Poverty), 2 (Zero Hunger), 5 (Gender Equality), 6 (Clean Water & Sanitation), 8 (Decent Work & Economic Growth), 13 (Climate Action), and 15 (Terrestrial Ecosystems).

- **INTERNATIONAL AGREEMENTS AND TREATIES**

Assessment and Management of Social and Environmental risks is based also on the Benin's international regulatory framework. Benin is a signatory to several multilateral agreements and conventions that are relevant to the program including but not limited to the following:

Restoration of degraded land and improved agricultural productivity and forest management (Risk 3/Substantial – Access to economic and natural resources/economic displacement; Risk 5/Moderate - Impacts on habitats, ecosystems, and/or livelihoods; Risk 6/Moderate – Vulnerability to Climate change; Risk 7/Moderate – IAS; Risk 8/Moderate – Use of pesticides and herbicides):

- United Nations Convention to Combat Desertification (UNCCD)
- United Nations Convention on Biological Diversity (CBD)
- The United Nations Framework Convention on Climate Change (UNFCCC)
- The Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES)
- UNESCO World Heritage Convention (WHC)
- Ramsar Convention on Wetlands
- Convention on the Conservation of Migratory Species of Wild Animals (Bonn Convention; CMS)
- Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal
- United Nations Convention on the Law of the Sea
- Vienna Convention for the Protection of the Ozone Layer
- International Convention for the Prevention of Pollution from Ships
- African Convention on the Conservation of Nature and Natural Resources
- Convention for the Establishment of the African Centre for Fertilizer Development

Stakeholder involvement/vulnerable groups (Risk 1/Substantial – Stakeholder involvement; Risk 2/Substantial – Access to resources/conflicts; Risk 4/Moderate – Women involvement; Risk 9/Moderate – Cultural heritage, Risk 10/Moderate – Child labour; Risk 11/Moderate – Informal farmers)

- International Covenant on Civil and Political Rights
- Convention on the Elimination of All Forms of Discrimination against Women
- International Convention on the Elimination of All Forms of Racial Discrimination
- International Covenant on Economic, Social and Cultural Rights
- International Convention on the Protection of the Rights of All Migrant Workers and Members of Their Families
- Convention on the Rights of the Child
- Optional Protocol to the Convention on the Rights of the Child on the involvement of children in armed conflict
- Optional Protocol to the Convention on the Rights of the Child on the sale of children child prostitution and child pornography
- Convention on the Rights of Persons with Disabilities

OUA/AU Treaties and Conventions:
- OAU Convention Governing the Specific Aspects of Refugee Problems in Africa
- Constitution of the Association of African Trade Promotion Organizations
- Convention for the Elimination of Mercenarism in Africa
- African Charter on Human and Peoples' Rights
- African Charter on the Rights and Welfare of the Child
- Protocol to the African Charter on Human and Peoples' Rights on the Establishment of an African Court on Human and Peoples' Rights
- Protocol to the African Charter on Human and Peoples' Rights on the Rights of Women in Africa
- African Youth Charter
- Charter for African Cultural Renaissance
- African Union Convention for the Protection and Assistance of Internally Displaced Persons in Africa (Kampala Convention)
- Protocol to the African Charter on Human and Peoples' Rights on the Rights of Older Persons

Further examination of the impact and significance of international legislation will be contained in the Strategic Environmental and Social Assessment.

- **UNDP'S SOCIAL AND ENVIRONMENTAL STANDARDS**

UNDP's Social and Environmental Standards (SES), which came into effect 1 January 2021, underpin UNDP's commitment to mainstream social and environmental sustainability in its programs and projects to support sustainable development, and are an integral component of UNDP's quality assurance and risk management approach to programming. Through the SES, UNDP meets the requirements of the GEF's Environmental and Social Safeguards Policy.

The objectives of the SES are to:

- Strengthen the social and environmental outcomes of Programs 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.

UNDP uses its Social and Environmental Screening Procedure (SESP, Annex 4) to identify potential social and environmental risks and opportunities associated with all proposed projects.
Each project is scrutinized as to its type, location, scale, sensitivity and the magnitude of its potential social and environmental impacts. All project components are screened, including planning support, policy advice and capacity-building, as well as site-specific, physical interventions. Activities that will be completed under project co-financing are also included in the scope of the assessment.
Through the GEF Accreditation Process, the SES are acknowledged to be consistent with the GEF's Environment and Social Standards.
The SES, outlined in Table below, are an integral component of UNDP's quality assurance and risk management approach to programming.

Key Elements of UNDP's Social and Environmental Standards (SES)

Programming Principles	Project-Level Standards		Social and Environmental Management System
Overarching principle Leave No One Behind ➢ Human Rights ➢ Gender Equality and Women's Empowerment ➢ Accountability	Standard 1:	Biodiversity Conservation and Sustainable Natural Resource Management	➢ Quality Assurance and Risk Management ➢ Screening and Categorization ➢ Assessment and Management ➢ Stakeholder Engagement and Response Mechanism
	Standard 2:	Climate Change and Disaster risks	
	Standard 3:	Community Health, Safety and Security	
	Standard 4:	Cultural Heritage	
	Standard 5:	Displacement and Resettlement	
	Standard 6:	Indigenous Peoples	

	Standard 7:	Labour and Working Conditions	➢	Access to Information
	Standard 8:	Pollution Prevention and Resource Efficiency	➢	Monitoring, Reporting, Compliance review

The Standards are underpinned by an Accountability Mechanism with two key functions:

1) A 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

2) A Compliance Review process to respond to claims that UNDP is not in compliance with UNDP's social and environmental policies.

Where projects are rated as being Substantial Risk, comprehensive social and environmental assessment is required, together with the identification of management mechanisms to mitigate identified risks. The assessment must be commensurate with the magnitude and severity of foreseen risks.

The nature of the assessment will vary according to the type of risk foreseen. Where potential impacts are foreseen from "upstream" project activities, such as those involving planning support, policy advice and reform, or capacity building, they are typically assessed using forms of Strategic Environmental and Social Assessment (SESA). Risks and impacts associated with projects that have a physical footprint ("downstream" activities) are typically addressed through a full Environmental and Social Impact Assessment (ESIA).

- **GAPS IN POLICY FRAMEWORK**

The Strategic Environmental and Social Assessment and Environmental and Social Impact Assessment will include further analysis of the legal and policy frameworks that apply to the project, identifying gaps and strategies to enable the project's upstream activities to operate with and alongside state and federal jurisdictional realms.

IV. REQUIRED PROCEDURES FOR SCREENING, ASSESSMENT AND MANAGEMENT

Safeguard policies triggered

The Social and Environmental Screening Procedure (SESP) has been applied to the project during the project development phase, as required by the UNDP SES, and is included as Annex 4. Under this procedure, when a potential risk is identified and assessed as having either a 'moderate', 'substantial' or 'high' risk rating based on its probability of occurrence and magnitude of impact, a standard or principle is triggered. (Risks that are assessed as 'low' do not trigger the related principle or standard).

The SESP identified 11 risks for this project that could have potential negative impacts in the absence of safeguards. Eight of these risks were rated as Moderate and three as Substantial.

The screenings indicate that up to five of the social and environmental principles and standards have been triggered due to 'substantial' risks. They are:

- Principle - Human Rights, due to risk that local communities and vulnerable people, especially women and marginalized ethnic groups, may not benefit from project activities and may not be the possibility to express themselves.

- Principle - Gender Equality and Women's Empowerment, due to risk that women can be excluded from activities planning and implementation, not having the possibility to strengthen their role in decision making processes and in livelihood activities and to risk that girls can be inadvertently involved in child labour related to new value chains supported by the project.

- Principle – Accountability, due to risk that project activities will not ensure that decision making processes are well structured, involving representative of all local communities and marginalized groups, ensuring the participation of all the different ethnic groups present in project areas.

- Standard 5 – Displacement and Resettlement, due to risk that project activities may have an adverse impact on access to natural resources, especially for marginalized groups or informal farmers.

- Standard 6 – Indigenous Peoples, due to the risk that the project may have adverse impacts on the rights, lands, resources and territories of Indigenous Peoples and may increase conflicts among ethnic groups.

In addition, six of the Principles and Standards are triggered due to potential impacts rated as "Moderate". They are:

- Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management

- Standard 2: Climate Change and Disaster Risks

- Standard 3: Community Health, Safety and Security

- Standard 4: Cultural Heritage

- Standard 7: Labour and Working Conditions

- Standard 8: Pollution Prevention and Resource Efficiency

Further details on the risks and categorizations are contained in the SESP report, which is attached as Annex 4.

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

Summary of safeguards triggered based on screening conducted during project preparation

Overarching Principle / Project-level Standard	Rating
Principle: Human Rights	Substantial
Principle: Gender Equality and Women's Empowerment	Substantial
Principle: Accountability	Substantial
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management	Moderate
Standard 2: Climate Change and Disaster Risks	Moderate
Standard 3: Community Health, Safety and Security	Moderate
Standard 4: Cultural Heritage	Moderate
Standard 5: Displacement and Resettlement	Substantial
Standard 6: Indigenous Peoples	Substantial
Standard 7: Labour and Working Conditions	Moderate
Standard 8: Pollution Prevention and Resource Efficiency	Moderate
Number of risks in each risk rating category	
High	0
Substantial	3
Moderate	8
Low	0
Total number of project risks	11
Overall Project Risk Categorization	Substantial
Number of safeguard standards triggered	8

- **SCREENING**

The SESP has been conducted on the basis of the broad scope of project activities currently envisaged. This has identified the project as being potentially of substantial impact, and as such it requires comprehensive Environmental and Social Impact Assessment. The potential impacts and management strategies are therefore designed to manage the identified impacts in their broadest sense, and the allocated significance rating of Low, Moderate, Substantial or High is based on a precautionary approach.

While the project areas (the three PDAs) have been selected, exact locations of physical footprints for on-the-ground activities have not been specified at the present stage of project development. The relevance of these risks may vary across sites, and the significance or likelihood of the risks or impacts identified by the current SESP will not necessarily be uniform across at all locations. Further screening is required to identify risks' site-specific significance, and to effectively target any required further impact assessment or management.

Locations, and proposed project activities specific to those locations will be defined during the first six months of the project. Once the initial project activities are fully specified and exact locations selected, further screening using a cleanSESP template will be required to ground truth and to determine whether additional social and environmental impacts may be present that will require further assessment and management.

Such proposed activities will, as they arise, require screening, assessment and management, using the SESP methodology to ensure that any impacts are identified, their significance is established, and any required impact-specific management actions are developed and applied.

Screening will be the responsibility of the PMU and the Safeguards Specialist.

Ongoing Screening Requirements

Over the course of the project, further project activities which have not yet been included in the existing SESP, nor subsequent updates, may be proposed. All additional proposed activities will be subject to screening using a clean SESP template, impacts identified and categorized as "High", "Substantial", "Moderate" or "Low".

The ESMF therefore ensure:

1. Additional screening with the SESP on a site-specific basis, to ground-truth and update the existing SESP. This is required as soon as proposed locations and on-the-ground activities are proposed and must take place during the first project year. The SESP may also be used as part of the site-selection process.

2. Further screening of all newly proposed activities, as they are proposed during the project, on a location- and activity-specific basis.

Summary of ESMP Screening (SESP) Requirements

Screening Focus	Purpose	Timing	Responsible
Existing SESP	Re-screening for ground-truthing, identification of project-affected people/beneficiaries, and site-specific impacts.	During project year 1 as specific sites, beneficiaries and project-affected communities are identified.	UNDP Safeguards Specialist
Proposed additional activities.	New SESP done as activity and site-specific process, including the challenges that might emerge from the behavior change, as a risk to be managed by Safeguards processes.	At least annually, throughout the project, as specific activities are appraised	UNDP Safeguards Specialist

- **ASSESSMENT**

The SESP has identified the project as being Substantial risk. As such, comprehensive environmental and social impact assessment is required in order to identify and assess impacts and develop management mechanisms to mitigate identified risks.

Potential impacts from "upstream" project activities which involve planning support, capacity building, policy advice and reform, will be assessed through a Strategic Environmental and Social Assessment (SESA). The SESA will be developed for each policy targeted by the project. An Environmental and Social Impact Assessment (ESIA) for each PDA, assessing planned downstream, on-the-ground activities with a physical footprint, will address direct impacts to communities and individuals from on-site project activities.

Both assessments will develop strategies for avoiding, reducing and managing adverse impacts and enhancing positive impacts, and the outputs of the SESA will inform the SESA report/Action Matrix and the outputs of the ESIA will inform the Environmental and Social Management Plan.

The SESA and ESIA will be implemented as follows:

Strategic Environmental and Social Assessment:

At project inception, the Project Management Unit (PMU) will commission appropriate experts to conduct a Strategic Environmental and Social Assessment, which will assess potential impacts from, and strategies for, upstream policy-level project activities.

SESA contributes to strengthening the sustainability of policies, plans, and programmes mainly by:
- Identifying social and environmental priorities that should be included in planning and policy processes, such as, for this project: (1) involvement of vulnerable groups (as women) and minorities in the decision-

making processes, (2) involvement of all the affected ethnic groups in policy, program and plan upstream activities, (3) climate change vulnerability and resilience of local communities, (4) sustainable land and forest restoration and management, etc.

- Assessing gaps in the institutional, policy, and legal frameworks to address these priorities
- Identifying potential adverse social and environmental impacts associated with policy options
- Engaging decision makers and stakeholders to ensure a common understanding and broad support for implementation, making a strong linkage with Stakeholder engagement plan and Ethnic Groups Plan.

The SESA – mainly focused on the impact of project's Component 1- will evaluate the effect of policy changes on a broad, cross-sectoral basis with the aim of making policy decisions and other upstream actions more sustainable. The assessment of upstream impacts will integrate environmental and social considerations into policies, plans and programmes and evaluate their interlinkages with economic and sustainability considerations. The SESA process will examine the linkages between the two and anticipate the potentially adverse impacts of policies at the site level.

SESA evaluates the effect of policy changes on a broad, cross-sectoral basis with the aim of making "upstream" development decision-making more sustainable. SESA looks at wider sustainability issues than project-level assessments, however, there needs to be linkages between the two: information and strategies determined in a SESA will cascade down through tiers of decision-making and be used for assessments of the project. Information and strategies identified will inform decision-making and will be used to guide subsequent assessments of downstream activities.

The following national policies and strategies for addressing land degradation and climate change adaptation will be targeted to ensure project sustainability:

- Strategic Plan for the Development of the Agricultural Sector (PSDSA 2025)
- National Action Plan for Adaptation (2008).
- Setting of Land Degradation Neutrality targets
- Nationally Determined Contribution under UNFCCC
- Low-Emission Climate-Resilient Development Strategy (2016-2025)
- Government Action Plan (2016-2023)
- National Forestry Policy
- National Environmental Action Plan
- National Action Plan for the Fight against Desertification
- Benin's National Plan for Agricultural Investments and Food and Nutritional Security

Any other relevant policy and national or local plan regarding project objectives will be included in the assessments.

SESA will take into consideration the following Institutional developments that can support the project sustainability:

- Creation of multi-sectoral forums
- Territorial Agency for Agricultural Development (ATDA - PDA)

As a high-level document, the SESA is based on the broad scope of envisaged high-level project activities. As these are already identified and broadly defined, work on the SESA will commence at an early stage.
The detailed scope of the SESA will be refined by the experts conducting the assessment. The report will identify strategies for effective management of identified impacts, which will inform the impact management approach adopted.

Environmental and Social Impact Assessment (ESIA):

The development of an ESIA for each PDA will commence in the first year following project inception and should commence as soon as specific project locations are selected. ESIA will be developed with a staggered and adaptive

approach: the assessments will be finalized by the end of project year 1. It will focus on, but not be restricted to, the potential impacts identified during the SESP screening process, which are a result of proposed on-the-ground project activities in their location-specific contexts. The ESIA will also address COVID-19 related risks, and specific mitigation measures will be integrated into the ESMP.

The ESIA will have a focus on conflicts analysis and assessment, considering the risk that project's activities could create or exacerbate existing conflicts among ethnic groups.

The conflict analysis and assessment part will be developed to identify:

- The main groups involved in already existing conflicts, especially conflicts related to access to land and other natural resources.
- The main reasons of the existing conflicts.
- The power relations among groups or individuals who are involved in the project or are impacted by project's activities.
- The stakeholders' perception of the conflicts - especially vulnerable groups' perception.
- The conflict resolutions mechanism already in use in the PDAs/target areas.
- The main impacts (both positives and negatives) the project can have on the existing conflicts.
- The main actions that can be implemented as mitigation measures of possible negative impacts and as measures to enhance positive impacts.

The three ESIA will be developed and carried out by independent experts in a participatory manner with stakeholders within the first project year and as part of the workplan preparatory activities. This will involve stakeholder consultations and engagement, as well as research, fieldwork, and management planning. See also Section below on Stakeholder Engagement and Information Disclosure.

UNDP PMU will commission the three ESIA, in conjunction with the SESA. 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 ESIA will:

- Screen social and environmental issues and impacts specific to the local context.
- Further clarify the applicable social and environmental standards (including UNDP SES) triggered by the project activities.
- Take steps necessary in the context of the ESIA to fulfil those requirements and make recommendations on how such compliance is to be carried out through the life of the project.

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.

Assessment of further activities will be commensurate with the magnitude of the envisaged risk, and targeted specifically at the associated risks, especially considering risks to poor, vulnerable or marginalized communities and individuals.   Full stakeholder consultation will be required at all stages.

Summary of Assessment Requirements

Focus	Assessment	Timing	Responsibility
Upstream Activities	SESA	Completion within project's Year 1	UNDP PMU and external consultants
Downstream Activities	ESIA	To commence as specific project locations are proposed. Completion within project's Year 1	UNDP PMU and external consultants
Specific additional Project Activities rated as potentially Moderate,	SESA/ESIA as appropriate	As required by additional or updated SESPs.	UNDP PMU and external consultants

Substantial or High impact			

- **MANAGEMENT**

SESA Report and Recommendations

The project will develop a SESA for each policy targeted. The SESA report will identify the main findings and results of SESA, including

- SESA stakeholder engagement process.
- Key social and environmental priorities and issues associated with chosen Policy Program and Plan (PPP).
- Institutional arrangements for coordinating integration of social and environmental issues into chosen PPP.
- Legal, regulatory, policy, institutional and capacity recommendations to address any identified gaps for managing the social and environmental priorities and implementing applicable social and environmental policies.
- Results of assessment of social and environmental risks/impacts associated with the implementation of PPP.
- Identification of measures (e.g., policies, institutional strengthening, governance reform) to address and manage anticipated adverse social and environmental risks and impacts, including a summary Action Matrix; and
- Where applicable, final or advanced draft of ESMF as framework for managing social and environmental risks during implementation of PPP related activities and/or policies/regulations

Environmental and Social Management Plan

The project will create one Environmental and Social Management Plan for each PDA, which will be informed by the revised SESP, Environmental and Social Impact assessment reports, and other management plans including the Gender Action Plan.   The Plan will:

- Provide time-bound specific recommendations for avoiding adverse impacts, and where avoidance is not possible, for reducing, mitigating, and managing those impacts for all project activities.
- Further identify project activities that cannot take place until certain standards, requirements and mitigation measures are in place and carried out (complementing and updating what has already been identified in this ESMF).
- Develop site-specific management plans, as necessary and as required by the applicable UNDP SES. These will outline the management objectives, potential impacts, control activities and the environmental performance criteria against which projects will be evaluated (e.g. audited). Recommendations will be adopted and integrated into the project activities, monitoring and reporting framework and budget.
- Stakeholder engagement, including FPIC consultations with indigenous peoples (see below), and plans for stakeholder engagement during implementation of management measures.
- Actions to implement mitigation measures for each identified risk and impact.
- A monitoring and reporting plan.
- Summary of identified adverse social and environmental impacts and any residual risks remaining after impact avoidance/mitigation/minimization.
- Capacity development and training.
- Defined roles and responsibilities for ESMP implementation
- Implementation schedule, cost estimates and funding sources.

Impact management will adhere to the "mitigation hierarchy" model. Where possible, adverse impacts will be "designed out" – i.e. design of project activities will be amended or adjusted so as to avoid the identified impacts. Where this is not possible, measures will be developed, in conjunction with stakeholders, to reduce, minimize, mitigate or manage those impacts.

The above required assessments and management plans must be prepared and mitigation measures in place as per those plans, prior to the initiation of any project activity that may cause adverse impacts, including any actions that may lead to or cause physical or economic displacement and/or impacts on Indigenous Peoples.

Where appropriate, appendices to the over-arching ESMP will be created for each PDA, outlining the specific impacts and mitigation and management methods required for each site. Each of these is dynamic and will require amending as new project activities are identified, screened, and assessed in accordance with the procedures described. Additional required mitigation and impact management measures must be integrated into management plans, and in some cases may require, or benefit from, input from the Project Gender Focal Point.

Project-affected stakeholders will be consulted on the scope and parameters of the assessment processes and their findings, including proposed mitigation and management measures. It may be necessary to undertake targeted consultations to ensure that marginalized or disadvantaged groups and individuals affected by the project have the opportunity to participate.

Assessment reports and adoption of appropriate mitigation plans/measures will be completed, disclosed, and discussed with stakeholders prior to initiation of any project activities that may cause adverse social and environmental impacts.

An indicative template is appended to this document, outlining the required ESMP sections.

Ethnic Groups Plan (or Indigenous Peoples Plan)

SES Standard 6 requires that where a project may affect the rights, lands, resources or territories of indigenous peoples, an Indigenous Peoples' Plan (IPP), must be developed, and integrated into the design of the project.

Precise locations for downstream activities have not been selected at the current stage of project development, and it is therefore not certain that activities will take place on land claimed or accessed by Ethnic Groups (Indigenous Peoples), or whether Ethnic Groups will be affected.

However, SESP has identified potential impacts to the rights, lands, territories and traditional livelihoods of ethnic groups and impacts on already existing conflicts between them. Around 40 ethnic groups can be identified in Benin and their involvement – especially of the ones that could be most marginalized – must be taken into consideration, for the project to be compliance with UNDP Standard 6.

The project identifies the Ethnic Groups as Indigenous Peoples, based on the UNDP definitions for Indigenous Peoples, especially the following: peoples who tried « to maintain its distinct group identity, languages, traditional beliefs, customs, laws and institutions, worldviews and ways of life ».

Considering the local context, the project requires to adapt the IPP and to develop an Ethnic groups Plan following the Indigenous Peoples Plan (IPP) structure. The Plan will define how best to engage with all the ethnic groups and to ensure they benefit equally from the project's positive impacts.

The ESIA will identify the presence of these peoples for each of the specific PDA, and further assess the nature of the risk(s), including any gender-related issues specific to ethnic groups. Where the potential for such impacts is confirmed through the ESIA, an Ethnic Groups Plan for each PDA will be developed, simultaneously with, and integrated into the ESMP.

This will include a plan for culturally appropriate consultation with the objective of achieving agreement and Free Prior and Informed Consent. Activities that may adversely affect the existence, value, use or enjoyment of customary rights, resources or territories will be avoided, where possible. Where FPIC is determined to be a requirement, consultations will be carried out with the objective of achieving initial consent from the specific rights-holders, as appropriate and in line with Standard 6 requirements. FPIC consultations will be ongoing and followed up during project implementation, following the measures summarized in the ESMF and in the Ethnic Groups Plan that is prepared as follow up to the Ethnic Groups Planning Framework (see Annex 1 to this ESMF) and as part of the subsequent ESMP.

FPIC, for the purposes of the project, is defined as follows:

Free means the process will be self-directed by the customary landholders from whom consent is being sought, unencumbered by coercion, expectations or timelines that are externally imposed.   The process:
- will be free from coercion, bias, conditions, bribery or rewards.
- will ensure that the decision-making structure is determined by stakeholders.
- will give information transparently and objectively.
- meetings and decisions will take place at locations and times and in language and formats determined by the stakeholders; and
- all community members will be free to participate regardless of gender, age or standing.

Prior means that no project activity implementation takes place before a decision by the customary landowners and local communities has been made. The process will ensure that enough time is provided to customary landowners to understand, access, and analyze information on the proposed activities.

Informed: Information will be provided in a manner that is accessible, clear, consistent, accurate, and transparent. It will be:
- delivered in appropriate language and format (including video, graphics, radios, documentaries, photos, etc.),
- given to the landowner communities about their rights as relevant to the project and possible impacts,
- objective, covering both the positive and negative potential of activities and consequences of giving or withholding consent,
- complete, covering the spectrum of potential social, financial, political, cultural, environmental impacts, including scientific information with access to original sources in appropriate language,
- delivered in a manner that strengthens and does not erode indigenous or local cultures.

Consent is:
- made by the customary landowners through their customary decision-making process.
- a freely given decision that may be a "Yes" or a "No", including the option to reconsider if conditions agreed upon are not met, there are changes in the proposed activities or if new information relevant to the proposed activities emerges,
- a collective decision determined by affected people in accordance with their forms of decision making (e.g. consensus, majority, etc.);
- based on full understanding of opportunities and risks associated with the proposed activity,
- given or withheld in phases, over specific periods of time for distinct stages or phases of the project.

Customary landowners' decision-making processes must be respected and allowed to operate in an open and transparent manner. Customary landowners' right to choose how they want to live will be respected and if consent is not given, this shall be respected.

The collective right to give or withhold consent applies to all activities, legislative and administrative measures and policies (and their associated processes and phases) that may directly impact the lands, territories, resources, and livelihoods of the customary landowners. Consent must be sought and granted or withheld according to the unique formal or informal political-administrative dynamic of each community.

FPIC consultations will be comprehensively documented. Ideas, questions and concerns raised by different stakeholders, including related government institutions, NGO, CSOs, and women's groups, private institutions, landholder groups, local village community and/or resource-owners, shall be captured, well documented and shared with the relevant national government agencies.

FPIC Consultations shall be carried out in a culturally appropriate manner, be delivered by culturally appropriate personnel, in culturally appropriate locations, and include capacity building of indigenous or local trainers. Consultations shall be delivered with sufficient time to be understood and verified, and measures must be taken to ensure that consultations reach the most remote, rural customary landowners, women, marginalized and vulnerable and are provided on an on-going and continuous basis throughout the FPIC process.

The Ethnic Groups Plan will enable and map out the communication to take place with affected Ethnic groups throughout the decision-making process, facilitating information exchange during integrated landscape management processes.

The Ethnic Groups Plan will describe how ethnic groups will be involved at all stages of integrated landscape management plan development, and subsequent on-the-ground project activities.

During the project's first year, discussions on upstream elements of the project will include Ethnic Groups representatives and will build upon the initial consultations held with them during the PPG.

As specific landscapes and activities are proposed, further FPIC discussions will take place at grass roots level with affected communities.

The plan for each PDA must be developed within the first project year. No activities that may affect the rights, customs, lands, resources or territories of Ethnic Groups People will commence without their explicit prior, freely given consent.

An indicative template is appended to this document, outlining the required Ethnic Groups Plan/IPP sections.

Through the Ethnic Groups Plan, the project will:

- Ensure full, effective and meaningful participation of affected indigenous peoples and people belonging to the ethnic groups present in the project area throughout the project cycle.
- Ensure the relations between ethnic groups are identified
- Ensure any conflict already existing between ethnic groups are identified and included and considered in the ESIA and SESA, to ensure the conflicts are not exacerbated by the project interventions and new conflicts are not created in the project area.
- Ensure consultation processes are culturally appropriate and conducted in good faith.
- Ensure consultation, and specifically FPIC processes are exercised collectively by the indigenous peoples concerned, and not by single members.
- Ensure participation of indigenous peoples and people belonging to the ethnic groups present in the project area is gender-inclusive and tailored to the needs of disadvantaged and vulnerable groups.
- Ensure timely access to information.
- Ensure access to a grievance redress mechanism.

- **ADDITIONAL SUB-PLANS**

The SESP has identified requirements for the following additional stand-alone management sub-plans and the ESIA will review the requirement for preparation/update of them:

- **Stakeholder Engagement Plan**: A SEP has been developed and will be updated, informed by SESA and ESIA. Sequential updates of the Plan will enable project officers to ensure that selection is carried out in synergy with the related legal and policy governance structure and that the implementation and selection procedures meet the required norms and standards.   A comprehensive SEP will be required to ensure that there is fair, inclusive and gender-responsive stakeholder engagement as part of the final design of the project to ensure the equitable involvement and inclusion of women, men and youth. The stakeholder engagement plan will specifically consider how to equitably and meaningfully engage marginalized and vulnerable populations, such as marginalized ethnic groups, women, youth, etc., within the project area.
  The involvement of youth is ensured all along the project cycle (from design phase, to implementation and M&E) to fulfil the project objectives, especially to open opportunities of sustainable livelihoods for this sector of the society, to reduce their unemployment and forced migration.
  The plan will also provide terms of reference and modalities for managing stakeholder engagement in project activities at each site and with each community.
  Following the completion of the ESIA, the SEP will be updated to ensure that the groups identified above are adequately represented and involved in ensuring that potential environmental and social impacts, that are relevant to them are addressed adequately with their meaningful and full participation, so that impact mitigation measures are acceptable to these communities and stakeholders.

Stakeholder engagement strategies and the Stakeholder engagement plan will map out different social characteristics (e.g. power, political and cultural dimensions, gender) required to implement an effective and equitable governance

As indicated in the Stakeholder engagement plan, the stakeholders need will be mapped in the Theory of Change, to anticipate their role in the phases of project implementation, and to anticipate whether barriers could exist for their engagement (e.g. levels of literacy, cultural barriers). A strong focus will be on engaging with youth beyond merely 'consulting' and awareness raising, ensuring that gender and youth-focused NGOs and CBOs are invited to participate at meetings, seminars, workshops and discussion groups that address agricultural and sustainable land management issues at the macro-level.

All along the project cycle a specific attention is put on processes to involve gender and youth-focused NGOs and CBOs in project implementation and capacity development at national and local levels

- **Livelihood Action Plans:** Livelihood Action Plan(s) will be necessary where/if ESIA determines that project activities cause economic displacement, whereby the livelihoods of individuals or communities are restricted, partially or fully, and either directly or indirectly, in their access to land or resources to support their economic well-being. These action plans will address beneficiary participation in economic displacement decision-making, adequate (full and fair) compensation and assistance, as well as risk management to ensure that livelihoods are at least as good as prior to the program implementation and that the livelihoods of poor and marginalized are improved. Plans will include independent monitoring procedures, clarification of land rights consistent with applicable law, and outline capacity, training, and development actions targeting beneficiaries' livelihoods. It will ensure that UNDP SES requirements, best practice standards and mitigation measures are being met, such that Program activities involving economic displacement cannot proceed until completion of the full ESIA and livelihood action plans that are site-specific and part of the ESMP, as determined appropriate.

- **Pesticides and Herbicides Management Plans:** Site-specific Pesticide and Herbicides Management Plans will be developed for all relevant activities. The plans will be developed in accordance with good international practice, and will avoid supporting the manufacture, trade, and use of chemicals and hazardous materials subject to international bans, restrictions or phase-outs due to their high toxicity to living organisms, environmental persistence, or potential for bioaccumulation, unless for acceptable purposes as defined by the conventions or protocols. Based on the findings of ESIA, specific mitigation measures for this risk will be integrated into the ESMP.

- **Gender Action Plan:** The plan is in place and included as Annex 8 to the Project Document. Updates will be informed by the ESIA/SESA, and progress against relevant benchmarks.

Further information on stand-alone management plans can be found on the UNDP website at: https://info.undp.org/sites/bpps/SES_Toolkit/SitePages/Guidance%20and%20Templates.aspx.

Here below, a summary of the project's outputs and the specific procedures needed, based on the SESP developed during PPG:

Outputs	Procedures needed		Risks
	Assessment	Management	
Component 1			
1.1 National centralized LDN database created within the MCVDD with a link to global monitoring of restoration and LDN	SESA	SESA report and recommendations (Actions Matrix) Update of ESMF – if needed	Risk 1
1.2: National monitoring and reporting systems for tracking climate change vulnerability in the agricultural sector and changes in adaptive capacity, land cover change, degradation, restoration and forest ecosystems, and ecosystem services created	SESA	SESA report and recommendations (Actions Matrix) Update of ESMF – if needed Stakeholder Engagement Plan, to ensure the participatory approach	Risk 1 Risk 6 Risk 10

		on Monitoring and reporting system Ethnic Groups Plan	
1.3 The National Committee to Combat Desertification is strengthened for enhanced ownership and capacity of national authorities to address expected scenarios of climate change hazards and sensitivity	SESA	SESA report and recommendations (Actions Matrix) Update of ESMF – if needed Stakeholder Engagement Plan, to ensure the participatory approach on Monitoring and reporting system	Risk 6
1.4: National environmental funding mechanisms integrate CCA and LDN objectives, strengthened governance mechanisms and have enhanced capacity to mobilize and manage relevant funding	SESA	SESA report and recommendations (Actions Matrix) Update of ESMF – if needed Stakeholder Engagement Plan, to ensure the participatory approach on Monitoring and reporting system	Risk 1
1.5: Training and equipment provided to key agencies (Ministries of Environment, National Geographic Institute, National Agricultural Resource Institute) to improve implementation of climate risk informed and resilient SLM technologies and conservation of production landscapes, with improved coordination and monitoring of climate change impacts, land degradation trends, restoration, and sustainable forest management.	SESA	SESA report and recommendations (Actions Matrix) Update of ESMF – if needed Stakeholder Engagement Plan and Ethnic Groups Plan to ensure the participatory approach in the provision of training and equipment.	Risk 1 Risk 6 Risk 9
Component 2			
2.1: Integrated land use, landscape restoration, and forest management plans are developed, with climate change scenarios informing risks and selection of adaptation options, and operationalized at target sites	SESA ESIA	Stakeholder Engagement Plan Ethnic Groups Plan Livelihood Action Plan, if needed ESMP	**Principal:** **Risk 1** **Risk 3** **Risk 5**
2.2: Degraded lands amounting to at least 15,000 hectares, and at least 15,000 hectares of forest are under climate resilient restoration and functional and sustainable management regimes.	ESIA	Stakeholder Engagement Plan Ethnic Groups Plan Livelihood Action Plan, if needed ESMP	**Principal:** **Risk 1** **Risk 5** **Risk 6** Others: Risk 7
2.3: Awareness raising and training of 1,000 national and local government and administration officials (including ATDAs and DGEFC), parliamentarians and representatives of private sector in climate resilient and degradation neutral planning and policies, with focus on agriculture, animal husbandry and forestry, targeting the mainstreaming of CCA and LDN in all policies and administrative decisions.	SESA	SESA report and recommendations (Actions Matrix) Update of ESMF – if needed Stakeholder Engagement Plan Ethnic Groups Plan	Risk 1 Risk 6 Risk 9
2.4: Extension services in climate resilient and degradation neutral agriculture, animal husbandry and agroforestry provided to 24,000	ESIA	Stakeholder Engagement Plan Ethnic Groups Plan Gender Action Plan	**Principal:** **Risk 2** **Risk 4**

		ESMP	Others: Risk 1 Risk 6
farmers and community leaders (50% women), including on climate resilient and degradation neutral cotton production			
2.5: Strengthened Green Belt infrastructure against the advance of the desert in the north of Benin.	ESIA	Ethnic Groups Plan ESMP	Risk 6
Component 3			
3.1. Five agricultural value chains are identified and assessed according to their potential to deliver multiple local, national and global benefits, including income generation, LDN benefit and enhanced climate resilience within project PDAs	SESA ESIA	SESA report and recommendations (Actions Matrix) Update of ESMF – if needed Stakeholder Engagement Plan Ethnic Groups Plan Pesticide and Herbicides Management Plans ESMP	**Principal:** **Risk 8** **Risk 10** Others: Risk 1 Risk 9
3.2: Selected climate resilient and sustainable agricultural and agroforestry practices and market channels are strengthened through investments and extension support for climate resilient agricultural practices, leading to triple-bottom-line benefits, strengthened adaptive capacity of vulnerable communities, job and SMME creation	ESIA, with focus on Conflict Assessment and Community Mapping	Pesticide and Herbicides Management Plans Stakeholder Engagement Plan Ethnic Groups Plan ESMP	**Principal:** **Risk 2** **Risk 4** **Risk 6** **Risk 8** **Risk 10** Others: Risk 7 Risk 9
3.3: Local, national, regional and international partnerships established to support and promote 'forest-friendly' and climate resilient income-generating opportunities	SESA ESIA	SESA report and recommendations (Actions Matrix) Update of ESMF – if needed Stakeholder Engagement Plan Ethnic Groups Plan ESMP	Risk 1 Risk 10
3.4: Strengthened cooperatives and farmer organizations and negotiated partnerships with traders and processors	ESIA	Stakeholder Engagement Plan Ethnic Groups Plan Gender Action Plan ESMP	**Principal:** **Risk 4** Others: Risk 1
Component 4			
4.1: Gender action plan is implemented and guides project implementation			Risk 4
4.2: Participatory M&E and quantification of LDN implementation—including restoration, SFM and SLM actions—as a contribution to national reporting under the UNFCC and other international commitments	SESA	SESA report and recommendations (Actions Matrix) Update of ESMF – if needed Stakeholder Engagement Plan Ethnic Groups Plan	Risk 1
4.3: A learning and dissemination network developed and implemented in each of the three PDAs	SESA	SESA report and recommendations (Actions Matrix) Update of ESMF – if needed Stakeholder Engagement Plan	Risk 1
4.4: National-level communications and public awareness program, incorporating lessons learned by the project, including through participatory M&E and gender empowerment,	SESA	SESA report and recommendations (Actions Matrix) Update of ESMF – if needed Stakeholder Engagement Plan Ethnic Groups Plan	Risk 1 Risk 4

is developed and implemented at national, regional and international levels		Gender Action Plan	

In the table below, **in bold**, the activities that cannot start **until the ESIA/ESMP are in place**:

Component 1	Indicative activities
Output 1.1: **To be started while developing SESA**	1.1.1. Building on work done during PPG, complete detailed assessment of relevant equipment specifications, GIS and spatial analytic practices and capacity building requirements and provide targeted support to ensure effective participation in the process, particularly within MCVDD
	1.1.2 Support and strengthen existing national networks for inter-sectoral data sharing, e.g., REDD+ national coordination mechanism, land-use planning ministry and other sectoral ministries, as they relate to LDN
	1.1.3 Assess and strengthen existing cartographic databases of land use, particularly agricultural uses, and associated land degradation and ecosystem services
	1.1.4 Support the development of improved national baseline maps indicating land and forest status and soil fertility, as tools for monitoring LDN (see also Activity 2.2.1)
	1.1.5 Build capacities for effective use of enhanced databases and maps
Output 1.2: **To be started while developing SESA**	1.2.1 Develop an observatory for monitoring agricultural dynamics and the vulnerability of forest ecosystems, including climate risks, including agreeing on indicators to be monitored
	1.2.2 Pilot testing in three PDAs of an operational system for monitoring agricultural dynamics and the vulnerability of forest ecosystems, based on existing and upgraded cartographic information
	1.2.3 Prepare two biennial national reports (2024 and 2026)
Output 1.3: **To be started while developing SESA**	1.3.1 Analyse the structure, capacities and rules of operation of the two Committees and propose any recommended changes
	1.3.2 Support annual meetings of the two Committees, at which a set of common objectives and a workplan for data sharing and other actions in support of the NDA will be adopted
	1.3.3 Strengthen the technical capacity of ministries and other government agencies through the development of strategy documents (e.g., REDD+ strategy) to contribute to the objectives adopted by the Committees **(Ensure findings of SESA on this activity are included in the Ethnic Groups Plan)**
Output 1.4: **To be started while developing SESA**	1.4.1. Develop guidelines for Federal and local Government financing of SLM, SFM and restoration efforts, including eligibility criteria for grant or loan financing
	1.4.2 Develop a program of SLM and SFM actions at national level with harmonized financing procedures and integration of environmental, economic and social aspects
	1.4.3 Insert an SLM budget line within the mechanism for transferring financial resources to municipalities
Output 1.5: **To be started while developing SESA**	1.5.1 Implement a training program for actors for key organizations, including MCVDD, Directorate of Remote Sensing and Ecological Monitoring, National Geographic Institute, National Institute of Agricultural Resources, etc.
	1.5.2 Carry out multi-criteria SLM assessments, taking into account synergies and comparative advantages on the environment
	1.5.3 Provide necessary equipment to the National Geographic Institute and the Directorate of Remote Sensing and Ecological Monitoring to support their forest cover monitoring functions

Component 1	Indicative activities
	1.5.4 Provide capacity building support (equipment and training) to Ministries and research institutions to enable management of 'the databases'

Component 2	Indicative activities
Output 2.1:	2.1.1 Work with the cartographic division of DGERC to develop updated and improved land use, land degradation, soil fertility, spatial analysis and zoning maps of the overall intervention area, i.e. eight target communes, together covering 2.2 million ha. **(To be started while developing SESA)**
	2.1.2 Build capacity for data collection and analysis to support local level planning **(To be started while developing SESA)**
	2.1.3 Conclude data sharing agreements amongst sectoral Ministries and national and local organisations **(To be started while developing SESA)**
	2.1.4 Develop LDN scenarios and LDN neutrality targets—based on a combination of sustainable land management and restoration actions—and mainstream into emerging PDA Master Plans, with additional details for the participating communes **(To be started while developing SESA)**
	2.1.5 Develop and ensure adoption of eight commune-level planning documents—"Schéma directeur d'aménagement de la commune" (SDAC) and "plan de développement communal" (PDC) – (To be started after ESIA and ESMP)
	2.1.6 Build validated local plans that are aligned with existing SDACs and PDCs, and that can be easily integrated within the SDACs and PDCs, supported by recognized local governance structure **(To be started during ESIA and ESMP)**
	2.1.7 Mainstream SLM and SFM into eight commune-level Land Management Plans (PIGUS), including capacity-building strategies (To be started after ESIA and ESMP)
	2.1.8 Update management plans for the classified forests of Sota, Mékrou and Kouandé to include climate change scenarios and adaptation measures and sustainable land management, in line with commune-level plans, along with soil conservation and LDN plans for the classified forests of Alibori Supérieur and Trois Rivières (To be started after ESIA and ESMP)
Output 2.2:	2.2.1 Identify exact locations for land and forest restoration and sustainable management, building on PPG site selection process and incorporating additional mapping work undertaken under 2.1.1, as well as nature of restoration or SLM/ SFM approach **(To be started during ESIA and ESMP)**
	2.2.2 Provide extension and material support (e.g., equipment, seedlings, compost and other inputs) for conservation and improvement / restoration of cropland and conservation of soil fertility in identified priority locations (see 2.2.1) and in line with plans developed under activities 2.1.2 - 2.1.4 above (To be started after ESIA and ESMP)
	2.2.3 Provide extension and material support (e.g. equipment, seedlings and materials for the plant nurseries) for conservation and improvement / restoration of forest areas and conservation of soil fertility in identified priority locations (see 2.2.1) and in line with plans developed under activities 2.1.5 and 2.1.6 above, including enriching and developing protection series / green belt in the classified forests of Alibori Supérieur, Trois Rivers, Sota, Mékrou and Kouandé with versatile forest species with high tolerance to droughts and floods. (To be started after ESIA and ESMP)
	2.2.4 Protect the banks of the Ouémé, Zou and Couffo river basins against erosion through reforestation of 1,000 hectares of riparian forest using native species with high tolerance to drought and floods, in line with plans developed under Activities 2.1.5 and 2.1.6 (To be started after ESIA and ESMP)

Component 2	Indicative activities
	2.2.5 Establish multi-purpose water reservoirs to facilitate access to clean water by, and avoid conflict among, agricultural producers, livestock breeders and migrant and other vulnerable populations (To be started after ESIA and ESMP)
Output 2.3: **To be started during SESA**	2.3.1 Development of capacity building modules and materials, based on international experience, with specific adaptations for conditions in Benin as well as further specifications by PDA, covering: (i) integration of SFM and SLM in projects, business plans, laws and sector strategies; (ii) soil fertilization technologies; (iii) technologies for restoring degraded lands; (iv) approaches to maintaining soil fertility and respecting degradation neutrality standards; (v) Smart agriculture approaches and strengthening resilience of farms and producers; (vi) methods of soil water conservation, (vii) safeguarding farms against risks (infestations, flooding, bush and vegetation fires, etc.); (viii) protection of forests against brush fires; (ix) cultivation technologies and fodder storage; (x) approaches and standards for forest management and the establishment of carbon sinks and protective belts; (xi) techniques for collecting and processing agricultural and forestry seeds; (xii) approaches and production methods of agricultural and forestry plants in a context of climate change, etc.
	2.3.2 Delivery of training modules and materials to at least 1,000 national and local government and administration officials (including ATDAs and DGEFC), parliamentarians and private sector representatives
	2.3.3 Awareness raising seminars, workshops and information materials provided to decision-makers and other officials
Output 2.4:	**2.4.1. Strengthen the offer of advisory support services to producers in the agriculture, livestock and agroforestry sectors according to gender and category for the identification and rational use of technical approaches and specific inputs in SLM (To be started after ESIA and ESMP)**
	2.4.2. Strengthen supply and distribution mechanisms and devices to improve the availability and accessibility of producers to inputs, materials and equipment necessary for the implementation of SLM and restoration techniques. (To be started after ESIA and ESMP)
Output 2.5:	2.5.1. Disseminate existing technical guidance materials developed by other initiatives (e.g. PROSOL) relating to "Integrated management of soil fertility", "soil and water conservation", "conservation agriculture" and "agroforestry and individual forests" **(To be started during SESA)**
	2.5.2. Establish at least 200 ha of commercial plantations (150 ha of forest species and 50 ha of forage species) (To be started after ESIA and ESMP)
	2.5.3. Support local communities to establish at least 100 ha of communal and individual fruit plantations (To be started after ESIA and ESMP)
	2.5.4 Promote arboriculture as well as the vegetated delineation based on palm tree, néré and shea tree with good yield (To be started after ESIA and ESMP)
	2.5.5. Promote nurseries for fertilizing plants (mucuna, pigeon pea (cajanus cajan); and Vigna radiata for the restoration of degraded agricultural sites (To be started after ESIA and ESMP)

Component 3	Indicative activities
Output 3.1.	3.1.1 Map the short-listed value chains **(To be started during SESA)**
	3.1.2 Undertake surveys within potential beneficiary communities to assess preferences among alternative value short-listed chains **(To be started during ESIA and ESMP)**
	3.1.3 Select five priority value chains, based on pre-determined selection criteria and with reference to PDAs (To be started after ESIA and ESMP)
	3.1.4 Prepare five value chain analyses, including priority measures needed to strengthen. These should include, inter alia: (i) good practices and associated technologies for the storage / conservation and processing of various products (plants, animals, fisheries and forestry, etc.); (ii) the potential contribution of each product / value chain in terms of climate resilience, zero degradation or restorative production and

Component 3	Indicative activities
	gender-balanced income generation; (iii) specific barriers and opportunities associated with each value chain (To be started after ESIA and ESMP)
	3.1.5 Develop an action plan for strengthening each value chain (To be started after ESIA and ESMP)
Output 3.2:	**3.2.1 Deliver training to strengthen agricultural skills related to the selected products, including: (i) techniques for managing soil fertility and (ii) climate-smart agricultural practices (To be started after ESIA and ESMP)**
	3.2.2 Improve access to information and to appropriate post-harvest and processing equipment, at different levels of the marketing chain, to help processors better respond to quantitative and qualitative aspects of market demand (To be started after ESIA and ESMP)
	3.2.3 Contribute to the sustainable intensification of production in the selected sectors by supporting the adoption of improved technologies adapted to the needs of farmers, in particular women, and enabling them to better respond to market signals (To be started after ESIA and ESMP)
	3.2.4 Support efforts by cooperatives to strengthen crop processing and storage (To be started after ESIA and ESMP)
Output 3.3:	**3.3.1 Develop partnership with micro-financing institutions to increase the flow of financial services (campaign credit, equipment credit, etc.) to encourage adoption of SLM and SFM practices (To be started after ESIA and ESMP)**
	3.3.2 Establish partnerships with local communities, NGOs, forest department directorates, and ATDAs to train farmers and ranchers (particularly women), in climate-smart agriculture (To be started after ESIA and ESMP)
	3.3.3 Develop a de-risking mechanism to provide loan guarantees for micro-projects (To be started after ESIA and ESMP)
Output 3.4:	**3.4.1 Develop market research and feasibility assessment for new products based on the "Market Analysis and Development (ADM)" approach and in consultation with potential beneficiaries (To be started after ESIA and ESMP)**
	3.4.2 Organize initial meetings between buyers and sellers, and trade shows and exchange trips in the West and Central African sub region and / or support the participation of local producer groups (including cooperatives) in such meetings (To be started after ESIA and ESMP)
	3.4.3 Support improved packaging and delivery of new products to market (To be started after ESIA and ESMP)
	3.4.4 Support identification of new business partners for SMEs (To be started after ESIA and ESMP)

Component 4	Indicative activities
Output 4.1 **To be started while developing SESA**	4.1.1 Raise awareness among project stakeholders regarding the goals, activities and objectives of the gender action plan
	4.1.2 Monitoring and adaptive management of implementation of the gender action plan to ensure that it is meeting its objectives
Output 4.2: **To be started while developing SESA**	4.2.1 Strengthen capacities, particularly among women and young people, to contribute to monitoring and evaluation of interventions for the sustainable management of land and forest ecosystems at the local, municipal and PDA levels (1, 2, and 5)
	4.2.2 Pilot testing of a system of participatory monitoring, review and verification (MRV) of land and forest degradation, integrating climate resilience relevant indices

Component 4	Indicative activities
	4.2.3 Implement a system of monitoring changes in livelihood status for vulnerable people targeted
	4.2.4 Obtain agreement between project stakeholders and sectoral decision makers at the national level on simple indicators, applicable to all sectors, linked to integrated, gender sensitive, sustainable responses to climate change
	4.2.5 Produce reports estimating LDN implementation across the three PDAs, integrating data gathered by participatory and other means
Output 4.3	4.3.1 Monitoring and assessment of project impacts and associated lessons emerging (**To be started while during SESA**)
	4.3.2 Based on project results / demonstrations, develop and implement a training and dissemination plan aimed at women's groups and mixed farmers' organizations to support the further uptake of implementing technologies for the restoration of natural ecosystems, innovation in soil water conservation, etc. (**To be started while during SESA**)
	4.3.3 Develop and disseminate technical guidance on adoption of climate resilient value chains integrating climate risks, to enhance productivity and climate resiliency of targeted value chains and agroforestry systems (**To be started while during SESA**)
	4.3.4 Organize networking sessions to share experiences between the intervention municipalities on the one hand, and other municipalities within the three PDAs (To be started after ESIA and ESMP)
	4.3.5 Strengthen the capacities of women, young people and small producers in the management of digital tools (financial, digital education, e-commerce, etc.) for better climate resilience (To be started after ESIA and ESMP)
	4.3.6 Organize exchange trips / visits between PDAs and capacity building for the benefit of stakeholders on SLM/SFM (To be started after ESIA and ESMP)
Output 4.4	**4.4.1 Develop a national information, education and communication (IEC) plan targeting all relevant actors, including, inter alia: (i) educational materials in order to increase knowledge and awareness among educators and to encourage teaching sessions in secondary schools and universities on Land Degradation Neutrality and climate change resilience; (ii) an inclusive dialogue platform between scholars, customary and religious authorities, vulnerable groups and representatives of sectoral ministries around the inclusive management of natural ecosystems for climate resilience and LDN (To be started after ESIA and ESMP)**
	4.4.2 Produce gender-sensitive communications and public awareness materials, e.g. leaflets, posters, flyers, brochures, summaries, videos, local radio spots, phone app, etc.) (To be started after ESIA and ESMP)
	4.4.3 Conduct briefings with target groups on project experience, as well as best practices and lessons learned, on topics such as gender and LDN, climate change resilience, etc (To be started after ESIA and ESMP)
	4.4.4 Organize a series of physical and virtual exchanges—e.g. visits, workshops, knowledge products—with counterpart project team and stakeholders in neighboring Togo (To be started after ESIA and ESMP)

V. INSTITUTIONAL ARRANGEMENTS AND CAPACITY BUILDING

- ROLES AND RESPONSIBILITIES FOR IMPLEMENTING THIS ESMF

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

The responsibility for ESMF implementation belongs to the Project Management Unit (PMU), who will monitor the compliance of the project against the ESMF. It will highlight potential safeguard-related issues and, if necessary, implement additional assessments, risk mitigation measures and/or management. It will conduct site visits during the Stakeholder Engagement Plan and ESMF implementation, review and report progress made, and be responsible that the project is implemented in accordance with the social and environmental requirements included in the ESMF and the other Safeguards documents.

An important part of the monitoring will be to discuss with stakeholder who are affected by the project their perception on the project and its positive and negative impacts.

Representatives of universities, research institutions and national associations will be included in the Project Steering Committee

Implementing Partner and Project Board/Steering Committee
- Ensure that the required assessment (ESIA/SESA) and assessment report and the required management plan (including specific plans evolving through the ESIA process, including ESMP, Ethnic Groups Plans, LAPs, and other relevant plans) are developed, disclosed for public consultation and approved, and management measures are adopted and integrated during project implementation.
- Approve and supervise the work of a Safeguards Expert to implement the ESMP, and any other safeguards-related personnel deemed necessary once the ESIA/SESA and resultant plans are developed has been prepared.
- Report, fairly and accurately, on project progress against agreed work plans in accordance with the reporting schedule and required formats.
- Maintain documentation and evidence that describes the proper and prudent use of project resources in conformity to the signed Project Document and in accordance with applicable regulations and procedures (e.g. SES).
- Ensure all requirements of UNDP's SES and national regulatory/policy frameworks and relevant international standards have been addressed.
- Hold responsibility and accountability to UNDP for overall management of the project, including compliance with UNDP SES.
- Monitor implementation of the ESMP and related plans and compliance with national and international regulations, and UNDP social and environmental standards.
- Decision making for the adoption of necessary measures including full integration of management measures within project Outputs and annual work plans.
- Establish and support GRM mechanism to address any grievances.

The Project Board will have the final responsibility for the integration of ESMP in the execution of the project. The integration of those plans will need to consider particular institutional needs within the implementation framework for application of these plans, including a review of the required budget allocations for each measure,

UNDP
- Provide oversight on all matters related to safeguards.

- Inform all the stakeholders and right-holders involved in, or potentially impacted, positively or negatively, by the GEF-financed projects, about the UNDP's corporate Accountability Mechanism (described below).
- Ensure that the Compliance Review and the Stakeholder Response Mechanisms are operational during the lifetime of the projects.
- Ensure adhere to the SES for project activities implemented using funds channeled through UNDP's accounts, and undertake appropriate measures to address any shortcomings.
- Verify and document that all UNDP SES requirements have been addressed.
- Provide technical guidance on implementation of the ESMP and administrative assistance in recruiting and contracting expert safeguards services (as required), and monitor adherence of each project to the ESMP and UNDP policies and procedures.

Project Management Office/Project Management Unit:
- Supervise and manage implementation of measures defined in the ESMP (including specifically the implementation of the FPIC procedures, GRM, Ethnic Groups Plans, LAP and any other plans) evolving from the ESIA.
- Assign specific responsibilities for implementation of the ESMP, including monitoring, and community consultations on the draft management plans to a staff member(s) of the PMO/PMU.
- Maintain relevant records associated with management of environmental and social risks, including updated SESPs, impact assessments, a log of grievances together with documentation of management measures implemented.
- Report to the Implementing Partner, the Project Board, UNDP CO on the implementation of the ESMP.
- Ensure that all service providers are informed of their responsibilities for the day-to-day compliance with the ESMP.
- Provide strategic advice and guidance on implementation of the Project including oversight for safeguards and the implementation of the ESMP.

Roles and responsibilities in the implementation of the ESMP will be defined and integrated, as appropriate, as part of the participatory decision making and routine implementation of the project.

- **CAPACITY BUILDING**

At least one specialist (or contractual services) with relevant expertise in social and environmental safeguards will be engaged to support the completion of the ESIA and SESA and the subsequent development of the ESMP, and any stand-alone management plans.
This expertise, and others if engaged later, will offer an induction session for the Project Management Unit/Project Management Office and implementing partners on safeguards responsibilities and approaches.
The UNDP-GEF Unit will provide advice to project teams as needed to support the implementation of this ESMF and the preparation, implementation and monitoring of social and environmental management plans/measures.
The integration of those plans will need to consider particular institutional needs within the implementation framework for application of the ESMP, including a review of the required budget allocations for each measure, as well as the authority and capability of institutions at different administrative levels (e.g. local, regional, and national), and their capacity to manage and monitor ESMP implementation. Where necessary, capacity building and technical assistance activities will be included to enable proper implementation of the ESMP.

VI.   STAKEHOLDER ENGAGEMENT AND INFORMATION DISCLOSURE PROCESS

Discussions with project stakeholders, including local and indigenous communities, government entities, NGOs and Stakeholder Forums at project sites, commenced during the project development phase. A list of the stakeholders engaged in these consultations has been Annexed to the Project Document. The project also has a Stakeholder Engagement Plan and Gender Action Plan, also annexed to the Project Document. These Plans will further be refined following the ESIA process to ensure that stakeholders are engaged in project implementation and particularly in the further assessment of social and environmental impacts and the development of appropriate management measures. The Project Stakeholder Engagement Plan will be updated during project implementation based on the ESIA report and the ESMP produced.

Specific stakeholder consultations will be held to ensure that the ESIA process is conducted in a useful way that results in widely accepted ESIA report and ESMP. Particular attention will be paid to inclusion of women and girls. As part of the stakeholder engagement process, UNDP's SES requires that project stakeholders have access to relevant information. Specifically, the SES (SES, Policy Delivery Process, para. 21) stipulates that, among other disclosures specified by UNDP's policies and procedures, UNDP will ensure that the following information be made available:

- Stakeholder engagement plans and summary reports of stakeholder consultations

- Social and environmental screening reports with project documentation

- Draft social and environmental assessments, including any draft management plans

- Final social and environmental assessments and associated management plans

- Any required social and environmental monitoring reports.

The ESIA/SESA report and resultant ESMP will be disclosed via the UNDP Benin website in accordance with UNDP SES policy, and the ESIA/SESA report and ESMP will be finalized and adopted only after the required time period for disclosure has elapsed.

These requirements for stakeholder engagement and disclosure will be adhered to during the implementation of this ESMF, and the subsequent implementation of the resulting ESMPs and any stand-alone management plans.

VII.   ACCOUNTABILITY AND GRIEVANCE REDRESS MECHANISMS

UNDP's SES recognize that even with strong planning and stakeholder engagement, unanticipated issues can still arise. Therefore, the SES are underpinned by an Accountability Mechanism with two key components:

1. A Social and Environmental Compliance Review Unit (SECU) to respond to claims that UNDP is not in compliance with applicable environmental and social policies; and

2. A Stakeholder Response Mechanism (SRM) that ensures individuals, peoples, and communities affected by projects have access to appropriate grievance resolution procedures for hearing and addressing project-related complaints and disputes.

UNDP's Accountability Mechanism is available to all of UNDP's project stakeholders.

The Social and Environmental Compliance Unit (SECU) investigates concerns about non-compliance with UNDP's Social and Environmental Standards and Screening Procedure raised by project-affected stakeholders and recommends measures to address findings of non-compliance.

The Stakeholder Response Mechanism helps project-affected stakeholders, UNDP's partners (governments, NGOs, businesses) and others jointly address grievances or disputes related to the social and/or environmental impacts of UNDP-supported projects.

Further information, including how to submit a request to SECU or SRM, is found on the UNDP website at: http://www.undp.org/content/undp/en/home/operations/accountability/secu-srm/

The project will establish a Project Level Grievance Redress Mechanism (GRM) within the first six months of the project, in order to receive and facilitate resolution of any complaints and grievances. The GRM will be established at the three project sites and at the national level in Cotonou to address grievances that are escalated to higher levels. Information about the GRM will be widely disseminated, and a system for tracking complaints will be established. Interested stakeholders may raise a grievance at any time to the Project Management Unit, UNDP or the GEF.

During project implementation, interested stakeholders may raise a grievance at any time to the Project Management Unit (PMU), to the Executing Agency (Ministry of the Living Environment and Sustainable Development (MCVDD) or to the Implementing Agency (UNDP).

Due diligence efforts will be made by the local project representatives to first resolve grievances locally, in a manner sensitive to local social and cultural norms. If the local process does not result in resolution of a grievance, the case will be upgraded to the PMU, with the process managed by the Project Manager providing guidance and signing off on written responses to grievances.

The UNDP Country Office, as the Implementing Agency, will be the next reference for resolving grievances if the case is not resolved at the local level or by the Executing Agency.

The Resident Representative will identify a member of the Country Office management team to oversee and manage the grievance through the UNDP Stakeholder Response Mechanism (SRM).

The SRM ensures individuals, peoples, and communities affected by projects have access to appropriate grievance resolution procedures for hearing and addressing project-related complaints and disputes.

VIII. IMPLEMENTATION ACTION PLAN (SCHEDULE AND BUDGET) FOR ESMF IMPLEMENTATION

ESMF provides
- an implementation schedule for measures that must be carried out as part of the project.
- the capital and recurrent cost estimates and sources of funds for implementing the ESMF. 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.

Implementation Schedule

ESMF - Activities	Y1/1	Y1/2	Y2/1	Y2/2	Y3/1	Y3/2	Y4/1	Y4/2	Y5/1	Y5/2	Y6/1	Y6/2
ESIA	X											
SESA	X											
SESP site and activity specific	X											
Livelihood Action Plan (LAP) (if needed)	X											
Site specific pesticides and herbicides Management Plans	X											
Ethnic Groups Plan	X											
ESMP	X	X										
ESMF Monitoring	X	X	X	X	X	X	X	X	X	X	X	X
Stakeholder consultation for ESMF M&E and update		X		X		X		X		X		X

Description												
Project Steering Committee meeting for Safeguards M&E		X		X		X		X		X		X

Funding for implementation of the ESMF is included in the Project budget. The estimated costs are indicated in Table below. Costs associated with the time of Project Management Unit Staff coordinating the implementation of this ESMF or UNDP support are not shown.

Breakdown of project level costs for ESMF implementation

Description	Cost, USD
Carrying out ESIAs and SESAs, preparing ESMP and other management plans as warranted:	
Safeguards Specialist (technical support)	20,000
International Safeguards expert (carry out ESIA and SESA, develop ESMP and other plans)	60,000
Travel expenses and DSA	15,000
Audio-visual and print production (for communicating ESMP issues)	10,000
ESIA public consultations	15,000
Sub-total:	**120,000**
Monitoring and evaluation of the implementation of the ESMP and other management plans:	
International safeguards expert (advisory support)	15,000
Gender Consultant	20,000
Safeguards / M&E Consultant(s)	20,000
Travel expenses and DSA	35,000
ESMP trainings, workshops during project implementation	10,000
Sub-total:	**100,000**
TOTAL:	**220,000**

IX.   MONITORING AND EVALUATION ARRANGEMENTS

UNDP monitors and evaluates its overall performance against the objectives and requirements of the Social and Environmental Standards.
Monitoring is integrated with UNDP's Quality Assurance reporting system and Risk Register.
The extent of monitoring activities is commensurate with the programme's or project's risks and impacts.

UNDP requires that:
- the progress of implementation of mitigation/management plans required by the SES is monitored,
- complaints/grievances are tracked and monitored.
- (follow-up on any identified corrective actions is tracked.
- any required monitoring reports on SES implementation are finalized and disclosed.

Monitoring and reporting will include data disaggregated by categories of potential beneficiary and/or affected groups and include specific gender indicators.

Monitoring and Evaluation process will engage and involve stakeholders and third parties identified in the Stakeholder Engagement Plan to complement or verify monitoring activities.

Based on the monitoring results, any necessary corrective actions are undertaken.

UNDP and stakeholders are to be promptly notified of any incident or accident related to the project activities that has had (or is likely to have) significant adverse impacts on people or the environment. Immediate measures are undertaken to address and remedy the incident or accident, and to prevent any recurrence.

Periodic reports are provided to the affected communities that describe progress with implementation of project management and action plans and on issues that the consultation process or grievance mechanism has identified as a concern. Any material changes or additions to the mitigation measures or actions plans are communicated to affected communities. Reports are provided every year and specific reporting initiatives will be identified by the PMU when needed.

Monitoring activities will:
- Serve the purpose of learning for future improvement and be flexible and adaptable.
- Balance quantitative and qualitative assessment.
- Use participatory tools that include target group narratives, especially women's narratives, which are crucial.
- Track and assess reversals and capture negative impacts of a project.
- Assess contribution to change instead of attribution-based frameworks.
- Be tailored to timeframes to ensure realistic measurement and reporting.

Monitoring Activity & Relevant Projects	Description	Frequency / Timeframe	Expected Action	Roles and Responsibilities
Track progress of ESMF implementation	Implementation of this ESMF with results reported to the Project Board on an annual basis	Quarterly (until ESMPs and management plans are in place)	Required ESMF steps are completed in a timely manner.	Project Coordinator, with support from and Safeguards Specialist
Implementation of mitigation measures and monitoring of potential impacts identified in impact assessment(s) and per the subsequent ESMP	Permanent and participatory implementation and monitoring of impacts and mitigation measures, in accordance with ESMP (to be prepared together with impact assessments)	Continuous, once ESIA/SESA is completed and ESMP is in place	Implementation of ESMP; participatory monitoring of impact assessment findings (i.e. identifying indicators, monitoring potential impacts and risks); integration of ESMP into project implementation strategies. Monitoring of environmental and social risks, and corresponding management plans as relevant (tendered to national institute, local consultant, CSO or service provider)	Project Coordinator, Safeguards Specialist, PMU, oversight by UNDP CO, Project Board
Development of impact assessment and reports, and livelihood plan as needed	Carried out in a participatory manner, impact analysis of potential livelihood impacts	Within first project year.	Potential impacts related to economic displacement are assessed with support of external consultants and participation of project team and stakeholders; impact assessment report completed; if justified based on findings of assessment, a livelihoods action plan will be developed; management actions will be identified and incorporated into project implementation strategies.	External service providers (environmental and social) With guidance from UNDP, Project Coordinator, Safeguards Specialist
Development of Ethnic Groups Plan per each PDA (Indigenous Peoples' Plan)	Drafted in a participatory manner, commencing as soon as project-affected indigenous communities are identified.	Within first project year.	Detailed procedures for the implementation of FPIC are established, and incorporated into impact screening, assessment and management procedures and the ESMP.	External service providers (environmental and social) With guidance from UNDP, Project Manager, and Project M&E/Safeguards Specialist
Learning	Knowledge, good practices and lessons learned regarding social and environmental risk management will be captured regularly, as well as	At least annually	Relevant lessons are captured by the project teams and used to inform management decisions.	Project Coordinator

Monitoring Activity & Relevant Projects	Description	Frequency / Timeframe	Expected Action	Roles and Responsibilities
	actively sourced from other projects and partners and integrated back into the project.			
Annual project quality assurance	The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project	Annually	Areas of strength and weakness will be reviewed and used to inform decisions to improve project performance	UNDP CO, Safeguards Specialist, with support from Project Coordinator and from a Gender consultant
Review and make course corrections	Internal review of data and evidence from all monitoring actions to inform decision making	At least annually	Performance data, risks, lessons and quality will be discussed by the Project Board and used to make course corrections	Project Board
Annual project implementation reports	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	Updates on progress of ESMF/ESMP will be reported in the project's annual PIRs. A summary of the avoidance and mitigation of potential social and environmental impacts will be included in the program annual report, sharing best practices and lessons learned across the program.	UNDP CO, UNDP-GEF RTA, Project Coordinator
Project review	The Project Board will consider updated analysis of risks and recommended risk mitigation measures at all meetings	At least annually	Any risks and/ or impacts that are not adequately addressed by national mechanisms or project team will be discussed in Project Board. Recommendations will be made, discussed and agreed upon.	Project Board, Project Coordinator

X. ANNEXES

ANNEX 1: Ethnic Groups Planning Framework (as IPPF)
ANNEX 2: Indicative Outline of Environmental and Social Impact Assessment (ESIA)
ANNEX 3: Indicative Outline of Strategic Environmental and Social Assessment (SESA)
ANNEX 4: Indicative Outline of Environmental and Social Management Plan (ESMP)
ANNEX 5: Livelihood Action Plan Template (LAP)
ANNEX 6: Indicative Outline of Indigenous People Plan/Ethnic Groups Plan (IPP)
ANNEX 7: Terms of Reference for Project-level Grievance Redress Mechanism (GRM)

- ### ANNEX 1: ETHNIC GROUPS PLANNING FRAMEWORK (AS IPPF)

The purpose of this Ethnic Groups Planning Framework (as IPPF) is to set out the requirements of UNDP SES Standard 6, organizational arrangements, and design criteria to be applied to the project components that are not yet defined and will be prepared during project implementation.

A key purpose of this IPPF is to outline the procedures for screening, assessment and development of the specific Ethnic Groups Plan (or IPP) for each PDA once the project activities and the project locations will be fully defined. As already highlighted in the document above, any project activities that may adversely affect indigenous peoples will not commence until the Ethnic Groups Plan for each PDA is developed with the meaningful participation of the affected indigenous peoples (and FPIC where required) and appropriate mitigation measures are in place.

1. **Executive Summary:**

As described in the ESMF, the objective of the project is to support achievement of Benin's Land Degradation Neutrality (LDN) targets through climate risk integrated sustainable land and forest management practices and strengthen the climate resilience of vulnerable populations in the Niger Valley, Alibori Sud-Borgou Nord-2KP and Zou-Couffo Agricultural Development Areas.

The project's objective will be achieved through the following interventions:

Component 1: Political, financial, institutional, and regulatory frameworks to achieve climate risk informed Land Degradation Neutrality (LDN) and advance integration of vulnerability assessments and adaptation options within land use decisions. This will establish a national LDN and restoration database at MCVDD to serve as the hub for national monitoring and national reporting on LDN, build national reporting and monitoring systems for tracking LDN and various aspects of climate change vulnerability, strengthen the National Committee on Desertification as a key tool for national-level coordination, raise the profile of LDN within national environmental funding mechanisms, build capacities of key agencies for climate risk informed and resilient SLM, SFM and restoration.

Component 2: Restoration of land and forest ecosystems for improved agricultural productivity, prevention of deforestation, and enhanced climate resilience of vulnerable communities. This will support the development of restoration and SLM / SFM components within management plans at various levels within the three PDAs target, support restoration and sustainable land management at target sites, strengthen capacities of government extension services to provide extension services to farmers, provide training and awareness raising support within the communities at the target sites, involve creating green infrastructure resilient to projected climate impacts in four of the target communes (Karimama, Kouandé, Ségbana and Gogounou) to strengthen Benin's Green Belt against desert encroachment from the north.

Component 3 Building diversified income-generating activities and value chains to strengthen community resilience to climate change. This will consist of in-depth analyses of short-listed value chains from the perspective of their potential to generate income for local communities while delivering a variety of national and global environmental benefits, including enhanced climate change resilience, strengthen selected value chains through investment and extension support, deliver technical and financial support to forest-friendly and climate resilient income generating activities, help to increase market access for farmers and communities practicing climate-resilient, zero-degradation agriculture and agro-forestry, including NTFPs.

Component 4: Gender Empowerment, Knowledge Management, and M&E. This will establish the gender-based parameters and goals of the project, and in particular its learning and replication efforts, by coordinating and monitoring a gender action plan that was developed during the PPG, focus on the important M&E issues associated with delivering on LDN commitments, underpin and expand the project's learning and replication ambitions by integrating LDN within overall PDA-level monitoring, develop and implement a national-level communications and awareness program will be developed and implemented.

The project has been designed as an integrated LDN project that aims to reverse current trends in land and ecosystem degradation in Benin, build adaptive capacity to enhance climate change resilience, and implement dynamic local resilience, land restoration, and improved livelihoods for communities in the target areas.

The project's outputs are focused both at upstream activities, aimed to strengthen institutional capacities, and at downstream activities, aimed to strengthen extension services, pilot forest rehabilitation and sustainable land management models, strengthen value chains for climate resilient agriculture, promote learning, and empower women in decision making and as market actors.

The identified activities will impact on access to land and resources and these processes must be implemented ensuring the stakeholders participation, especially vulnerable or marginalised groups.

The project has identified eight target communes, together covering approximately 22,400 km^2, where on-the ground restoration and prevention actions will take place.

Pilot activities within the above communes will demonstrate climate-resilient agricultural development, restoration techniques, income diversification strategies, etc. Restoration and other efforts will include community farmers as well as private forest concessions and plantations. In addition, the project sites include, or are in close proximity to, classified, community, and sacred forests, as well as protected areas.

The project will engage all ethnic groups and communities at project sites in the LDN dialogue and provide culturally-sensitive training and learning events that consider ancestral practices and natural resource uses (land, forest, water) while promoting sustainable land and forest management mechanisms. In compliance with UNDP's Social and Environmental Safeguards policy, a comprehensive stakeholder analysis and engagement plan has been developed during PPG to ensure that all ethnic groups at project sites are consulted and included in project design, and in implementation of actions on the ground that do not compromise their subsistence needs. While the UNDP definition of indigenous peoples is not applied in Benin, ethnic groups who fit with the criteria for 'indigenous peoples' as described in the UNDP SES Policy do occur in Benin. As required, an Ethnic Groups Plan will be developed for each PDA in line with guidance mandated under Standard 6. Key project stakeholders include traditional leaders and authorities, through whom/which decision making and participatory planning for integrating climate resilient agricultural practices, SLM and SFM will be coordinated.

This IPPF is utilised to ensure the project is planned and implemented in compliance with SES standards.

2. **Description of Indigenous Peoples:**

There are reportedly more than 50 ethnic groups in Benin. The 2013 census gives the main ethnic groups as: Fon and related groups (38.4 per cent); Adja and related groups (15.1 per cent); Yoruba and related groups (12 per cent); Bariba and related groups (9.6 per cent); Peul and related groups (8.6 per cent); Gua / Ottamari and related groups (6.1 per cent); Yoa-Lokpa and related groups (4.3 per cent) and Dendi and related groups (2.9 per cent).

The main languages in Benin are French (official), Fon, Yoruba, Bariba, Fulani and there are 52 registered national languages.

The 2013 census found that 48.5 per cent of the population was Christian (the largest proportion of these - one quarter - are Roman Catholic); 27.7 per cent Muslim (mainly Sunni); 11.6 per cent Voodoo (although many who reported as Christian, or Muslim also practice Voodoo or other traditional beliefs); 2.6 per cent indigenous religious groups; and 2.6 per cent other religious groups.

Fon are the largest and dominant ethnic group, constituting together with related groups 38.4 per cent of the total population, predominantly in the south. Other southern ethnic groups include Adja, Ewe, Aizo and Yoruba. In the north the principal ethnic groups are Bariba, Fulani (traditionally nomadic herders) and Ottammari. Benin's population is unevenly distributed; more than two-thirds of the people live in the south; the northern savannah grasslands, although half of the country in terms of area, are only sparsely settled.

Historically an important ethnic group, Bariba live in northern Benin, especially in the Borgou, a region artificially bisected by the Benin-Niger border. They are of Sudanese origin and call themselves Baatonu, 'the people'. Their society is stratified and traditionally held slaves. They are mainly cattle herders who delegated herding either to ex-slaves or to Fulani in exchange for protection and permission to graze on Bariba lands.

Fulani (Peul) are Muslims, although the Islamic faith in Benin is strongly influenced by contact with surrounding animist populations - as is the Christian faith. Fulani are pastoralists and live with the Bariba, whose cattle they tend in exchange for protection. They comprise a significant proportion of the population in the Bourgou region. Fulani have often formed alliances with Dendi. Dendi are a non-indigenous minority primarily involved in trade and dispersed throughout urban areas of northern Benin. Although they are Muslim and speak their own language,

many have intermarried with the local population. Gando constitute one of the largest social strata in traditional Bariba society and have a similar geographical distribution. They are of various ethnic origins; many were Yoruba in origin, some were the slaves of Fulani and Bariba. Mahi are an ethnic group, living north of Abomey who were a prime target in pre-colonial raids for slaves by Fon, to whom they are closely related.

'Brazilians' are Beninois of mixed Euro-African parentage, descended from exiles and deported Africans from the time of the Dahomey dynastic wars, and from slaves or descendants of slaves taken to Brazil and returning to Dahomey in the nineteenth century. Mostly Roman Catholic and well-educated, they lived in the coastal areas as traders and played a dominant role in the early days of French colonial rule. With independence their political significance declined. Devoid of ethnic networks, they lack the building blocks for political power in Benin, and after the change of government in 1972 many emigrated to France.

Immigration in Benin has historically been from other parts of West Africa, with foreigners making up 1.9 per cent of the population according to the 2013 census. The refugee population in Benin numbers less than a thousand and has largely comprised of people from Central African Republic and Cote d'Ivoire.

Benin's population is concentrated along the coast: one half of its people - predominately drawn from the southern, mainly Christian ethnic groups - live on the heavily populated coast in the extreme south, where the capital city, Cotonou, is located.

While after independence in 1970 regional and ethnic divides in the country, particularly between Fon, Yoruba and Bariba as well as the northern/southern regions, were exploited by competing political elites, these tensions have diminished from the 1990s, though political parties remain ethnically based.

Cotonou has long been vulnerable to coastal erosion and rising sea levels, but in recent years Benin has also suffered a number of environmental shocks which have affected people across regions and ethnic groups, including in the ethnically distinct, sparsely populated, historically pastoralist and mainly Muslim north, which borders on the Sahel region. These have contributed to rising food insecurity, and increased competition between migrating Beninois and cross-border pastoralist groups with local groups of sedentary farmers, particularly in the north. It has also prompted responses such as improved planning around environmental risks and resilience as well as early warning procedures.

Following reports about the prevalence of multi-faceted gender-based violence in Benin, some efforts have been made to improve cross-border anti-trafficking efforts, as well as judicial and police responsiveness to cases of violence against women and girls. Benin has also joined regional efforts to combat early marriage. However, the UN has continued to express concern at ongoing reports of trafficking and of harmful traditional practices such as female genital mutilation (FGM) and early and forced marriage. Some sources reported that FGM was significantly more prevalent in the northern half of the country, and more so among ethnic groups such as Bariba and Peul than among other groups.

Benin has taken part in regional efforts to combat violence by Nigeria-based Islamist group Boko Haram, joining Cameroon, Chad, Niger and Nigeria. It also sent troops to the international UN peacekeeping force combating jihadist and other armed groups in Mali. Within Benin itself, although there were reportedly sporadic incidents of tension between Voodoo and Christian practitioners, for instance, the representatives of the country's two main religions, Christianity and Sunni Islam, undertook joint initiatives to promote tolerance and inter-faith dialogue.

The Republic of Dahomey gained independence in August 1960. Its economy was weak, and its poorly integrated society rife with ethnic and regional cleavages. The intense regionalism that characterized Beninois politics resulted from the overlay of historical conflict and animosity between certain groups and towns, and the geographic and socio-economic neglect of certain groups such as Ottammari and Bariba. For example, Bariba political elites exploited northern frustrations, and distrust of the Yoruba catapulted nationalist leaders to prominence and intensified the north-south cleavage. Bariba mistrust of southerners was matched by a continued feeling of superiority over other groups in the north, traditionally raided for slaves, such as the Ditammari.

Society rapidly polarized into three ethnic/regionally-based movements. A rotating presidency among Fon, Yoruba and Bariba formed in 1970. As regional tensions were exploited by Benin's early political elite in its quest for political power, no single 'national' candidate emerged but rather regional politicians with electoral fiefdoms in their respective national strongholds.

This system was overthrown in 1972 in a military coup led by General Mathieu Kérékou, who formed the northern-dominated Military Council of the Revolution (CNR) to govern the country and adopted Marxism-Leninism as the national ideology. He renamed the country Benin in 1975, after the Bight of Benin (not the pre-colonial Kingdom of Benin, in today's Nigeria). The economic policy failures of the statist government led some rural communities to

develop accountable local governance, and many rural Beninois farmed for the Nigerian market without regard for the central marketing board. But economic mismanagement took a heavy toll on the urban population, and by the mid-1980s the military regime was financially and morally bankrupt. A general atmosphere of protest pervaded Benin from the late 1980s as student unrest increased and civil service strikes over pay issues and structural adjustment programmes grew. Economic crisis and popular protest led to the abandonment of Marxism in December 1989.

Under pressure, Kérékou agreed to an inclusive national conference that brought together representatives of the country's various peoples in February 1990. The gathering declared its own sovereignty and drew up a new Constitution that enshrines multi-party democracy and guarantees basic human rights. Kérékou lost the 1991 presidential elections to Christophe Soglo, who broke with Kérékou's autocratic methods, and advanced human rights reforms. Kérékou returned to power in 1996 elections and was re-elected in 2001 amid opposition claims of voter fraud. In 2006, for the first time under the new Constitution, neither Kérékou nor Soglo ran for the presidency and newcomer Yayi Boni, a northerner and former head of the West African Development Bank, won the poll. Yayi Boni was elected again in 2011 but his favoured successor, a southerner, was defeated by southern Fon Patrice Talon in 2016.

Benin, while promoting tolerance and inter-faith dialogue, was also affected by the trends towards conflict at work in the West Africa and Sahel regions. Benin took part in the UN peacekeeping mission in Mali, in place from 2013, and in 2015 joined with Nigeria and neighbouring Cameroon, Chad and Niger in an African Union-backed Multinational Joint Task Force to fight the armed group Boko Haram across national borders in the region.

The 1990 Constitution provides for equality before the law without distinction as to origin, race, sex, religion, political opinion or social position. Although Benin's many political parties tend to be ethnically based, ethnic relations have improved under the new Constitution, as has minority representation in government. In particular the government made gains in balancing the formerly northern-dominated military. In 2004 Benin passed new laws enhancing women's rights in the areas of inheritance, property, and marriage and in 2006 newly-elected northerner President Thomas Yayi Boni's government announced that combating gender discrimination was one of its key aims. Benin also published in October 2014 a National Plan of Action against Racism, Racial Discrimination, Xenophobia and Related Intolerance.

During the presidential electoral campaign in early 2016, the authorities reportedly banned several opposition demonstrations while allowing pro-government ones. Businessman Patrice Talon, a southern Fon, was elected over Yayi Boni's preferred candidate Lionel Zinsou, a dual national of France and Benin and nephew of a former, southern, president, in second-round polls in March 2016. Talon had promised a referendum on reducing presidential terms from two five-year to one six-year term, but the legislature rejected a bill to this effect.

Applicable legal framework that pertains to the potentially affected ethnic groups (or indigenous peoples)
Here below the main provisions from the applicable legal framework that pertains to the potentially affected ethnic groups**:**

- National Plan of Action against Racism, Racial Discrimination, Xenophobia and Related Intolerance was completed in October 2014.
- UNESCO World Heritage Convention (WHC)
- African Convention on the Conservation of Nature and Natural Resources
- International Covenant on Civil and Political Rights
- Convention on the Elimination of All Forms of Discrimination against Women
- International Convention on the Elimination of All Forms of Racial Discrimination
- International Covenant on Economic, Social and Cultural Rights
- International Convention on the Protection of the Rights of All Migrant Workers and Members of Their Families
- Convention on the Rights of the Child
- Optional Protocol to the Convention on the Rights of the Child on the involvement of children in armed conflict
- Convention on the Rights of Persons with Disabilities

OUA/AU Treaties and Conventions:
- OAU Convention Governing the Specific Aspects of Refugee Problems in Africa
- Constitution of the Association of African Trade Promotion Organizations

- Convention for the Elimination of Mercenarism in Africa
- African Charter on Human and Peoples' Rights
- African Charter on the Rights and Welfare of the Child
- Protocol to the African Charter on Human and Peoples' Rights on the Establishment of an African Court on Human and Peoples' Rights
- Protocol to the African Charter on Human and Peoples' Rights on the Rights of Women in Africa
- African Youth Charter
- Charter for African Cultural Renaissance
- African Union Convention for the Protection and Assistance of Internally Displaced Persons in Africa (Kampala Convention)
- Protocol to the African Charter on Human and Peoples' Rights on the Rights of Older Persons

Further examination of the impact and significance of legal framework that pertains to the potentially affected ethnic groups will be contained in the Strategic Environmental and Social Assessment.

3. **Potential Impacts:**

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

The analysis identified a range of potential social and environmental impacts associated with the project activities. The SESP template details the specific environmental and social risks that apply. The significance of each risk, based on its probability of occurrence and extent of impact, has been estimated as being either moderate or substantial. Based on the significance of these individual risks, the project has been allocated an overall SESP risk categorization rating of "Substantial**"**, the overall risk category being taken from the highest rating allocated to any individual risk.

Two of the three risks identified and assessed as "**Substantial**" may have an impact on Indigenous Peoples. This category is defined as impacts with potential adverse social and environmental risks and impacts that are more varied or complex than those of Moderate Risk projects but remain limited in scale and are of lesser magnitude than those of High-Risk projects (e.g. reversible, predictable, smaller footprint, less risk of cumulative impacts). Substantial risks require more extensive assessment and management measures. Scoping and assessment may determine that a scoped, fit-for-purpose Environmental and Social Impact Assessment (ESIA) or Strategic Environmental and Social Assessment (SESA) may be required in order to ensure that the SES requirements are appropriately addressed.

Risk 1:   Local communities, especially farmers and vulnerable people, such as women or marginalized indigenous peoples, may not be adequately involved on integrated land use, landscape restoration, and forest management plans (outputs 2.1 and 2.2) and therefore not fully engaged in and not benefit fully from project activities. The development and the operationalisation at target sites of Integrated land use, landscape restoration, and forest management plans with climate change scenarios informing risks and selection of adaptation options, may not be ensuring the participation and the involvement of local communities, and especially marginalised people. While stakeholder participation and engagement in projects are usually well managed in Benin, there is still a tendency to engage in a top-down approach. Therefore, prudency in the project implementation is needed to further lower this risk. Identification of project locations must ensure meaningful participation of stakeholders, avoiding exclusions of marginalized people. The project needs to ensure that decision making processes are well structured, involving representative of all the different ethnic groups present in project areas. Considering the current access to land and resources of the several ethnic groups present in the project areas, this risk may have a high impact of the most marginalized ethnic groups.

The project may increase the inequality in access to benefits for marginalized ethnic groups or can enhance their participation to decision making processes and access to resources.

Risk 2: Access to economic resources and natural resources facilitated through interventions under outputs 2.4 and 3.2 could create or exacerbate conflicts between ethnic groups or could increase the risk of violence between project-affected communities and individuals. As described above, the communities and groups living in the project areas are involved in different livelihood activities related to access to land and other natural resources. There are sedentary and nomadic communities. Between different communities and ethnic groups (from Benin or from neighboring countries) there may already be existing disputes and conflicts that could be exacerbated by the identified outputs. In particular, the selection of location and the selection of beneficiaries of the extension services (with target of 50% women) can lead to exacerbating inequality and potential conflicts, if a participatory approach is not granted and if the impacts are not identified at site level. The identification and the assessment of the value chains, the selection of climate resilient and sustainable agricultural and agroforestry practices and the access to the market channels need to be done under a sustainable framework.
The project can exacerbate the already existing conflicts or create conflicts among ethnic groups or may positively impact on their relations, through a well-structured and well implemented stakeholder engagement process

One risk rated as "**Moderate**" may have an impact on Indigenous Peoples. Moderate risks are defined as activities with potential adverse social and environmental risks and impacts that are limited in scale, are largely reversible and can be identified with a reasonable degree of certainty and readily addressed through application of recognized good international practice, mitigation measures and stakeholder engagement during project implementation.

Risk 9: Natural features with cultural significance, such as sacred forests, could be negatively impacted by outputs 2.2, 2.4, 3.1 and 3.2 During the baseline analysis and the field visits for PPG, the presence of sacred forests in the project areas has been identified as areas that could be impacted by project activities. Some of the new identified income generating activities and the land and forest restoration can involve areas where sacred sites are presents. Sacred sites or natural resources with sacred value (such as specific trees) are often presents in many areas in Benin. Project's activities must be managed considering such type of issue that are sensitive for the local population.

The project may adversely impact on natural features with cultural significance or enhance the respect and the value of them, through a well-structured and well implemented ESMF and Stakeholder Engagement Plan.

4. Procedures:

As indicated in the ESMF, the Social and Environmental Screening Procedure (SESP) has been applied to the project during the project development phase, as required by the UNDP SES. Under this procedure, when a potential risk is identified and assessed as having either a 'moderate', 'substantial' or 'high' risk rating based on its probability of occurrence and magnitude of impact, a standard or principle is triggered. (Risks that are assessed as 'low' do not trigger the related principle or standard).
The SESP identified 11 risks for this project that could have potential negative impacts in the absence of safeguards. Eight of these risks were rated as Moderate and three as Substantial.
The screenings indicate that up to five of the social and environmental principles and standards have been triggered due to 'substantial' risks (see ESMF and SESP).
Two principles and two Standards are especially related to **impacts on Indigenous Peoples**:

- Principle - Human Rights, due to risk that local communities and vulnerable people, especially women and marginalized ethnic groups, may not benefit from project activities and may not be the possibility to express themselves.

- Principle – Accountability, due to risk that project activities will not ensure that decision making processes are well structured, involving representative of all local communities and marginalized groups, ensuring the participation of all the different ethnic groups present in project areas.
- Standard 5 – Displacement and Resettlement, due to risk that project activities may have an adverse impact on access to natural resources, especially for marginalized groups or informal farmers.
- Standard 6 – Indigenous Peoples, due to the risk that the project may have adverse impacts on the rights, lands, resources and territories of Indigenous Peoples and may increase conflicts among ethnic groups.

In addition, six of the Principles and Standards are triggered due to potential impacts rated as "Moderate". Two Standards are especially related to **impacts on Indigenous Peoples**:
- Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management
- Standard 4: Cultural Heritage

Further details on the risks and categorizations are contained in the SESP report.

The SESP has been conducted on the basis of the broad scope of project activities currently envisaged. This has identified the project as being potentially of substantial impact, and as such it requires comprehensive Environmental and Social Impact Assessment. The potential impacts and management strategies are therefore designed to manage the identified impacts in their broadest sense, and the allocated significance rating of Low, Moderate, Substantial or High is based on a precautionary approach.

While the project areas (the three PDAs) have been selected, exact locations of physical footprints for on-the-ground activities have not been specified at the present stage of project development. The relevance of these risks may vary across sites, and the significance or likelihood of the risks or impacts identified by the current SESP will not necessarily be uniform across at all locations. Further screening is required to identify risks' site-specific significance, and to effectively target any required further impact assessment or management.

Locations, and proposed project activities specific to those locations will be defined during the first six months of the project. Once the initial project activities are fully specified and exact locations selected, further screening using a cleanSESP template will be required to ground truth, and to determine whether additional social and environmental impacts may be present that will require further assessment and management. The additional screening will focus also on impacts on Indigenous Peoples.

Such proposed activities will, as they arise, require screening, assessment and management, using the SESP methodology to ensure that any impacts are identified, their significance is established, and any required impact-specific management actions are developed and applied.

Screening will be the responsibility of the PMU and the Safeguards Specialist.

Ongoing Screening Requirements

Over the course of the project, further project activities which have not yet been included in the existing SESP, nor subsequent updates, may be proposed. All additional proposed activities will be subject to screening using a clean SESP template, impacts identified and categorized as "High", "Substantial", "Moderate" or "Low".

The identified impacts on Indigenous People will be assessed with targeted assessment (ESIA) and will be managed through the ESMP and the Ethnic Groups Plan.

The ESMF therefore ensure:

3. Additional screening with the SESP on a site-specific basis, to ground-truth and update the existing SESP. This is required as soon as proposed locations and on-the-ground activities are proposed and must take place during the first six months of project operation. The SESP may also be used as part of the site-selection process.
4. Further screening of all newly proposed activities, as they are proposed during the project, on a location- and activity-specific basis.

Summary of ESMP Screening (SESP) Requirements

Screening Focus	Purpose	Timing	Responsible
Existing SESP	Re-screening for ground-truthing, identification of project-affected people/beneficiaries, and site-specific impacts.	During Year 1 - as specific sites, beneficiaries and project-affected communities are identified.	UNDP Safeguards Specialist
Proposed additional activities.	New SESP done as activity and site-specific process	At least annually, throughout the project, as specific activities are appraised	UNDP Safeguards Specialist

Assessment:

The SESP has identified the project as being Substantial risk. As such, comprehensive environmental and social impact assessment is required in order to identify and assess impacts and develop management mechanisms to mitigate identified risks.

Potential impacts from "upstream" project activities which involve planning support, capacity building, policy advice and reform, will be assessed through a Strategic Environmental and Social Assessment (SESA). An Environmental and Social Impact Assessment (ESIA), assessing planned downstream, on-the-ground activities with a physical footprint, will address direct impacts to communities and individuals from on-site project activities. Both assessments will develop strategies for avoiding, reducing and managing adverse impacts and enhancing positive impacts, and the outputs of both assessments will inform the overall Environmental and Social Management Plan and also the Ethnic Groups Plan.

Details on implementation of SESA and ESIA are described in the ESMF

Strategic Environmental and Social Assessment – Impacts on decision making processes involving Ethnic Groups

SESA will assess how project Component 1 activities may have impacts on participatory approaches and decision-making processes including the ethnic groups presents in the project's areas, especially the most marginalized ethnic groups.

The detailed scope of the SESA will be refined by the experts conducting the assessment. The report will identify strategies for effective management of identified impacts, which will inform the impact management approach adopted.

The SESA report, with Action Matrix, will identify specific processes where Ethnic Groups will be involved, to ensure their meaningful participation.

Environmental and Social Impact Assessment (ESIA) – Impacts on Ethnic Groups

The ESIA will have a focus on conflicts analysis and assessment, considering the risk that project's activities could create or exacerbate existing conflicts among ethnic groups.

The conflict analysis and assessment part will be developed to identify:

- The main groups involved in already existing conflicts, especially conflicts related to access to land and other natural resources.
- The main reasons of the existing conflicts.
- The power relations among groups or individuals who are involved in the project or are impacted by project's activities.
- The stakeholders' perception of the conflicts - especially vulnerable groups' perception.
- The conflict resolutions mechanism already in use in the PDAs/target areas.
- The main impacts (both positives and negatives) the project can have on the existing conflicts.
- The main actions that can be implemented as mitigation measures of possible negative impacts and as measures to enhance positive impacts.

The ESIA will be developed and carried out by independent experts in a participatory manner with stakeholders within the first year of the project and as part of the workplan preparatory activities.

Assessment of further activities impacting ethnic groups will be commensurate with the magnitude of the envisaged risk, and targeted specifically at the associated risks, especially considering risks to poor, vulnerable or marginalized communities and individuals.   As described in the ESMF, full stakeholder consultation will be required at all stages.

Summary of Assessment Requirements

Focus	Assessment	Timing	Responsibility
Upstream Activities	SESA	Completion within the firstproject year	UNDP PMU and external consultants
Downstream Activities	ESIA	To commence as specific project locations are proposed. Completion within the first project year.	UNDP PMU and external consultants
Specific additional Project Activities rated as potentially Moderate, Substantial or High impact with new SESP	SESA/ESIA as appropriate	As required by additional SESPs.	UNDP PMU and external consultants

Management

Ethnic Groups Plan (or Indigenous Peoples Plan)
SES Standard 6 requires that where a project may affect the rights, lands, resources or territories of indigenous peoples, an Indigenous Peoples' Plan (IPP), must be developed, and integrated into the design of the project. Precise locations for downstream activities have not been selected at the current stage of project development, and it is therefore not certain that activities will take place on land claimed or accessed by Ethnic Groups (Indigenous Peoples), or whether Ethnic Groups will be affected.
However, SESP has identified potential impacts to the rights, lands, territories and traditional livelihoods of ethnic groups and impacts on already existing conflicts between them. Around 40 ethnic groups can be identified in Benin and their involvement – especially of the ones that could be most marginalized – must be taken into consideration, for the project to be compliance with UNDP Standard 6.

The project identifies the Ethnic Groups as Indigenous Peoples, based on the UNDP definitions for Indigenous Peoples, especially the following: peoples who tried « to maintain its distinct group identity, languages, traditional beliefs, customs, laws and institutions, worldviews and ways of life ».
Considering the local context, the project requires to adapt the IPP and to develop an Ethnic groups Plan following the Indigenous Peoples Plan (IPP) structure. The Plan will define how best to engage with all the ethnic groups and to ensure they benefit equally from the project's positive impacts.

The ESIA will identify the presence of these peoples for each of the specific PDA, and further assess the nature of the risk(s), including any gender-related issues specific to ethnic groups. Where the potential for such impacts is confirmed through the ESIA, an Ethnic Groups Plan for each PDA will be developed, simultaneously with, and integrated into the ESMP.

The Ethnic Groups Plan for each PDA will enable and map out the communication to take place with affected Ethnic groups throughout the decision-making process, facilitating information exchange during integrated landscape management processes.

The Ethnic Groups Plan will describe how ethnic groups will be involved at all stages of integrated landscape management plan development, and subsequent on-the-ground project activities.

During the project's first year, discussions on upstream elements of the project will include Ethnic Groups representatives and will build upon the initial consultations held with them during the PPG.
As specific landscapes and activities are proposed, further FPIC discussions will take place at grass roots level with affected communities.

The plan for each PDA must be developed within the first project year.

No activities that may affect the rights, customs, lands, resources or territories of Ethnic Groups People will commence without their explicit prior, freely given consent.
An indicative template is appended to the ESMF, outlining the required Ethnic Groups Plan/IPP sections.

Through the Ethnic Groups Plan, the project will:
- Ensure full, effective and meaningful participation of affected indigenous peoples and people belonging to the ethnic groups present in the project area throughout the project cycle.
- Ensure the relations between ethnic groups are identified
- Ensure any conflict already existing between ethnic groups are identified and included and considered in the ESIA and SESA, to ensure the conflicts are not exacerbated by the project interventions and new conflicts are not created in the project area.
- Ensure consultation processes are culturally appropriate and conducted in good faith.
- Ensure consultation, and specifically FPIC processes are exercised collectively by the indigenous peoples concerned, and not by single members.
- Ensure participation of indigenous peoples and people belonging to the ethnic groups present in the project area is gender-inclusive and tailored to the needs of disadvantaged and vulnerable groups.
- Ensure timely access to information.
- Ensure access to a grievance redress mechanism.

→ The Ethnic Groups Plan will identify the mitigation measures for impacts on Ethnic Groups, especially the most marginalized. The Plan can be integrated with SESA report findings and Action Matrix, to ensure the impacts on Ethnic Groups are managed also at upstream activities level.

Scope of Ethnic Groups Plan/IPP – IPP is needed in relation to the following outputs (based on SESP findings):

Outputs	Risks
Component 1	
1.2: National monitoring and reporting systems for tracking climate change vulnerability in the agricultural sector and changes in adaptive capacity, land cover change, degradation, restoration and forest ecosystems, and ecosystem services created	Risk 1, Risk 6, Risk 10
1.5: Training and equipment provided to key agencies (Ministries of Environment, National Geographic Institute, National Agricultural Resource Institute) to improve implementation of climate risk informed and resilient SLM technologies and conservation of production landscapes, with improved coordination and monitoring of climate change impacts, land degradation trends, restoration, and sustainable forest management.	Risk 1, Risk 6, Risk 9
Component 2	

2.1: Integrated land use, landscape restoration, and forest management plans are developed, with climate change scenarios informing risks and selection of adaptation options, and operationalized at target sites	Risk 1, Risk 3, Risk 5
2.2: Degraded lands amounting to at least 15,000 hectares, and at least 15,000 hectares of forest are under climate resilient restoration and functional and sustainable management regimes.	**Principal: Risk 1, Risk 5, Risk 6** Others: Risk 7
2.3: Awareness raising and training of 1,000 national and local government and administration officials (including ATDAs and DGEFC), parliamentarians and representatives of private sector in climate resilient and degradation neutral planning and policies, with focus on agriculture, animal husbandry and forestry, targeting the mainstreaming of CCA and LDN in all policies and administrative decisions.	Risk 1, Risk 6, Risk 9
2.4: Extension services in climate resilient and degradation neutral agriculture, animal husbandry and agroforestry provided to 24,000 farmers and community leaders (50% women), including on climate resilient and degradation neutral cotton production	**Principal: Risk 2, Risk 4** Others: Risk 1, Risk 6
2.5: Strengthened Green Belt infrastructure against the advance of the desert in the north of Benin.	Risk 6
Component 3	
3.1. Five agricultural value chains are identified and assessed according to their potential to deliver multiple local, national and global benefits, including income generation, LDN benefit and enhanced climate resilience within project PDAs	**Principal: Risk 8, Risk 10** Others: Risk 1, Risk 9
3.2: Selected climate resilient and sustainable agricultural and agroforestry practices and market channels are strengthened through investments and extension support for climate resilient agricultural practices, leading to triple-bottom-line benefits, strengthened adaptive capacity of vulnerable communities, job and SMME creation	**Principal: Risk 2, Risk 4 Risk 6, Risk 8, Risk 10** Others: Risk 7, Risk 9
3.3: Local, national, regional and international partnerships established to support and promote 'forest-friendly' and climate resilient income-generating opportunities	Risk 1 Risk 10
3.4: Strengthened cooperatives and farmer organizations and negotiated partnerships with traders and processors	**Principal: Risk 4** Others: Risk 1
Component 4	
4.1: Gender action plan is implemented and guides project implementation	Risk 4
4.2: Participatory M&E and quantification of LDN implementation—including restoration, SFM and SLM actions—as a contribution to national reporting under the UNFCC and other international commitments	Risk 1
4.3: A learning and dissemination network developed and implemented in each of the three PDAs	Risk 1
4.4: National-level communications and public awareness program, incorporating lessons learned by the project, including through participatory M&E and gender empowerment, is developed and implemented at national, regional and international levels	Risk 1 Risk 4

5. **Participation, Consultations and FPIC Processes:**

The ESIA will identify the presence of Ethnic Groups for each of the specific PDA, and further assess the nature of the risk(s), including any gender-related issues specific to ethnic groups. Where the potential for such impacts is confirmed through the ESIA, an Ethnic Groups Plan for each PDA will be developed, simultaneously with, and integrated into the ESMP.

This will include a plan for **culturally appropriate consultation** with the objective of achieving agreement and Free Prior and Informed Consent. Activities that may adversely affect the existence, value, use or enjoyment of customary rights, resources or territories will be avoided, where possible. Where FPIC is determined to be a requirement, consultations will be carried out with the objective of achieving initial consent from the specific rights-holders, as appropriate and in line with Standard 6 requirements. FPIC consultations will be ongoing and followed up during project implementation, following the measures summarized in the ESMF and in the Ethnic Groups Plan that is prepared as follow up to this Ethnic Groups Planning Framework and as part of the subsequent ESMP.

FPIC, for the purposes of the project, is defined as follows:
Free means the process will be self-directed by the customary landholders from whom consent is being sought, unencumbered by coercion, expectations or timelines that are externally imposed.   The process:
- will be free from coercion, bias, conditions, bribery or rewards.
- will ensure that the decision-making structure is determined by stakeholders.
- will give information transparently and objectively.
- meetings and decisions will take place at locations and times and in language and formats determined by the stakeholders; and
- all community members will be free to participate regardless of gender, age or standing.

Prior means that no project activity implementation takes place before a decision by the customary landowners and local communities has been made. The process will ensure that enough time is provided to customary landowners to understand, access, and analyze information on the proposed activities.

Informed: Information will be provided in a manner that is accessible, clear, consistent, accurate, and transparent. It will be:
- delivered in appropriate language and format (including video, graphics, radios, documentaries, photos, etc.),
- given to the landowner communities about their rights as relevant to the project and possible impacts,
- objective, covering both the positive and negative potential of activities and consequences of giving or withholding consent,
- complete, covering the spectrum of potential social, financial, political, cultural, environmental impacts, including scientific information with access to original sources in appropriate language,
- delivered in a manner that strengthens and does not erode indigenous or local cultures.

Consent is:
- made by the customary landowners through their customary decision-making process.
- a freely given decision that may be a "Yes" or a "No", including the option to reconsider if conditions agreed upon are not met, there are changes in the proposed activities or if new information relevant to the proposed activities emerges,
- a collective decision determined by affected people in accordance with their forms of decision making (e.g. consensus, majority, etc.);
- based on full understanding of opportunities and risks associated with the proposed activity,
- given or withheld in phases, over specific periods of time for distinct stages or phases of the project.

Customary landowners' decision-making processes must be respected and allowed to operate in an open and transparent manner. Customary landowners' right to choose how they want to live will be respected and if consent is not given, this shall be respected.
The collective right to give or withhold consent applies to all activities, legislative and administrative measures and policies (and their associated processes and phases) that may directly impact the lands, territories, resources, and livelihoods of the customary landowners. Consent must be sought and granted or withheld according to the unique formal or informal political-administrative dynamic of each community.

FPIC consultations will be comprehensively documented. Ideas, questions and concerns raised by different stakeholders, including related government institutions, NGO, CSOs, and women's groups, private institutions, landholder groups, local village community and/or resource-owners, shall be captured, well documented and shared with the relevant national government agencies.

FPIC Consultations shall be carried out in a culturally appropriate manner, be delivered by culturally appropriate personnel, in culturally appropriate locations, and include capacity building of indigenous or local trainers. Consultations shall be delivered with sufficient time to be understood and verified, and measures must be taken to ensure that consultations reach the most remote, rural customary landowners, women, marginalized and vulnerable and are provided on an on-going and continuous basis throughout the FPIC process.

FPIC procedures will be defined at project inception phase, considering the findings of Stakeholder analysis, prioritization and consultations done during PPG.

The framework for FPIC must ensure the discussion on IP engagement in the implementation processes, including:
- Indigenous peoples engagement in planning, implementation and, monitoring, evaluation and reporting phases of the Project;
- Sustained preservation of IP in decision-making processes, resource management, economic activities and cultural practices;
- Securing free, prior and informed consent of indigenous peoples who will be affected by Project interventions
- Data collection activities undertaken through:
  - Focus Group Discussions (FGDs) among IP-related People's Organizations and/or identified IP community representatives in the areas; and
  - Key Informant Interviews (KIIs) with non-government organizations (NGOs) working with IPs in the areas.

Here below the activities that are required to follow FPIC :

Component 1	Indicative activities
Output 1.1	1.1.3 Assess and strengthen existing cartographic databases of land use, particularly agricultural uses, and associated land degradation and ecosystem services
	1.1.4 Support the development of improved national baseline maps indicating land and forest status and soil fertility, as tools for monitoring LDN (see also Activity 2.2.1)
	1.1.5 Build capacities for effective use of enhanced databases and maps
Output 1.2:	1.2.1 Develop an observatory for monitoring agricultural dynamics and the vulnerability of forest ecosystems, including climate risks, including agreeing on indicators to be monitored
	1.2.2 Pilot testing in three PDAs of an operational system for monitoring agricultural dynamics and the vulnerability of forest ecosystems, based on existing and upgraded cartographic information
	1.2.3 Prepare two biennial national reports (2024 and 2026)
Output 1.4:	1.4.2 Develop a program of SLM and SFM actions at national level with harmonized financing procedures and integration of environmental, economic and social aspects
	1.4.3 Insert an SLM budget line within the mechanism for transferring financial resources to municipalities
Output 1.5:	1.5.2 Carry out multi-criteria SLM assessments, taking into account synergies and comparative advantages on the environment

Component 2	Indicative activities
Output 2.1:	2.1.2 Build capacity for data collection and analysis to support local level planning
	2.1.3 Conclude data sharing agreements amongst sectoral Ministries and national and local organisations
	2.1.4 Develop LDN scenarios and LDN neutrality targets—based on a combination of sustainable land management and restoration actions—and mainstream into emerging PDA Master Plans, with additional details for the participating communes
	2.1.5 Develop and ensure adoption of eight commune-level planning documents—"Schéma directeur d'aménagement de la commune" (SDAC) and "plan de développement communal" (PDC)
	2.1.6 Build validated local plans that are aligned with existing SDACs and PDCs, and that can be easily integrated within the SDACs and PDCs, supported by recognized local governance structure
	2.1.7 Mainstream SLM and SFM into eight commune-level Land Management Plans (PIGUS), including capacity-building strategies
	2.1.8 Update management plans for the classified forests of Sota, Mékrou and Kouandé to include climate change scenarios and adaptation measures and sustainable land management, in line with commune-level plans, along with soil conservation and LDN plans for the classified forests of Alibori Supérieur and Trois Rivières
Output 2.2:	2.2.1 Identify exact locations for land and forest restoration and sustainable management, building on PPG site selection process and incorporating additional mapping work undertaken under 2.1.1, as well as nature of restoration or SLM/ SFM approach
	2.2.2 Provide extension and material support (e.g., equipment, seedlings, compost and other inputs) for conservation and improvement / restoration of cropland and conservation of soil fertility in identified priority locations (see 2.2.1) and in line with plans developed under activities 2.1.2 - 2.1.4 above
	2.2.3 Provide extension and material support (e.g. equipment, seedlings and materials for the plant nurseries) for conservation and improvement / restoration of forest areas and conservation of soil fertility in identified priority locations (see 2.2.1) and in line with plans developed under activities 2.1.5 and 2.1.6 above, including enriching and developing protection series / green belt in the classified forests of Alibori Supérieur, Trois Rivers, Sota, Mékrou and Kouandé with versatile forest species with high tolerance to droughts and floods.
	2.2.4 Protect the banks of the Ouémé, Zou and Couffo river basins against erosion through reforestation of 1,000 hectares of riparian forest using native species with high tolerance to drought and floods, in line with plans developed under Activities 2.1.5 and 2.1.6
	2.2.5 Establish multi-purpose water reservoirs to facilitate access to clean water by, and avoid conflict among, agricultural producers, livestock breeders and migrant and other vulnerable populations
Output 2.3:	2.3.1 Development of capacity building modules and materials, based on international experience, with specific adaptations for conditions in Benin as well as further specifications by PDA, covering: (i) integration of SFM and SLM in projects, business plans, laws and sector strategies; (ii) soil fertilization technologies; (iii) technologies for restoring degraded lands; (iv) approaches to maintaining soil fertility and respecting degradation neutrality standards; (v) Smart agriculture approaches and strengthening resilience of farms and producers; (vi) methods of soil water conservation, (vii) safeguarding farms against risks (infestations, flooding, bush and vegetation fires, etc.); (viii) protection of forests against brush fires; (ix) cultivation technologies and fodder storage; (x) approaches and standards for forest management and the establishment of carbon sinks and protective belts; (xi) techniques for collecting and processing agricultural and forestry seeds; (xii) approaches and production methods of agricultural and forestry plants in a context of climate change, etc.
	2.3.2 Delivery of training modules and materials to at least 1,000 national and local government and administration officials (including ATDAs and DGEFC), parliamentarians and private sector representatives
	2.3.3 Awareness raising seminars, workshops and information materials provided to decision-makers and other officials

Component 2	Indicative activities
Output 2.4:	2.4.1. Strengthen the offer of advisory support services to producers in the agriculture, livestock and agroforestry sectors according to gender and category for the identification and rational use of technical approaches and specific inputs in SLM
	2.4.2. Strengthen supply and distribution mechanisms and devices to improve the availability and accessibility of producers to inputs, materials and equipment necessary for the implementation of SLM and restoration techniques.
Output 2.5:	2.5.1. Disseminate existing technical guidance materials developed by other initiatives (e.g. PROSOL) relating to "Integrated management of soil fertility", "soil and water conservation", "conservation agriculture" and "agroforestry and individual forests"
	2.5.2. Establish at least 200 ha of commercial plantations (150 ha of forest species and 50 ha of forage species)
	2.5.3. Support local communities to establish at least 100 ha of communal and individual fruit plantations
	2.5.4 Promote arboriculture as well as the vegetated delineation based on palm tree, néré and shea tree with good yield
	2.5.5. Promote nurseries for fertilizing plants (mucuna, pigeon pea (cajanus cajan); and Vigna radiata for the restoration of degraded agricultural sites

Component 3	Indicative activities
Output 3.1.	3.1.1 Map the short-listed value chains
	3.1.2 Undertake surveys within potential beneficiary communities to assess preferences among alternative value short-listed chains
	3.1.3 Select five priority value chains, based on pre-determined selection criteria and with reference to PDAs
	3.1.4 Prepare five value chain analyses, including priority measures needed to strengthen. These should include, inter alia: (i) good practices and associated technologies for the storage / conservation and processing of various products (plants, animals, fisheries and forestry, etc.); (ii) the potential contribution of each product / value chain in terms of climate resilience, zero degradation or restorative production and gender-balanced income generation; (iii) specific barriers and opportunities associated with each value chain
	3.1.5 Develop an action plan for strengthening each value chain
Output 3.2:	3.2.1 Deliver training to strengthen agricultural skills related to the selected products, including: (i) techniques for managing soil fertility and (ii) climate-smart agricultural practices
	3.2.2 Improve access to information and to appropriate post-harvest and processing equipment, at different levels of the marketing chain, to help processors better respond to quantitative and qualitative aspects of market demand
	3.2.3 Contribute to the sustainable intensification of production in the selected sectors by supporting the adoption of improved technologies adapted to the needs of farmers, in particular women, and enabling them to better respond to market signals
	3.2.4 Support efforts by cooperatives to strengthen crop processing and storage
Output 3.3:	3.3.1 Develop partnership with micro-financing institutions to increase the flow of financial services (campaign credit, equipment credit, etc.) to encourage adoption of SLM and SFM practices
	3.3.2 Establish partnerships with local communities, NGOs, forest department directorates, and ATDAs to train farmers and ranchers (particularly women), in climate-smart agriculture
	3.3.3 Develop a de-risking mechanism to provide loan guarantees for micro-projects

Component 3	Indicative activities
Output 3.4:	3.4.1 Develop market research and feasibility assessment for new products based on the "Market Analysis and Development (ADM)" approach and in consultation with potential beneficiaries
	3.4.2 Organize initial meetings between buyers and sellers, and trade shows and exchange trips in the West and Central African sub region and / or support the participation of local producer groups (including cooperatives) in such meetings
	3.4.3 Support improved packaging and delivery of new products to market
	3.4.4 Support identification of new business partners for SMEs

Component 4	Indicative activities
Output 4.1	4.1.1 Raise awareness among project stakeholders regarding the goals, activities and objectives of the gender action plan
	4.1.2 Monitoring and adaptive management of implementation of the gender action plan to ensure that it is meeting its objectives
Output 4.2:	4.2.1 Strengthen capacities, particularly among women and young people, to contribute to monitoring and evaluation of interventions for the sustainable management of land and forest ecosystems at the local, municipal and PDA levels (1, 2, and 5)
	4.2.2 Pilot testing of a system of participatory monitoring, review and verification (MRV) of land and forest degradation, integrating climate resilience relevant indices
	4.2.3 Implement a system of monitoring changes in livelihood status for vulnerable people targeted
	4.2.4 Obtain agreement between project stakeholders and sectoral decision makers at the national level on simple indicators, applicable to all sectors, linked to integrated, gender sensitive, sustainable responses to climate change
	4.2.5 Produce reports estimating LDN implementation across the three PDAs, integrating data gathered by participatory and other means
Output 4.3	4.3.1 Monitoring and assessment of project impacts and associated lessons emerging
	4.3.2 Based on project results / demonstrations, develop and implement a training and dissemination plan aimed at women's groups and mixed farmers' organizations to support the further uptake of implementing technologies for the restoration of natural ecosystems, innovation in soil water conservation, etc.
	4.3.3 Develop and disseminate technical guidance on adoption of climate resilient value chains integrating climate risks, to enhance productivity and climate resiliency of targeted value chains and agroforestry systems
	4.3.4 Organize networking sessions to share experiences between the intervention municipalities on the one hand, and other municipalities within the three PDAs
	4.3.5 Strengthen the capacities of women, young people and small producers in the management of digital tools (financial, digital education, e-commerce, etc.) for better climate resilience
	4.3.6 Organize exchange trips / visits between PDAs and capacity building for the benefit of stakeholders on SLM/SFM
Output 4.4	4.4.1 Develop a national information, education and communication (IEC) plan targeting all relevant actors, including, inter alia: (i) educational materials in order to increase knowledge and awareness among educators and to encourage teaching sessions in secondary schools and universities on Land Degradation Neutrality and climate change resilience; (ii) an inclusive dialogue platform between scholars, customary and religious

Component 4	Indicative activities
	authorities, vulnerable groups and representatives of sectoral ministries around the inclusive management of natural ecosystems for climate resilience and LDN
	4.4.2 Produce gender-sensitive communications and public awareness materials, e.g. leaflets, posters, flyers, brochures, summaries, videos, local radio spots, phone app, etc.)
	4.4.3 Conduct briefings with target groups on project experience, as well as best practices and lessons learned, on topics such as gender and LDN, climate change resilience, etc
	4.4.4 Organize a series of physical and virtual exchanges—e.g. visits, workshops, knowledge products—with counterpart project team and stakeholders in neighboring Togo

FPIC Consultations started during PPG:

During PPG FPIC has been included in the consultations done by the national consultants during the field visit (May 2021). Field visit, stakeholder consultations and data collection have been planned with the support of the international consultants.

The FPIC has been included especially in the consultations done by the Expert on Livelihoods, under the framework of the preparatory technical studies and analyses.

The Expert on Livelihoods focused on:

• Conduct consultations with communities in the project sites to assess the level of understanding and capacity to give consent and identify community preferences for the FPIC process in close association with the Social and Environmental Safeguards expert; based on these assessments and where appropriate, integrate relevant issues as required, including FPIC, into the project design and overall Stakeholder Engagement Plan.

• Support stakeholder analysis and stakeholder consultations, ensuring that consultations are complete and comprehensive, in accordance with FPIC requirements (under the direction of the International Safeguards Consultant) whenever necessary.

• Following the measures recommended by UNDP SES Standard 5, assess the likelihood of economic displacement occurring if changes in local communities' livelihoods occur as a result of the project's recommended socio-economic measures (this should be done in consultation with local stakeholders and included as one of the elements of the livelihoods assessment and FPIC process); based on the findings, draft indication for the development of livelihoods action plans (if will be needed) consistent with the UNDP SES.

6.   **Appropriate Benefits:**

Here below a table summarizing the project's outputs and related potential benefits that would be further tailored to preferences of potentially affected persons through meaningful consultations, consent processes, benefit sharing agreements, etc.

Outputs	Potential benefits	Risks
Component 1		
1.1 National centralized LDN database created within the MCVDD with a link to global monitoring of restoration and LDN	The SESA will identify how the different ethnic groups are involved at upstream activities level. Outputs under project component 1 can facilitate the participation to the project of ethnic groups, including the ethnic minorities. The project can facilitate the rights of expression of the most marginalised groups and can increase their ownership on processes regarding climate change vulnerability.	Risk 1
1.2: National monitoring and reporting systems for tracking climate change vulnerability in the agricultural sector and changes in adaptive capacity, land cover change, degradation, restoration and forest ecosystems, and ecosystem services created		Risk 1 Risk 6 Risk 10
1.3 The National Committee to Combat Desertification is strengthened for enhanced ownership and capacity of national authorities to address expected scenarios of climate change hazards and sensitivity		Risk 6
1.4: National environmental funding mechanisms integrate CCA and LDN objectives, strengthened governance mechanisms and have enhanced capacity to mobilize and manage relevant funding		Risk 1
1.5: Training and equipment provided to key agencies (Ministries of Environment, National Geographic Institute, National Agricultural Resource Institute) to improve implementation of climate risk informed and resilient SLM technologies and conservation of production landscapes, with improved coordination and monitoring of climate change impacts, land degradation trends, restoration, and sustainable forest management.		Risk 1 Risk 6 Risk 9
Component 2		
2.1: Integrated land use, landscape restoration, and forest management plans are developed, with climate change scenarios informing risks and selection of adaptation options, and operationalized at target sites	New opportunities given by the restoration of land and forest	**Principal: Risk 1 Risk 3**

	ecosystems for improved agricultural productivity and prevention of deforestation can enhance the role and the expertise of ethnic groups and create new opportunities to enhanced climate resilience of ethnic groups, especially of the most marginalized.	**Risk 5**
2.2: Degraded lands amounting to at least 15,000 hectares, and at least 15,000 hectares of forest are under climate resilient restoration and functional and sustainable management regimes.		**Principal:** **Risk 1** **Risk 5** **Risk 6** Others: Risk 7
2.3: Awareness raising and training of 1,000 national and local government and administration officials (including ATDAs and DGEFC), parliamentarians and representatives of private sector in climate resilient and degradation neutral planning and policies, with focus on agriculture, animal husbandry and forestry, targeting the mainstreaming of CCA and LDN in all policies and administrative decisions.		Risk 1 Risk 6 Risk 9
2.4: Extension services in climate resilient and degradation neutral agriculture, animal husbandry and agroforestry provided to 24,000 farmers and community leaders (50% women), including on climate resilient and degradation neutral cotton production		**Principal:** **Risk 2** **Risk 4** Others: Risk 1 Risk 6
2.5: Strengthened Green Belt infrastructure against the advance of the desert in the north of Benin.		Risk 6
Component 3		
3.1. Five agricultural value chains are identified and assessed according to their potential to deliver multiple local, national and global benefits, including income generation, LDN benefit and enhanced climate resilience within project PDAs	Diversified income-generating activities and value chains can involve ethnic groups and can be built respecting their approaches and methods on agricultural and agroforestry practices. Community resilience to climate change can be strengthened considering traditional practices of ethnic groups, including the most vulnerable.	**Principal:** **Risk 8** **Risk 10** Others: Risk 1 Risk 9
3.2: Selected climate resilient and sustainable agricultural and agroforestry practices and market channels are strengthened through investments and extension support for climate resilient agricultural practices, leading to triple-bottom-line benefits, strengthened adaptive capacity of vulnerable communities, job and SMME creation		**Principal:** **Risk 2** **Risk 4** **Risk 6** **Risk 8** **Risk 10** Others: Risk 7 Risk 9
3.3: Local, national, regional and international partnerships established to support and promote 'forest-friendly' and climate resilient income-generating opportunities		Risk 1 Risk 10
3.4: Strengthened cooperatives and farmer organizations and negotiated partnerships with traders and processors		**Principal:** **Risk 4** Others: Risk 1
Component 4		
4.1: Gender action plan is implemented and guides project implementation	Gender component can be integrated with diversity component and can enhance the role of women belonging to different ethnic groups. Participatory M&E and lessons learn can build the ownership of different ethnic groups	Risk 4
4.2: Participatory M&E and quantification of LDN implementation—including restoration, SFM and SLM actions—as a contribution to national reporting under the UNFCC and other international commitments		Risk 1
4.3: A learning and dissemination network developed and implemented in each of the three PDAs		Risk 1
4.4: National-level communications and public awareness program, incorporating lessons learned by the project, including through		Risk 1 Risk 4

participatory M&E and gender empowerment, is developed and implemented at national, regional and international levels	on climate resilience practices, built on traditional practices.	

7. **Grievance Redress:**

As described in this ESMF, UNDP's SES recognize that even with strong planning and stakeholder engagement, unanticipated issues can still arise. Therefore, the SES are underpinned by an Accountability Mechanism with two key components:

3. A Social and Environmental Compliance Review Unit (SECU) to respond to claims that UNDP is not in compliance with applicable environmental and social policies; and

4. A Stakeholder Response Mechanism (SRM) that ensures individuals, peoples, and communities affected by projects have access to appropriate grievance resolution procedures for hearing and addressing project-related complaints and disputes.

UNDP's Accountability Mechanism is available to all of UNDP's project stakeholders, including Indigenous Peoples or Ethnic Groups.
The Social and Environmental Compliance Unit (SECU) investigates concerns about non-compliance with UNDP's Social and Environmental Standards and Screening Procedure raised by project-affected stakeholders and recommends measures to address findings of non-compliance.
The Stakeholder Response Mechanism helps project-affected stakeholders, UNDP's partners (governments, NGOs, businesses) and others jointly address grievances or disputes related to the social and/or environmental impacts of UNDP-supported projects.
Further information, including how to submit a request to SECU or SRM, is found on the UNDP website at: http://www.undp.org/content/undp/en/home/operations/accountability/secu-srm/
Project will establish a Project Level Grievance Redress Mechanism (GRM) within the first six months of the project, in order to receive and facilitate resolution of any complaints and grievances. The GRM will be established at the three project sites and at the national level in Cotonou to address grievances that are escalated to higher levels. Information about the GRM will be widely disseminated, and a system for tracking complaints will be established. Interested stakeholders may raise a grievance at any time to the Project Management Unit, UNDP or the GEF.
During project implementation, interested stakeholders may raise a grievance at any time to the Project Management Unit (PMU), to the Executing Agency (Ministry of the Living Environment and Sustainable Development (MCVDD) or to the Implementing Agency (UNDP).
Due diligence efforts will be made by the local project representatives to first resolve grievances locally, in a manner sensitive to local social and cultural norms, especially for vulnerable ethnic groups. If the local process does not result in resolution of a grievance, the case will be upgraded to the PMU, with the process managed by the Project Manager providing guidance and signing off on written responses to grievances.
The UNDP Country Office, as the Implementing Agency, will be the next reference for resolving grievances if the case is not resolved at the local level or by the Executing Agency.
The Resident Representative will identify a member of the Country Office management team to oversee and manage the grievance through the UNDP Stakeholder Response Mechanism (SRM).
The SRM ensures individuals, peoples, and communities affected by projects have access to appropriate grievance resolution procedures for hearing and addressing project-related complaints and disputes.

8. **Institutional arrangements:**

Roles and responsibilities for implementing this IPPF
The roles and responsibilities of project staff and associated agencies in the implementation of this IPPF is as follows. This IPPF does not cover the roles and responsibilities associated with implementation of the subsequent Ethnic Group Plan for each PDA; those will be defined for each management plan that is developed within the first project year, as required per this IPPF.

The responsibility for IPPF implementation belongs to the Project Management Unit (PMU), who will monitor the compliance of the project against the IPPF. It will highlight potential safeguard-related issues and, if necessary, implement additional assessments, risk mitigation measures and/or management. It will conduct

site visits during the Stakeholder Engagement Plan and IPPF implementation, review and report progress made, and be responsible that the project is implemented in accordance with the social and environmental requirements included in the IPPF and ESMF and the other Safeguards documents.

An important part of the monitoring will be to discuss with stakeholder who are affected by the project their perception on the project and its positive and negative impacts.

Roles and responsibilities of Implementing Partner and Project Board/Steering Committee for IPPF Implementation:

- Ensure that the required assessment (ESIA/SESA) and assessment report and the required Ethnic Groups Plans are developed, disclosed for public consultation and approved, and management measures are adopted and integrated during project implementation.
- Approve and supervise the work of a Safeguards Expert to implement the Ethnic Groups Plans, and any other safeguards-related personnel deemed necessary once the ESIA/SESA and resultant plans are developed has been prepared.
- Report, fairly and accurately, on project progress against agreed work plans in accordance with the reporting schedule and required formats.
- Maintain documentation and evidence that describes the proper and prudent use of project resources in conformity to the signed Project Document and in accordance with applicable regulations and procedures (e.g. SES).
- Ensure all requirements of UNDP's SES and national regulatory/policy frameworks and relevant international standards have been addressed.
- Hold responsibility and accountability to UNDP for overall management of the project, including compliance with UNDP SES.
- Monitor implementation of the Ethnic Groups Plans and compliance with national and international regulations, and UNDP social and environmental standards.
- Decision making for the adoption of necessary measures including full integration of management measures within project Outputs and annual work plans.
- Establish and support GRM mechanism to address any grievances, ensuring to include Indigenous Peoples/Ethnic Groups.

The Project Board will have the final responsibility for the integration of Ethnic Groups Plans in the execution of the project. The integration of those plans will need to consider institutional needs within the implementation framework for application of these plans, including a review of the required budget allocations for each measure.

UNDP responsibility for IPPF Implementation:

- Provide oversight on all matters related to safeguards.
- Inform all the stakeholders and right-holders involved in, or potentially impacted, positively or negatively, by the GEF-financed projects, about the UNDP's corporate Accountability Mechanism.
- Ensure that the Compliance Review and the Stakeholder Response Mechanisms are operational during the lifetime of the projects.
- Ensure adhere to the SES for project activities implemented using funds channelled through UNDP's accounts, and undertake appropriate measures to address any shortcomings.
- Verify and document that all UNDP SES requirements have been addressed.
- Provide technical guidance on implementation of the Ethnic Groups Plans and administrative assistance in recruiting and contracting expert safeguards services (as required), and monitor adherence of the project to the ESMP and UNDP policies and procedures.

Project Management Office/Project Management Unit responsibility for IPPF Implementation:

- Supervise and manage implementation of measures defined in the Ethnic Groups Plans (including specifically the implementation of the FPIC procedures and GRM) evolving from the ESIA.
- Assign specific responsibilities for implementation of the Ethnic Groups Plans, including monitoring, and community consultations on the draft management plans to a staff member(s) of the PMO/PMU.
- Maintain relevant records associated with management of environmental and social risks, including updated SESPs, impact assessments, a log of grievances together with documentation of management measures implemented.

- Report to the Implementing Partner, the Project Board, UNDP CO on the implementation of the Ethnic Groups Plans.
- Ensure that all service providers are informed of their responsibilities for the day-to-day compliance with the ESMP.
- Provide strategic advice and guidance on implementation of the Project including oversight for safeguards and the implementation of the Ethnic Groups Plans.

Roles and responsibilities in the implementation of the Ethnic Groups Plans will be defined and integrated, as appropriate, as part of the participatory decision making and routine implementation of the project.

Capacity Building
At least one specialist (or contractual services) with relevant expertise in social and environmental safeguards will be engaged to support the completion of the ESIA and SESA and the subsequent development of the Ethnic Groups Plans.
This expertise, and others if engaged later, will offer an induction session for the Project Management Unit/Project Management Office and implementing partners on safeguards responsibilities and approaches.
The UNDP-GEF Unit will provide advice to project teams as needed to support the implementation of this IPPF and the preparation, implementation and monitoring of social and environmental management plans/measures.
The integration of those plans will need to consider institutional needs within the implementation framework for application of the Ethnic Groups Plans, including a review of the required budget allocations for each measure, as well as the authority and capability of institutions at different administrative levels (e.g. local, regional, and national), and their capacity to manage and monitor Ethnic Groups Plans implementation.
Where necessary, capacity building and technical assistance activities will be included to enable proper implementation of the Ethnic Groups t Plans.

9. **Monitoring and reporting**:

UNDP monitors and evaluates its overall performance against the objectives and requirements of the Social and Environmental Standards.
Monitoring is integrated with UNDP's Quality Assurance reporting system and Risk Register.
The extent of monitoring activities is commensurate with the programme's or project's risks and impacts.
UNDP requires that:
- the progress of implementation of mitigation/management plans required by the SES is monitored,
- complaints/grievances are tracked and monitored.
- follow-up on any identified corrective actions is tracked.
- any required monitoring reports on SES implementation are finalized and disclosed.

Monitoring and reporting will include data disaggregated by categories of potential beneficiary and/or affected groups and include specific gender indicators.
Monitoring and Evaluation process for IPPF will engage and involve stakeholders and third parties identified in the Ethnic Groups Plans to complement or verify monitoring activities.
Based on the monitoring results, any necessary corrective actions are undertaken.
UNDP and stakeholders are to be promptly notified of any incident or accident related to the project activities that has had (or is likely to have) significant adverse impacts on people or the environment. Immediate measures are undertaken to address and remedy the incident or accident, and to prevent any recurrence.
Periodic reports are provided to the affected communities that describe progress with implementation of project management and action plans and on issues that the consultation process or grievance mechanism has identified as a concern. Any material changes or additions to the mitigation measures or actions plans are communicated to affected communities. Reports are provided every year and specific reporting initiatives will be identified by the PMU when needed.

Monitoring activities will:
- Serve the purpose of learning for future improvement and be flexible and adaptable.
- Balance quantitative and qualitative assessment.

- Use participatory tools that include target group narratives, especially women's narratives, which are crucial.
- Track and assess reversals and capture negative impacts of a project.
- Assess contribution to change instead of attribution-based frameworks.
- Be tailored to timeframes to ensure realistic measurement and reporting.

Monitoring Activity & Relevant Projects	Description	Frequency / Timeframe	Expected Action	Roles and Responsibilities
Track progress of IPPF implementation	Implementation of this IPPF with results reported to the Project Board on an annual basis	Quarterly (until Ethnic Groups Plans are in place)	Required IPPF steps are completed in a timely manner.	Safeguards Specialist
Implementation of mitigation measures and monitoring of potential impacts identified in impact assessment(s) and per the subsequent Ethnic Groups Plans	Permanent and participatory implementation and monitoring of impacts and mitigation measures, in accordance with Ethnic Groups Plans (to be prepared together with impact assessments)	Continuous, once ESIA/SESA is completed and Ethnic Groups Plans are in place	Implementation of Ethnic Groups Plans; participatory monitoring of impact assessment findings (i.e. identifying indicators, monitoring potential impacts and risks); integration of Ethnic Groups Plans into project implementation strategies. Monitoring of environmental and social risks, and corresponding management plans as relevant (tendered to national institute, local consultant, CSO or service provider)	Project Coordinator, Safeguards Specialist, PMU, oversight by UNDP CO, Project Board
Development of one Ethnic Groups Plan for each PDA	Drafted in a participatory manner, commencing as soon as project-affected indigenous communities are identified.	Within first project year.	Detailed procedures for the implementation of FPIC are established, and incorporated into impact screening, assessment and management procedures and the Ethnic Groups Plans.	External service providers (environmental and social) With guidance from UNDP, Project Manager, and Project M&E/Safeguards Specialist
Learning	Knowledge, good practices and lessons learned regarding social and environmental risk management will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project.	At least annually	Relevant lessons are captured by the project teams and used to inform management decisions.	Project Coordinator
Annual project quality assurance	The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project	Annually	Areas of strength and weakness will be reviewed and used to inform decisions to improve project performance	UNDP CO, Safeguards Specialist, with support from Project Coordinator and from a Gender consultant
Review and make course corrections	Internal review of data and evidence from all monitoring actions to inform decision making	At least annually	Performance data, risks, lessons and quality will be discussed by the Project Board and used to make course corrections	Project Board
Annual project implementation reports	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	Updates on progress of IPPF/Ethnic Groups Plans will be reported in the project's annual PIRs. A summary of the avoidance and mitigation of potential social and environmental impacts will be included in the program annual report, sharing best practices and lessons learned across the program.	UNDP CO, UNDP-GEF RTA, Project Coordinator
Project review	The Project Board will consider updated analysis of risks and recommended risk mitigation measures at all meetings	At least annually	Any risks and/ or impacts that are not adequately addressed by national mechanisms or project team will be discussed in Project Board. Recommendations will be made, discussed and agreed upon.	Project Board, Project Coordinator

10. **Budget and Financing:**

IPPF provides

- an implementation schedule for measures that must be carried out as part of the project.
- the capital and recurrent cost estimates and sources of funds for implementing the Ethnic Groups Plans. 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.

Implementation Schedule

ESMF - Activities	Y1/1	Y1/2	Y2/1	Y2/2	Y3/1	Y3/2	Y4/1	Y4/2	Y5/1	Y5/2	Y6/1	Y6/2
ESIA	X											
SESA	X											
SESP site and activity specific	X											
Ethnic Groups Plans	X											
IPPF Monitoring	X	X	X	X	X	X	X	X	X	X	X	X
Stakeholder consultation for IPPF M&E and update		X		X		X		X		X		X
Project Steering Committee meeting for Safeguards M&E		X		X		X		X		X		X

Funding for implementation of the IPPF is included in the ESMF budget and in the Project budget. The estimated costs are indicated in Table below. Costs associated with the time of Project Management Unit Staff coordinating the implementation of this ESMF or UNDP support are not shown.

Breakdown of project level costs for Ethnic Groups Planning Framework implementation

Description	Cost, USD
Preparing Ethnic Groups Plans	
International Safeguards expert	10,000
Travel expenses and DSA	2,000
Sub-total:	**12,000**
Monitoring and evaluation of the implementation of the Ethnic Groups Plans:	
International safeguards expert (advisory support)	5,000
Safeguards / M&E Consultant(s)	5,000
Travel expenses and DSA	2,000
Sub-total:	**12,000**
TOTAL:	**24,000**

- **ANNEX 2: INDICATIVE OUTLINE OF ENVIRONMENTAL AND SOCIAL IMPACT ASSESSMENT (ESIA)**

An ESIA report should include the following major elements:

- **Executive summary:** Concisely discusses significant findings and recommended actions.
- **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.
- **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).
- **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.
- **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:
    - *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.
    - *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.
- **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.
- **Mitigation Measures:** 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.

- **Stakeholders.** Summarizes and links to project Stakeholder Engagement Plan or ESMP that includes plan for consultations. Includes summary of consultations undertaken for development of ESIA (see appendices).
- **Conclusions and Recommendations:** Succinctly describes conclusion drawn from the assessment and provides recommendations. Includes recommendation regarding the project's anticipated benefits in relation to its social and environmental risks and impacts.
- **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.

→ As indicated in this ESMF, ESIA will include a focus on Conflict Analysis and Assessment.
With the effective and meaningful participation of the affected peoples, the Conflict Assessment shall be elaborated and contain provisions addressing, at a minimum, the substantive aspects of the following outline:

1. The main groups involved in already existing conflicts, especially the ones related to access to land and other natural resources
2. The main reasons of the existing conflicts
3. The power relations between groups or individuals who are involved in the project or are impacted by project's activities
4. The perception of conflicts of the stakeholders, especially of vulnerable groups
5. The conflict resolutions mechanism already in use in the Country
6. The main impacts (both positives and negatives) the project can have on the existing conflicts
7. The main actions that can be implemented as mitigation measures of possible negative impacts and as measures to enhance positive impacts.

→ A community mapping will be included in the ESIA to ensure the communities' perception of the landscape and of the natural resources is taken into consideration and will inform the ESMP

- **ANNEX 3: INDICATIVE OUTLINE OF STRATEGIC ENVIRONMENTAL AND SOCIAL ASSESSMENT (SESA)**

For Substantial and High Risk projects, UNDP requires that all relevant requirements of the UNDP Social and Environmental Standards (SES) be addressed during the SESA process, including stakeholder engagement and disclosure of information.

A key strength of SESA is that it combines analytical and participatory approaches in an iterative fashion, strengthening understanding of and potential support for desired policy reforms and outcomes. The SESA helps governments formulate policies, plans, and programmes in a way that reflects inputs from key stakeholder groups and addresses the key social and environmental issues identified. Through this process, social and environmental opportunities and desirable outcomes are identified and agreed on in an effort to ensure that the chosen strategies and actions will be sustainable and contribute to the country's development objectives.

SESA should be applied at the early stages of decision to help assess whether policies, plans and programmes may give rise to potential adverse social and environmental effects.

Although the steps and format of a SESA will vary depending on the method and topic, key stages for carrying out a SESA would typically include:

- **Establishing the context:**
  - **Background description of policy, programme or plan (PPP):** SESA concisely describes the proposed policy, programme or plan (PPP) and its social and environmental context. Where relevant, the geographic area of influence of proposed PPP is described.
  - **Design of SESA process.** SESA involves an iterative process of analysis and consultation with stakeholders (see below). Key principles and objectives of the SESA are described. Diagnostic processes/outputs are identified. SESA design process should include a consultation with stakeholders on the ToR to promote agreement on issue prioritization and process steps.
  - **Development of stakeholder engagement plan.** A stakeholder analysis maps the actors most affected by the proposed PPP, with attention to obstacles to stakeholder engagement and representation. The Plan should establish an institutional structure that ensures meaningful participation in decision-making concerning relevant strategic issues and activities. A consultation process should clearly indicate sequenced milestones to ensure an informed participatory approach (e.g. consultation meetings, workshops, information sharing and reporting. The plan outlines public communication and information disclosure requirements and also includes a description of effective processes for receiving and addressing stakeholder concerns and grievances regarding the PPP's social and environmental issues and performance.
- **Undertaking the needed analysis and implementing the SESA in dialogue with appropriate stakeholders, including assessing potential risks and impacts**:
  - **Baseline data.** Collect and assess the baseline data that is relevant to decisions about design, operation, or mitigation measures of proposed PPP; 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 activities that may affect implementation of proposed PPP.
  - **Policy, legal, and institutional capacity analysis.** SESA assesses the adequacy of the applicable legal and institutional framework for the proposed PPP, including (a) the country's applicable policy framework, national laws and regulations, and institutional capabilities relating to social and environmental issues related to the PPP; obligations of the country directly applicable to the PPP under relevant international treaties and agreements; (b) applicable requirements under UNDP's SES; and (c) other relevant social and environmental standards and/or requirements, including those of any other donors and development partners. Compares the existing social and environmental framework and applicable requirements of UNDP's SES (and those of other donors/development partners) and identifies any potential gaps that will need to be addressed.
  - **Anticipated social and environmental risks and impacts.** SESA predicts and assesses the programme, plan or policy's likely positive and negative risks and impacts and their distribution, in

quantitative terms to the extent possible. The analysis identifies mitigation measures and any residual adverse impacts that cannot be mitigated. It explores opportunities for social and environmental enhancement and specifies topics that do not require further attention.

- o **Analysis of alternatives.** SESA systematically compares feasible alternatives to the proposed policy, programme, or plan, technology, design, and operation – including the "without" situation – in terms of their potential environmental and social impacts; the feasibility of mitigating these impacts; their capital and recurrent costs; their suitability under local conditions; and their institutional, training, and monitoring requirements. For each of the alternatives, SESA quantifies the social and environmental impacts of each alternative to the extent possible and attaches economic values where feasible. States the basis for selecting the particular PPP design.
- o **Environmental and social management framework (ESMF).**

- **Informing and influencing decision making through recommendations and requiring needed management plans to mitigate potential adverse risks and impacts:**
  - o **SESA Report and Recommendations.** Preparation of a concise report that summarizes (a) main findings and results of SESA, including (a) SESA stakeholder engagement process; (b) key social and environmental priorities and issues associated with chosen PPP; (c) institutional arrangements for coordinating integration of social and environmental issues into chosen PPP; (d) legal, regulatory, policy, institutional and capacity recommendations to address any identified gaps for managing the social and environmental priorities and implementing applicable social and environmental policies; (e) results of assessment of social and environmental risks/impacts associated with the implementation of PPP; (f) identification of measures (e.g. policies, institutional strengthening, governance reform) to address and manage anticipated adverse social and environmental risks and impacts, including a summary Action Matrix (see Table A2.1 below for indicative outline); and (g) where applicable, final or advanced draft of ESMF as framework for managing social and environmental risks during implementation of PPP related activities and/or policies/regulations.

- **Monitoring and evaluation**
  - o **Monitoring.** SESA specifies how implementation of the SESA recommendations (and, where applicable, the ESMF) will be monitored and evaluated by partner. The extent of monitoring activities will be commensurate with the risks and impacts associated with implementation of the PPP. Progress on implementation of any required mitigation/management plans is monitored; complaints/grievances are tracked and monitored; follow-up on any identified corrective actions is tracked; and (iv) any required monitoring reports are finalized and disclosed.

Generic checklist for preparing/reviewing SESAs (all types)

Principles and Scope

- Have adequate principles, criteria and indicators been defined for the SESA?
- Has the spatial and temporal scope of the SESA been adequately defined?
- Is there a need/opportunity for donor co-ordination in the conduct of the SESA?
- Have alternatives (to the proposed PPP) been identified and considered?
- Does/would the SESA address the requirements of UNDP's SES?

Linkage to other strategies, policies and plans

- Have all relevant strategies, policies and plans – at national to local levels – been reviewed (e.g. PRS, MDG-based strategy, district plan) and is the assessed PPP supportive of and consistent with their goals? Have any conflicts been taken into account in the design of the proposal?

Effects

- Have the potential direct, indirect and cumulative negative and/or positive effects (short-, medium- and long-term; environmental and social) of the proposed PPP been predicted and analysed?
- Have relevant, specific measures been identified and included to counteract/mitigate these? Alternatively, is it made clear how other national policies/programmes are mitigating the potential negative effects?
- Is there potential for enhancing positive effects? Have these opportunities been maximised?
- Has the quality of the assessment been independently reviewed?

Stakeholder engagement

- Have all relevant stakeholders had an opportunity to engage in the SESA process and to identify potential impacts and management measures?
- In particular, have the views of civil society, particularly affected communities, been included? What has been their influence in the development of the proposed PPP?

Capacity

- Is there sufficient capacity within institutions and agencies, at national and sub-national levels, to implement the specific PPP (e.g. to enable them to apply an environmental and social management framework for sub-elements); and to manage, regulate and be accountable for use of natural resources? How can these institutions be strengthened?
- Is there an institutional framework to manage social and environmental impacts and major environmental resource policy and potential institutional failures?
- Is the social and environmental policy framework and legislative authority in place to respond to significant problems that might arise?

Influence of SESA

- Are there specific points where the SESA can have influence over PPP decisions or design?

Data, information and monitoring

- Are there significant data and information deficiencies and gaps? How can these be filled?
- Are measures proposed for monitoring? Are these clear, practicable and linked to the indicators and objectives used in the SESA? Are responsibilities clear?

Source: adapted from OECD-DAC, Applying Strategic Environmental Assessment, p. 70

Table A2.1. Indicative sample of an action matrix for summarizing SESA recommendations, including measures to address anticipated social and environmental risks and impacts

Strategic Priority 1

Example: Enhance community participation and benefits in sector X

Priority reform area	Short term actions (1-2 years)	Short term monitorable outcomes	Medium-term actions (3-5 years)	Medium-term monitorable outcomes	Long-term actions (> 5 years)	Final outcomes
Women's participation and employment in sector X	Establish mechanisms to enhance women's participation in local government and in negotiations involving companies in sector X	Increase participation in negotiations Increase in female employment Female participation in training programmes	Awareness programs for women's rights Refine and strengthen mechanisms for women's participation	Significant increase in female employment and training programmes	Reformed procedures for promoting women's participation in local and regional development	Gender differences significantly reduced in sector X and local and regional development processes
Community disputes with companies in sector X	Establish a dispute resolution mechanism on social and environmental issues that is accessible to community	Disputes between companies in sector X and local communities resolved more speedily with less conflict	Strengthen ability of community representatives in use of mediation to resolve disputes Strengthen ability of local governments and community representatives to investigate and motivate legal procedures against companies in sector X with poor social and environmental performance	Increase percentage of satisfactory settlements Time taken to settle disputes declines	Extend and adapt dispute resolution system to other industries associated with the sector X	Disputes reduced and managed effectively

- **ANNEX 4: INDICATIVE OUTLINE OF ENVIRONMENTAL AND SOCIAL MANAGEMENT PLAN (ESMP)**

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

- **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).
- **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.
- **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.
- **Stakeholder Engagement:** Summarizes and links to project Stakeholder Engagement Plan or 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; and (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. Require documentation of consultations (summaries including presentations, key points raised and responses provided, participation lists). Include information on project grievance mechanism (below) and on UNDP Accountability Mechanisms (SRM, SECU).
- **Grievance redress mechanism:** Describes effective processes for receiving and addressing stakeholder concerns and grievances regarding the project's social and environmental performance. Describe mechanisms to provide stakeholders and potential affected communities avenues to provide feedback or grievances, and receive responses, with regard to the implementation of specific activities, policies, or regulations.
- **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.

- Aɴɴᴇx **5**: Lɪᴠᴇʟɪʜᴏᴏᴅ Aᴄᴛɪᴏɴ Pʟᴀɴ Tᴇᴍᴘʟᴀᴛᴇ **(LAP)**

A Livelihood Action Plan (LAP) 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.

The LAP covers the following elements:

- **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
- **Minimizing Displacement**
  - Describe the justification for the displacement. Please also discuss alternative project designs, including the "no project" scenario and if they may have avoided or reduced the resettlement.
  - 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.
- **Census and Socioeconomic Surveys/Social Baseline**
  - 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. Be precise about the land titles or the lack thereof in the social baseline. Conduct a vulnerability assessment and outline what determines vulnerability (i.e. which criteria need to be met to consider someone vulnerable)
- **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 and highlight any potential conflicts e.g. between UNDP's SES and national or regional law
  - 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
- **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. Provide evidence of past consultation events, such as participation lists, photos and reports.
  - 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.

- o 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.
- o Give calculations relating to land and resource availability
- o 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.
- o Provide detailed description of the arrangements for site development for agriculture, including funding of development costs
- o 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.

- **Income Restoration**
  - o Are compensation entitlements sufficient to improve livelihoods and income streams for each category of impact? Attach independent review of opportunities to enhance incomes/livelihoods. What additional economic rehabilitation measures are necessary?
  - o Briefly spell out the restoration strategies for each category of impact and describe their institutional, financial, and technical aspects
  - o Describe the process of consultation with affected populations and their participation in finalizing strategies for income restoration
  - o How do these strategies vary with the area of impact?
  - o Provide a transparent methodology/formula that is understandable to project-affected people and can be verified for each case.
  - o 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?
  - o How are the risks of impoverishment to be addressed?
  - o What are the main institutional and other risks for the smooth implementation of the resettlement programs?
  - o Describe the process for monitoring the effectiveness of the income enhancement/restoration measures
  - o 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?

- **Institutional Arrangements**
  - o 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
  - o 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
  - o Identify the agency that will coordinate all implementing agencies. Does it have the necessary mandate and resources?
  - o Describe the external (non-project) institutions involved in the process of income restoration (land development, land allocation, credit, training) and the mechanisms to ensure adequate performance of these institutions
  - o Discuss institutional capacity for and commitment to displacement
  - o 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

- **Implementation Schedule**
  - o 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
  - o Prepare a month-by-month implementation schedule of activities to be undertaken as part of resettlement implementation
  - o Describe the linkage between resettlement implementation and initiation of civil works for each of the project components

- **Participation and Consultation**
  - Describe the various stakeholders
  - Describe the process of promoting consultation/participation of affected populations and stakeholders in resettlement preparation and planning. Be specific about which kinds of documentation will have to be collected (photos, reports, attendance lists, etc.)
  - 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
- **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 how the mechanism ensured unrestricted access, transparency, accountability, how it documents cases and keeps the complainants informed and the institutional setup.
  - Describe the mechanism for appeal
  - Describe the provisions for approaching civil courts if other options fail
- **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
- **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

o   Evidence of prior informed consent for indigenous peoples and tribal communities

- **ANNEX 6: INDICATIVE OUTLINE OF INDIGENOUS PEOPLE PLAN/ETHNIC GROUPS PLAN (IPP)**

The Ethnic groups Plan will be developed as Indigenous Peoples Plan.

If the proposed project may affect the rights, lands, territories or resources 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.

Where the specific project activities, subprojects and/or locations are not yet defined and will be prepared during project implementation, an Ethnic Groups Planning Framework (as IPPF) is to be utilized.

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:

- **Executive Summary**: Concisely describes the critical facts, significant findings, and recommended actions
- **Description of the Project**: General description of the project, the project area, and components/activities that may lead to impacts on indigenous peoples
- **Description of Indigenous Peoples**: A description of affected indigenous people(s) and their locations, including:
  - o   description of the community or communities constituting the affected peoples (e.g. names, ethnicities, dialects, estimated numbers, etc.);
  - o   description of the lands, territories and resources to be affected and the affected peoples connections/ relationship with those lands, territories and resources; and
  - o   an identification of any vulnerable groups within the affected peoples (e.g. uncontacted and voluntary isolated peoples, women and girls, persons with disabilities, elderly, others).
- **Summary of Substantive Rights and Legal Framework:** A description of the substantive rights of indigenous peoples and the applicable legal framework, including:
  - o   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);
  - o   Analysis as to whether the project involves activities that are contingent on establishing legally recognized rights to lands, territories or resources that indigenous peoples have traditionally owned, occupied or otherwise used or acquired. Where such contingency exists (see Standard 6 Guidance Note, sections 5.1., 5.2), include:
    - 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
    - list of the activities that are prohibited until the delimitation, demarcation and titling is completed.
  - o   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 5.2):
    - 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
    - list of the activities that are prohibited until the recognition is achieved.
- **Summary of Social and Environmental Assessment and Mitigation Measures**
  - o   A summary of the findings and recommendations of the required prior social and environmental impact studies (e.g. targeted assessment, ESIA, SESA, as applicable) – specifically those related to indigenous peoples, their rights, lands, territories and resources. 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.

- o Where potential risks and adverse impacts to indigenous peoples, their lands, territories and resources are identified, the details and associated timelines for the planned measures to avoid, minimize, mitigate, or compensate for these adverse effects. Include where relevant measures to promote and protect the rights and interests of the indigenous peoples including compliance with the affected peoples' internal norms and customs.

- **Participation, Consultation, and FPIC Processes**
  - o 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.
  - o 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 meaningful consultation and FPIC (consistent with section 4 of the Standard 6 Guidance Note).

- **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.

- **Capacity support:** 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. 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.

- **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.

- **Institutional Arrangements:** Describe schedule and institutional arrangement responsibilities and mechanisms for carrying out the measures contained in the IPP, including participatory mechanisms of affected indigenous peoples. Describe role of independent, impartial experts to validate, audit, and/or conduct oversight of the project.

- **Monitoring, Reporting, Evaluation:** Describe the monitoring framework for the project and key indicators for measuring progress and compliance of requirements and commitments. Include 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. Indicate process for participatory review of IPP implementation and any necessary modifications or corrective actions (including where necessary consent processes).

- **Budget and Financing:** Include 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 take place before the corresponding activities in the IPP are implemented. Such activities should be clearly identified. Where other project documents already develop and address issues listed in the above sections, citation to the relevant document(s) shall suffice.

- **ANNEX 7: TERMS OF REFERENCE FOR PROJECT-LEVEL GRIEVANCE REDRESS MECHANISM (GRM)**

- **Mandate**

  The mandate of the GRM will be to:
  - 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.
  - assist in resolution of Grievances between and among Project Stakeholders; as well as the various government ministries, agencies and commissions, CSOs and NGOs, and others (collectively, the "Stakeholders") in the context of the Project.
  - Conduct itself at all times in a flexible, collaborative, and transparent manner aimed at problem solving and consensus building.

- **Functions**

  The functions of the GRM will be to:
  - Receive, Log and Track all Grievances received.
  - Provide regular status updates on Grievances to Claimants, Project Board (PB) members and other relevant Stakeholders, as applicable.
  - Engage the PB members, Government institutions and other relevant Stakeholders in Grievance resolution.
  - 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.
  - Identify growing trends in Grievances and recommend possible measures to avoid the same.
  - Receive and service requests for, and suggest the use of, mediation or facilitation.
  - 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).
  - Ensure increased awareness, accessibility, predictability, transparency, legitimacy, and credibility of the GRM process.
  - 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.
  - 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.
  - Monitor follow up to Grievance resolutions, as appropriate.

- **Composition**

  The GRM will be composed of:

  [Name of Implementing Partner] as the Secretariat and either:
  - A standing GRM Sub-Committee [made up of x, y, z PB members] and/or
  - 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.

- **[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.

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

  The Project Board/GRM Sub-Committee and/or GRM Task Team will perform the following core functions:
  - Take direct action to resolve the grievance/dispute (e.g. bring the relevant parties together to discuss and resolve the issue themselves with oversight by the PB).
  - Request further information to clarify the issue, and share that information with all relevant

parties, or ensure that a government agency represented on the PB took an appropriate administrative action to deal with a complaint.
- Refer the grievance/dispute to independent mediation, while maintaining oversight; or
- Determine that the request was outside the scope and mandate of the PB and refer it elsewhere (e.g. Ministry of Justice and Police or to the courts).
- **Communicating a Grievance**
  - *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.
  - *How is the Grievance Communicated?*
    The GRM shall maintain a flexible approach with respect to receiving Grievances in light of known local constraints with respect to communications and access to resources for some Stakeholders. A Grievance can be transmitted to the GRM by any means available (i.e. by email, letter, phone call, meeting, SMS, etc.). The contact information is the following:
    [Implementing Partner to add address, phone number, fax, etc.]
    To facilitate communications with and between the GRM and potential Claimants, the GRM will receive support from the PB members' institutions, local government and civil society organizations
  - *What information should be included in a Grievance?*
    The Grievance should include the following information:
    - the name of the individual or individuals making the Complaint (the "Claimant").
    - a means for contacting the Claimant (email, phone, address, other).
    - 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.
    - the description of the potential or actual harm.
    - 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).
    - what has been done by Claimant thus far to resolve the matter.
    - whether the Claimant wishes that their identity is kept confidential; and
    - the specific help requested from the GRM.

    However, complainants are not required to provide all of the information listed above. Initially, the complainant need only provide enough information to determine eligibility. If insufficient information is provided, the GRM has an obligation to make a substantial, good faith effort to contact the complainant to request whatever additional information is needed to determine eligibility, and if eligible, to develop a proposed response.
- **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.
  Each Grievance file will contain, at a minimum:
  - the date of the request as received.
  - the date the written acknowledgment was sent (and oral acknowledgment if also done).
  - the dates and nature of all other communications or meetings with the Claimant and other relevant Stakeholders.
  - any requests, offers of, or engagements of a Mediator or Facilitator.
  - the date and records related to the proposed solution/way forward.
  - the acceptance or objections of the Claimant (or other Stakeholders).
  - the proposed next steps if objections arose.
  - the alternative solution if renewed dialogues were pursued.

- o   notes regarding implementation; and
- o   any conclusions and recommendations arising from monitoring and follow up.
- **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).
- **Investigation and Consensus Building**
  Within one (1) week of receiving a Grievance, [Implementing Partner] will notify the PB/**GRM Sub-Committee (GRM SC)/GRM Task Team (GRM TT)** and any other relevant institutions of the receipt of the Grievance.
  [IF THE PB, RATHER THAN A PRE-DESIGNATED GRM SC OR GRM TT IS THE PRIMARY BODY RECEIVING COMPLAINTS: The PB will identify a specific team of individuals drawn from the PB and/or their respective institutions to develop a response to the Grievance. The names of these individuals will be made available to the Claimant.]
  The designated PB members/GRM SC/GRM TT will promptly engage the Claimant and any other relevant Stakeholders deemed appropriate, to gather all necessary information regarding the Grievance.
  Through the PB members/GRM SC/GRM TT, the GRM will have the authority to request from relevant Government institutions any information (documents or otherwise) relevant to resolving the Grievance and avoiding future Grievances of the same nature.
  As necessary, the PB members/GRM SC/GRM TT will convene one or more meetings with relevant individuals and institutions in [national capital], or elsewhere in [name of country] as needed.
  The objective of all investigative activities is to develop a thorough understanding of the issues and concerns raised in the Grievance and facilitate consensus around a proposed solution and way forward.
  The PB members/GRM SC/GRM TT will procure the cooperation of their respective staff with the investigation.
  At any point during the investigation, the PB members/GRM SC/GRM TT may determine that an onsite field investigation is necessary to properly understand the Grievance and develop an effective proposed solution and way forward.
- **Seeking Advisory Opinion and/or Technical Assistance**
  At any point after receiving a Grievance and through to implementation of the proposed solution and way forward, the PB members/GRM SC/GRM TT may seek the technical assistance and/or an advisory opinion from any entity or individual in [country] or internationally which may reasonably be believed to be of assistance.
- **Making Proposed Actions and Solutions Public and Overseeing Implementation**
  The PB members/GRM SC/GRM TT will communicate to the Claimant one or more proposed actions or resolutions and clearly articulate the reasons and basis for proposed way forward.
  If the Claimant does not accept the resolution, the PB members/GRM SC/GRM TT will engage with the Claimant to provide alternative options.
  If the Claimant accepts the proposed solution and way forward, the GRM will continue to monitor the implementation directly and through the receipt of communications from the Claimant and other relevant parties. As necessary, the GRM may solicit information from the relevant parties and initiate renewed dialogue where appropriate.
  In all communications with the Claimant and other stakeholders, the GRM will be guided by its problem-solving role, non-coercive principles and process, and the voluntary, good faith nature of the interaction with the Claimant and other stakeholders.
- **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:
  - o measures that can be taken by the Government to avoid future harms and Grievances; and
  - o improvements to the GRM that would enhance its effectiveness, accessibility, predictability, transparency, legitimacy, credibility, and capacity.

- **Mediation**

  For the option of independent mediation, mediators on the roster/panel should have at least the following qualifications:
  - o professional experience and expertise in impartial mediation.
  - o knowledge of [project type and activities in the country] and the region, including an understanding of indigenous and tribal culture and practices.
  - o [national and local language, as appropriate] proficiency.
  - o availability in principle for assignments of up to 20 days; and
  - o willingness to declare all relationships and interests that may affect their ability to act as impartial mediators in particular cases.

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

- **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.