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# DRAFT Environmental and Social Management Framework (ESMF)

For a UNDP-supported, GEF-financed project in Burkina Faso:

<b>Project title:</b> Integrated and Sustainable Management of PONASI Protected Area Landscape		
<b>Country:</b> Burkina Faso	<b>Implementing Partner (GEF Executing Entity):</b> Ministry of Environment, Green Economy and Climate Changes	<b>Execution Modality:</b> National Implementation (NIM)
<b>Contributing Outcome (UNDAF/CPD, RPD, GPD):</b> Outcome 3.2 - By the end of 2020, ensure that populations, especially young people and women in intervention areas (urban / rural), increase their incomes, adopt sustainable modes of production and consumption and improve their food security		
<b>UNDP Social and Environmental Screening Category:</b> Substantial	<b>UNDP Gender Marker:</b> 2	
<b>Atlas Award ID:</b> 00090370	<b>Atlas Project/Output ID:</b> 00096170	
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## DRAFT FOR FEEDBACK

Period of Disclosure: **XX**

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## 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 “Integrated and Sustainable Management of PONASI Protected Area Landscape”.

The Framework forms the basis upon which the 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 plans 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 project preparation grant (PPG) phase identified fifteen (15) potential social and environmental risks associated with project activities.

Nine (9) significant risks are assessed in the SESP as “**Substantial**”:

**Risk 1** Rights-holders do not have the capacity to **claim relevant rights**, especially amongst less educated rural populations, some of which are indigenous peoples/local communities.

**Risk 5** Project implementation can indirectly lead to **discriminatory working conditions** and/or **lack of equal opportunity**.

**Risk 6** Given the prevailing cultural context, groups marginalized for socio-economic, tribal (especially indigenous peoples) or gender (especially women) reasons are **not duly consulted** and involved in the project, do not benefit equally, and that the project and its stakeholders reproduce established discriminations, potentially leading to inadvertent harm.

**Risk 7** The project can lead to **economic displacement** in some parts of the population including women and indigenous peoples, considering that the project is expected to catalyze more sustainable land use and natural resource exploitation, which could curtail access to traditional natural resources and harm local livelihoods.

**Risk 8** The project affects **the development priorities and cultural heritage or natural features with cultural significance** of some indigenous peoples, considering that the project is expected to catalyze more sustainable land use, natural resource exploitation and ecosystem management, which could curtail access to traditional natural resources and harm local livelihoods.

**Risk 9** The project can, directly or indirectly lead to increased **exploitation of natural resources and ecosystems/biodiversity**, considering that project activities are located in or near critical habitats and / or ecologically sensitive areas, including legally protected areas (eg nature reserve, national park).

**Risk 12** The project activities implemented by local population can lead to impact on gender balance and on traditional **social roles in the local communities**.

**Risk 13** Involvement of the private sector has an impact on **respect of Safeguards standards** (respect of Human Rights, Gender balance, etc...)

**Risk 14** Access to economic resources and natural resources facilitated through interventions create or **exacerbate conflicts** between groups or increase the risk of violence between project-affected communities and individuals.

In addition, six (6) potential risks are considered of Moderate. 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 year of project implementation**, and throughout the project in case 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), including Indigenous Peoples Framework (IPPF); (2) Stakeholder Engagement Plan and (3) Gender Analysis and Gender Action Plan.

To assess and manage all the risks, whenever project locations or activities are modified, 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 year of project implementation. 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 downstream project activities and a **SESA** is required for the upstream project activities, such as development of management frameworks. 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**.

Considering the risks related to Standard 6: Indigenous Peoples, the ESIA will also include assessment of specific impacts on Indigenous Peoples (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 an **Indigenous Peoples Plan** (based on the Indigenous Peoples Planning Framework, included as Annex 1 of this ESMF).

The Free, Prior, and Informed consent (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 Indigenous Peoples and local 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, an **Economic Displacement Risk Assessment** and a **Livelihood Action Plan** will be developed where the risks of economic displacement (part or full) are verified, ensuring that restrictions to access to resources are adequately compensated.

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

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## ABBREVIATIONS AND ACRONYMS

CBOs	Community Based Organizations
CSEP	Comprehensive Stakeholder Engagement Plan
CSOs	Civil Society Organizations
DSA	Daily Subsistence Allowance
ESMP	Environmental and Social Management Plan
ESIA	Environmental and Social Impact Assessment
ESMF	Environmental and Social Management Framework
ESMP	Environmental and Social Management Plan
FDGs	Focus Group Discussions
FPIC	Free, Prior and Informed Consent
GAP	Gender Action Plan
GEF	Global Environment Facility
GRM	Grievance Redress Mechanism
GRM SC	GRM Sub-Committee
GRM TT	GRM Task Team
IWGIA	International Work Group for Indigenous Affairs
IP	Indigenous Peoples
IPP	Indigenous Peoples Plan
IPPF	Indigenous Peoples Planning Framework
KIIs	Key Informant Interviews
LAP	Livelihood Action Plan
MEGECC	Ministry of Environment, Green Economy and Climate Change
MEEVCC	Ministère de l'Environnement, de l'Économie verte et du Changement Climatique
MTAD	Ministry of Territorial Administration and Decentralization
M&E	Monitoring and Evaluation
NGOs	No Governmental Organizations
PB	Project Board
PIF	Project Identification Form (GEF)
PIR	GEF Project Implementation Report
PMU	Project Management Unit
PPG	Project Preparation Grant (GEF)
PPP	Policy Program and Plan
ProDoc	Project Document

R&D	Research and Development
RTA	Regional Technical Advisor
SECU	Social and Environmental Compliance Review Unit (UNDP)
SEP	Stakeholder Engagement Plan
SES	Social and Environmental Standards (UNDP)
SESA	Strategic Environmental and Social Assessment
SESP	Social and Environmental Screening Procedure (UNDP)
SRM	Stakeholder Response Mechanism (UNDP)
TBWP	Project's Total Budget and Work Plan
UNDP	United Nations Development Programme
UNDP-GEF	UNDP Global Environmental Finance Unit

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## 1. INTRODUCTION

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### 1.1. PROJECT DESCRIPTION

The long-term solution proposed in this project to address the drivers of biodiversity loss and land degradation is to adopt a landscape-scale management approach to ensure the sustainable management of the PONASI complex and its area of influence to ensure the preservation and integrity of the ecosystem services on which the livelihoods of local people depend. It thereby contributes to a “building back better” strategy that emphasizes the conservation of natural resources and income generation from their sustainable use for the local population.

The PONASI landscape is a complex socio-ecological system with a mosaic of land uses and resources, management modes, involving multiple stakeholders with different and sometimes divergent objectives and perspectives.

The **Project Theory of Change** is based on the premise that the adoption of a landscape approach for the participatory development of a land-use plan, involving all relevant stakeholders and using tools to enable shared decision-making on a design that optimizes environmental and socioeconomic benefits, will foster ownership of the management solutions and improve the conservation of biodiversity, land, and ecosystem services within PAs and surrounding landscape. It is expected that improved conservation of biodiversity and ecosystem services will generate enough benefits at all levels to ensure continuity and replication of this management approach.

Sectoral approaches for different land-use activities have largely dominated the resource management implemented by the Government and its development partners. While making positive contributions for individual sectors, none of these approaches has reflected the multisectoral nature of the PONASI landscape which includes local communities whose livelihoods mostly depend on natural resources, smallholder farms, protected areas, hunting and tourism enterprises, and resource-based enterprises such as agriculture, pastoralism, forestry and mining. While each of these sectors imposes a set of pressures on the environment, working on just one of the stressors at a time is not enough. Tackling all stressors jointly is necessary to be able to generate multiple global and local benefits to support the sustainability cycle.

The **landscape approach** tries to capture this complexity by viewing the landscape as a multifunctional mosaic of land and resource uses. The landscape scale provides a scale for management that allows for an overall view of the competing land-use interests and an understanding of necessary trade-offs within the system to better achieve multiple objectives connecting the local to the global. The approach put forward by the project will allow to move away from single-institution, siloed assessment and planning to **stakeholder-driven, participatory design, leading to collaborative decision-making**. The landscape approach allows multiple objectives to be considered simultaneously by considering how the interconnected components of the landscape can be managed to generate

multiple benefits and balance various economic, social and environmental concerns. The participatory approach at the landscape scale is increasingly recognized as being appropriate to reconcile the many interests of people with different livelihoods, those of the agricultural, forestry, pastoral, mining and tourism sectors, and the global needs to conserve biodiversity and land resources; ecosystem services; and increase carbon sequestration and adaptation to climate change. With this approach, all local planning to improve local communities' living conditions should contribute to **building a "whole"** that generates benefits greater than the sum of the local benefits.

The effectiveness and sustainability of this management approach rests on the effective mobilization of financial resources to enable the implementation of the Master Plan, from governments at all levels, (national, regional and commune), from development partners, and especially on the fair and equitable sharing of the benefits generated through the various elements of the landscape among all stakeholders, including local communities. Indeed, although the exploitation of forest management worksites and hunting areas generates significant revenues, it has been shown that the majority of the profits accrue to transporters, hunting concessionaires and the State and that the share of the profits communities is very low, or even nil, even when it is provided for in agreements such as the case of ZOVICs.

Greater involvement of local communities and equity of revenue and benefit sharing from biodiversity conservation and sustainable management of natural resources and ecosystem services will be cross-cutting elements of interventions under each component. Participatory processes involving local users, technical services and authorities at all levels, are key for assessments, negotiations, decision-making, implementation, monitoring and evaluations, as they all need to change their perceptions and develop new knowledge in order to adopt innovative and improved practices and to allocate adequate resources to support their implementation. Land users will only take action to protect or invest into their land and resources if they perceive a threat to its productivity or are aware of the broader economic and environmental costs of their degradation. All of this must fundamentally rely on the sustainability of natural resource uses by local communities, tourists, hunters, gatherers, and lumberjacks and will involve strengthening or establishing monitoring systems to provide complete, rigorous and long-term information required to support scientific assessments of wildlife and flora populations and their habitats, and decision-making regarding their sustainable use.

It is essential that the various land and resource management regimes within the landscape generate sufficient benefits at all levels for local communities to perceive tangible, short- and medium-term interests resulting from the **adoption of improved and sustainable practices**, and for the communal and regional authorities to agree to allocate the necessary resources for the planning and implementation of management prescriptions as well as the technical staff required to supervise and monitor local actors in the implementation of management plans.

The **project objective** is to safeguard critical wildlife habitat, biodiversity and ecosystem services in the PONASI Protected Area complex through integrated landscape management, generating multiple benefits for sustainable development in the southern central Burkina Faso.

This overall objective is broken down into **4 specific objectives**, corresponding to the **project components, and related outcomes**:

**Component 1** - Framework for Integrated Landscape Management of PONASI with sustainable financing for its operation

**Outcome 1.1** Updated, strengthened and operationalized PONASI landscape co-governance mechanism to ensure concerted, integrated and equitable management of land and resource use within the 952,000-ha landscape and maximize environmental and socio-economic benefits.

**Component 2** - Strengthening the PONASI Protected Area System

**Outcome 2.1** Increased institutional capacity of protected area management agencies (OFINAP and DGEF) to manage knowledge and design rules for the use and development of natural resources

**Outcome 2.2** Increased effectiveness of protected area management on 354,781 ha including State protected areas, community protected areas and wildlife corridors within the PONASI complex

**Component 3** - Sustainable Land and Resources Management and Diversification of Livelihoods.

**Outcome 3.1** Increased adoption of effective agro-silvo-pastoral and climate-smart agriculture practices by local communities in the PONASI landscape

**Outcome 3.2** Diversified livelihoods of local communities related to tourism development and forest products-based value chains

**Outcome 3.3** Sustainable Land Management (SLM) practices are implemented by communities within the PONASI landscape to reduce threats to protected areas and increase food security, productivity and agricultural resilience through climate-smart agriculture, sustainable wood harvesting and biomass energy, forest restoration, assisted natural regeneration, and fire management

**Component 4** - Gender mainstreaming, and knowledge and learning management

**Outcome 4.1:** Increased opportunities for women to benefit from the sustainable management of natural resources and value chains related to PAs within the PONASI landscape

**Outcome 4.2:** Appropriation of the knowledge developed in the project by the actors within the PONASI landscape and in Burkina Faso

Within landscape units, the effectiveness of protected area management will be improved through improved management tools and capacity development, and land and resource management will be enhanced through the introduction of a series of sustainable land and resource management practices that will generate multiple environmental and socio-economic benefits within the terroirs at the periphery of protected areas.

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**1.2. PURPOSE AND SCOPE OF THIS ESMF**

The Project Management Unit (PMU) will follow this ESMF from the project inception phase and all along 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.

The 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 PMU 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 and framework 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, Indigenous Peoples 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.

- Developing an **Environmental and Social Management Plan (EMSP)**, based on assessments findings.
- Developing an **Indigenous Peoples Plan (IPP)**, to ensure participation, consultation and involvement of Indigenous Peoples.
- Conduct an in-depth Stakeholder Analysis and develop a Comprehensive Stakeholder Engagement Plan, based on the information from the Stakeholder Engagement Plan annexed to the ProDoc

This ESMF will be publicly disclosed in line with UNDP's Information Disclosure Policy and SES. Free, Prior and Informed Consent will be applied for any identified activities, which may affect the rights and interests, lands, territories, and resources of Indigenous Peoples and Local Communities, including the conducting of the ESIA/SESA and the implementation of the ESMP.

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### 1.3. 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 low, 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** Rights-holders do not have the capacity **to claim relevant rights**, especially amongst less educated rural populations, some of which are indigenous peoples/local communities.
- Risk 5** Project implementation can indirectly lead to **discriminatory working conditions** and/or **lack of equal opportunity**.
- Risk 6** Given the prevailing cultural context, groups marginalized for socio-economic, tribal (especially indigenous peoples) or gender (especially women) reasons are **not duly consulted** and involved in the project, do not benefit equally, and that the project and its stakeholders reproduce established discriminations, potentially leading to inadvertent harm.
- Risk 7** The project can lead to **economic displacement** in some parts of the population including women and indigenous peoples, considering that the project is expected to catalyze more sustainable land use and natural resource exploitation, which could curtail access to traditional natural resources and harm local livelihoods.
- Risk 8** The project affects **the development priorities and cultural heritage or natural features with cultural significance** of some indigenous peoples, considering that the project is expected to catalyze more

sustainable land use, natural resource exploitation and ecosystem management, which could curtail access to traditional natural resources and harm local livelihoods.

- Risk 9** The project can, directly or indirectly lead to increased **exploitation of natural resources and ecosystems/biodiversity**, considering that project activities are located in or near critical habitats and / or ecologically sensitive areas, including legally protected areas (eg nature reserve, national park).
- Risk 12** The project activities implemented by local population can lead to impact on gender balance and on traditional **social roles in the local communities**.
- Risk 13** Involvement of the private sector has an impact on **respect of Safeguards standards** (respect of Human Rights, Gender balance, etc...)
- Risk 14** Access to economic resources and natural resources facilitated through interventions create or **exacerbate conflicts** between groups or increase the risk of violence between project-affected communities and individuals.

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 2** Duty-bearers (government and private sector partners) do not have the capacity to meet their obligations in **respecting and protecting the human rights of affected populations**.
- Risk 3** Capacity building of Eco guards and rangers as part of the surveillance program for the protected areas of the PONASI complex, for strengthening anti-poaching measures could possibly lead **to human rights abuses against vulnerable local communities**.
- Risk 4** Project support directly or indirectly linked to rural livelihoods lead to **child labour** (boys and girls).
- Risk 10** The project may pose the risk of introducing **invasive alien species** as part of support to agroforestry systems, that can have a negative impact on ecosystems.
- Risk 11** Project’s activities increase the vulnerabilities of populations (especially women living in rural areas) to the **effects of climate change**.
- Risk 15** Participation in project activities could pose a potential risk of increased exposure to COVID-19 and other occupational risks.

Further details of identified risks are contained in the SESP report in Annex D of the Project Document (ProDoc).

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

Components	Risks	SESP references (see SESP in Annex)	Potential project benefits
<p><b>Component 1</b> Framework for Integrated Landscape Management of PONASI with sustainable financing for its operation</p>	<p><b>Risk 2.</b> Duty-bearers (government and private sector partners) do not have the capacity to meet their obligations in <b>respecting and protecting the human rights of affected populations.</b></p> <p><b>Risk 13</b> Involvement of the private sector has an impact on <b>respect of Safeguards standards</b> (respect of Human Rights, Gender balance, etc...)</p>	<p><b>Principles:</b> Human Rights Question: P.2</p> <p><b>Project level standards:</b> 6 – Indigenous Peoples Question: 6.3</p>	<p>By adopting a participatory approach the project will build strong ownership among national authorities and all the institutions who are involved to support the technical quality of intervention and the effective project's management.</p> <p>The component, focusing on ILM Framework, will build sustainability of processes focusing on land and resources management.</p>
<p><b>Component 2</b> Strengthening the PONASI Protected Area System</p>	<p><b>Risk 1.</b> Rights-holders do not have the capacity <b>to claim relevant rights</b>, especially amongst less educated rural populations, some of which are indigenous peoples/local communities.</p> <p><b>Risk 2.</b> Duty-bearers (government and private sector partners) do not have the capacity to meet their obligations in <b>respecting and protecting the human rights of affected populations.</b></p> <p><b>Risk 3</b> Capacity building of Eco guards and rangers as part of the surveillance program for the protected areas of the PONASI complex, for strengthening anti-poaching measures could possibly lead <b>to human rights abuses against vulnerable local communities.</b></p> <p><b>Risk 6</b> Given the prevailing cultural context, groups marginalised for socio-economic, tribal (especially indigenous peoples) or gender (especially women) reasons are <b>not duly consulted and involved</b> in the project, do not benefit equally, and that the project and its stakeholders reproduce established discriminations, potentially leading to inadvertent harm.</p> <p><b>Risk 9</b> The project can, directly or indirectly lead to increased <b>exploitation of natural resources and ecosystems/biodiversity</b>, considering that project activities are located in or near critical habitats and / or ecologically sensitive areas, including legally protected areas (eg nature reserve, national park).</p>	<p><b>Principles:</b> Human Rights: Questions:P.2, P.3, P.4, P.5, P.6, P.7 Gender Equality and Women's Empowerment Questions: P.9, P.10, P.11 Accountability Questions: P.13, P.14</p> <p><b>Project level standards:</b> 1 - Biodiversity Conservation and Sustainable Natural Resource Management Questions: 1.1, 1.2, 1.3, 1.4, 1.7, 1.8, 1.9, 1.10, 1.13 6 – Indigenous peoples Questions: 6.1, 6.2, 6.3, 6.4</p>	<p>Through effective stakeholder engagement during project's implementation, the project will increase the capacity of the populations to access to their rights including the use of land and natural resources.</p> <p>Access to natural resources will empower local communities, especially vulnerable people, and strengthen their knowledge and technical skills for accessing to new income generating activities.</p> <p>The women's role strengthening on access to benefits coming from income generating activities can empower them on the overall decision-making processes at household, local and national level.</p> <p>The Component 2 will:</p> <ul style="list-style-type: none"> <li>Facilitate the participation of the most vulnerable peoples to decision making processes and to management processes,</li> <li>facilitate the coexistence between different groups who need access to resources</li> </ul>

	<p><b>Risk 13</b> Involvement of the private sector has an impact on <b>respect of Safeguards standards</b> (respect of Human Rights, Gender balance, etc...)</p>		<ul style="list-style-type: none"> <li>• Increase skills of the involved population and increase their possibility to access to benefits and to develop income generating activities</li> <li>• Put in place sustainable mechanism to prevent human-wildlife conflicts</li> </ul>
<p><b>Component 3</b> Sustainable Land and Resources Management and Diversification of Livelihoods</p>	<p><b>Risk 1.</b> Rights-holders do not have the capacity to <b>claim relevant rights</b>, especially amongst less educated rural populations, some of which are indigenous peoples/local communities.</p> <p><b>Risk 4</b> Project support directly or indirectly linked to rural livelihoods lead to <b>child labour</b> (boys and girls).</p> <p><b>Risk 5</b> Project implementation can indirectly lead to <b>discriminatory working conditions</b> and/or <b>lack of equal opportunity</b>.</p> <p><b>Risk 6</b> Given the prevailing cultural context, groups marginalised for socio-economic, tribal (especially indigenous peoples) or gender (especially women) reasons are <b>not duly consulted and involved</b> in the project, do not benefit equally, and that the project and its stakeholders reproduce established discriminations, potentially leading to inadvertent harm.</p> <p><b>Risk 7</b> The project can lead to <b>economic displacement</b> in some parts of the population including women and indigenous peoples, considering that the project is expected to catalyze more sustainable land use and natural resource exploitation, which could curtail access to traditional natural resources and harm local livelihoods.</p> <p><b>Risk 8</b> The project affects the <b>development priorities and cultural heritage or natural features with cultural significance</b> of some indigenous peoples, considering that the project is expected to catalyze more sustainable land use, natural resource exploitation and ecosystem management, which could curtail access to traditional natural resources and harm local livelihoods.</p> <p><b>Risk 9</b> The project can, directly or indirectly lead to increased <b>exploitation of natural resources and ecosystems/biodiversity</b>, considering that project activities are located in or near critical habitats and / or ecologically sensitive areas, including legally protected areas (eg nature reserve, national park).</p>	<p><b>Principles:</b> Human Rights: Question: P.2, P.3, P.4, P.5, P.6, P.7 Gender Equality and Women’s Empowerment Questions P.9, P.10, P.11 Accountability Question: P.13, P.14</p> <p><b>Project level standards:</b> 1 - Biodiversity Conservation and Sustainable Natural Resource Management Questions: 1.1, 1.2, 1.3, 1.4, 1.6, 1.7, 1.8, 1.9,1.10, 1.13 4 - Cultural Heritage Questions: 4.1, 4.3, 4.4, 4.5 5 - Displacement and Resettlement Questions: 5.2, 5.4 6 – Indigenous peoples Question: 6.1, 6.2, 6.3, 6.4, 6.5, 6.6, 6.7, 6.9. 7 - Labour and Working Conditions Questions: 7.1, 7.2, 7.3, 7.5, 7.6</p>	<p>The project will support governance systems and coordination mechanism already in place, facilitating the involvement of vulnerable groups (such as women and youth).</p> <p>Supporting governance mechanisms, the project will strengthen the sustainability of the action.</p> <p>Under component 3, the project will facilitate sustainable management practices and sustainable enterprises, that will have an impact on the socio-economic framework of the local communities in the long term, considering the capacity building and training processes that will be put in place.</p> <p>Creation of employment opportunities can facilitate other cultural processes such as alphabetization and education, also for the most vulnerable groups.</p>

	<p><b>Risk 10</b> The project may pose the risk of <b>introducing invasive alien species</b> as part of support to agroforestry systems, that can have a negative impact on ecosystems.</p> <p><b>Risk 12</b> The project activities implemented by local population can lead to impact on gender balance and on traditional <b>social roles in the local communities</b>.</p> <p><b>Risk 13</b> Involvement of the private sector has an impact on <b>respect of Safeguards standards</b> (respect of Human Rights, Gender balance, etc...)</p> <p><b>Risk 14</b> Access to economic resources and natural resources facilitated through interventions create or <b>exacerbate conflicts</b> between groups or increase the risk of violence between project-affected communities and individuals.</p> <p><b>Risk 15</b> Participation in project activities could pose a potential risk of increased exposure to COVID-19 and other occupational risks.</p>		
<p><b>Component 4</b> Gender mainstreaming, and knowledge and learning management</p>	<p><b>Risk 2.</b> Duty-bearers (government and private sector partners) do not have the capacity to meet their obligations <b>in respecting and protecting the human rights of affected populations</b>.</p> <p><b>Risk 13</b> Involvement of the private sector has an impact on <b>respect of Safeguards standards</b> (respect of Human Rights, Gender balance, etc...)</p>	<p><b>Principles:</b> Human Rights Question: P.2</p> <p><b>Project level Standards:</b> 6 – Indigenous Peoples Question: 6.3</p>	<p>The project will strongly enhance the participation of women, youth and other vulnerable groups to decision making process, giving to women a crucial role on project activities.</p> <p>The women involvement will facilitate the awareness raising process at community level.</p> <p>The project will support women groups who will increase their involvement in the market.</p> <p>The role and capacities to act of women groups, cooperatives and other vulnerable groups, already existing at national and local level, will be strengthen all along project implementation.</p> <p>The project will develop a knowledge management process, in order to identify the lessons learned, on direct and indirect impacts of Sustainable Land and Resources Management framework implementation.</p>

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## **2. 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.

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### **2.1. NATIONAL LEGISLATION, POLICIES AND REGULATIONS**

In Burkina Faso, environmental management policies have been greatly developed and reinforced by several sectoral policies and other strategic documents. These environmental strategy documents are in line with the search for conditions for sustainable economic and social development compatible with environmentally sound management and exploitation of natural resources and the environment.

Here below the main National Plans, Policies and Regulations relevant to the project>

- National Action Plan for the Environment (1991-2005)
- Plan for the Environment and Sustainable Development (2005-2020)
- Forest and Wildlife Resource Management Framework Program
- National Action Plan to Combat Desertification (PAN / LCD)
- National Policy on Soil Fertility.
- National Prospective Study "Burkina 2025"
- National sustainable development policy
- National forest policy
- National policy for sustainable development of livestock (PNDEL)
- Spatial Planning Policy
- National Policy for Land Security in Rural Areas (PNSFMR)
- Decentralized Rural Development Policy Letter (LPDRD)
- Water policy and strategies
- Letter of Intent for a Sustainable Human Development Policy (LIPDHD)
- Burkina Faso National Gender Policy (PNG)
- Sector Policy for Industry, Trade and Handicrafts (2011-2020)
- Energy Sector Policy 2014 – 2025
- Mining Sector Policy 2014 - 2025
- Accelerated Growth and Sustainable Development Strategy (SCADD) 2011-2015

- Rural Development Strategy (SDR) by 2015
- Environment Plan for Sustainable Development (PEDD)
- National land use planning and sustainable development plan (SNADDT)
- National Action Program for Adaptation to Climate Variability and Change (Burkina Faso PANA)
- National Rural Sector Program (PNSR) for Burkina Faso 2011-2015
- National Adaptation Plan (PNA)
- Action Plan for Integrated Water Resources Management (PAGIRE)
- National program for monitoring ecosystems and the dynamics of desertification (PNSEDD),

Other sub-regional and / or cross-border policies:

- Environmental policy of the member states of UEMOA
- West African Water Resources Policy (ECOWAS)
- ECOWAS Environmental Policy

There are several texts regarding the management of natural resources and the environment, but there is a low level of their application (RAF, forestry and environmental codes, law on pastoralism).

#### **The Constitution of June 2, 1991**

Environmental legislation is based on the constitution of Burkina Faso of June 2, 1991, which stipulates that: "the sovereign people of Burkina Faso are aware of the absolute need to protect the environment" and that "the wealth and natural resources belong to the people. They are used for the improvement of his living conditions. " Moreover, "the right to a healthy environment is recognized. The protection, defense and promotion of the environment are a duty for all"<sup>1</sup>.

#### **The guiding law on sustainable development**

The purpose of Law No. 008-2014 / AN of April 08, 2014, on the framework law on sustainable development in Burkina Faso aims to: create a unified national framework of reference to ensure the consistency of the interventions of actors through legal reforms, appropriate policies and institutions; ensure economic efficiency, environmental sustainability and social equity in all development actions. The Law provides that "the right to sustainable development is guaranteed to all"; "Every natural or legal person has the right to participate in the decision-making process in matters of sustainable development"; "The state is responsible for the design, development and implementation of the national policy for sustainable development."<sup>2</sup> The Law creates the National Council for Sustainable Development (CNDD) placed under the institutional supervision of the ministry in charge of sustainable development.

#### **The Environmental Code**

The environmental code (Law n ° 006-2013 of April 02, 2013) enacts the rules relating to the fundamental principles of environmental preservation which are, the fight against desertification, sanitation and improvement of the environment. life of the populations, the implementation of international agreements ratified by Burkina Faso in terms of environmental preservation, prevention and management of natural and man-made disasters. The code provides that activities likely to have significant effects on the environment are subject to

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<sup>1</sup> Constitution of Burkina Faso of June 2, 1991

<sup>2</sup> Law No. 008-2014 / AN April 08, 2014 - framework law on sustainable development in Burkina Faso

the prior opinion of the Minister responsible for the environment. The opinion is established on the basis of a Strategic Environmental Assessment (SEA), an Environmental Impact Assessment (E.I.E) or an Environmental Impact Notice (N.I.E).

Pending the revision of certain texts in application of the 2013 Code, several implementing texts have been adopted by the Government in application of the 1997 code. These are mainly the following texts:

- Decree No. 2001-342 / PRES / PM / MEE of July 17, 2001 on the scope, content and procedure of the study and the environmental impact notice;
- Decree No. 2001-185 / PRE / PM / MEE of May 7, 2001, establishing standards for the discharge of pollutants into air, water and soil;
- Decree No. 98-322 / PRES / PM / MEE / MIHU / MATS / MEF / MEM / MCC / MCIA of July 28, 1998 which fixes the conditions for opening dangerous, unhealthy and inconvenient establishments.

#### **Law No. 064-2012 / year on the safety regime in biotechnology**

This law applies to the development, testing, production, dissemination, storage, destruction or disposal, import, export, transboundary movement, including the transit of any genetically modified organism and any product consisting of or containing a genetically modified organism. The provisions of this law do not apply to the transboundary movement of pharmaceutical products derived from genetically modified organisms.

The Law creates a national biosafety authority, called the National Biosafety Agency for short, ANB and two advisory bodies which are: the National Biosafety Observatory (ONB); the National Scientific Biosafety Committee (CSNB). The Law also provides for security measures, risk assessment and management, deliberate or accidental release of genetically modified organisms.

The **forest code**, adopted by law n ° 003/2011 / AN of April 5, 2011, "aims to establish the fundamental principles of sustainable management and development of forest, wildlife and fishery resources" (article 1). Paragraph 2 of Article 4 states that: "... the sustainable management of these resources is a duty for all. It implies compliance with the regulations in force in terms of protection, exploitation and enhancement of the forest, wildlife and fishery heritage ". For this, it provides in Article 48 that "any carrying out of major works leading to clearing is subject to prior authorization from the Minister responsible for forests on the basis of an environmental impact study"<sup>3</sup>. The other aspects of the law which are of particular interest for this study are contained in Articles 235; 236 and 237.

In addition to this law on environmental protection, there are numerous decrees and implementing decrees relating to the **sustainable management of forest resources**, the strategic issues in terms of climate preservation, the production substrate that is the soil, stabilization of riverbanks as well as maintaining the diversity of plant / animal species and natural ecosystems, reservoirs of genetic vitality.

These main decrees are:

- Decree No. 98-3120 / PRES / PM / MEE / MATS of 17/07/1998 on the use of fires in rural areas in Burkina Faso
- Order N ° 98-8 / MEE / SG / DGEF / DP of 12/05/1998 defining the measures for the protection and conservation of fishery resources in Burkina Faso
- Decree No. 99-15 / MEE / MEF / MATS of 09/06/1999 fixing the fees related to the exploitation of fishery resources
- Joint Order N ° 2009-073 / MECV / MAHRH of August 27, 2009, regulating agricultural clearing in Burkina Faso.

#### **The Law on land tenure security in rural areas**

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<sup>3</sup> Forest code, adopted by law n ° 003/2011 / AN of April 5, 2011

Law No. 034-2009 / AN of July 24, 2009, on the Rural Land Regime (RFR) relating to land tenure security in rural areas was adopted by the Government by decree in the Council of Ministers dated March 25, 2009. In accordance with the guidelines of the land policy adopted in 2007, the law seeks to recognize and secure the rights of all land stakeholders (State, local authorities, rural populations holding customary land rights, private operators). Taking into account the previous weaknesses of the law on Agrarian and Land Reorganization, the law is particularly concerned with determining in detail the mechanisms through which legitimate “rural land holdings” will be legally recognized (recognition of possessions) and secured (issuance of land holdings). certificates of rural land holdings). The law also grants an interest to the institutions in charge of rural land management: (i) at the local level the Rural Land Services (SFR) of rural communes, assisted by village land commissions and, responsible for ensuring the constitution and management of the land. communal land domain, securing local land rights and preserving local resources for common use; (ii) at the intermediate level, maintaining and strengthening state services

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## 2.2. INTERNATIONAL AGREEMENTS AND TREATIES

Assessment and Management of Social and Environmental risks is based also on the Burkina Faso’s international regulatory framework.

Burkina Faso is a signatory to several multilateral agreements and conventions that are relevant to the program including but not limited to the following:

- Rotterdam Convention on the Prior Informed Consent Procedure applicable to certain hazardous chemicals and pesticides that are the subject of international trade, ratified by Decree 2002-294 of August 2, 2002
- United Nations Convention on Biological Diversity ratified by decree 93-292 UK of September 20, 1993
- Kyoto Protocol to the United Nations Framework Convention on Climate Change, ratified by Decree No. 2004-536 / PRES / PM / MAECR / MECV / MFB of 23 November 2004
- United Nations Framework Convention on Climate Change ratified by Decree 93-287 UK of September 20, 1993
- United Nations Convention to combat desertification in countries seriously affected by drought and / or desertification, in particular in Africa, ratified by Decree 95-569 UK of December 29, 1995
- African Convention on the Conservation of Nature and Natural Resources (the so-called Algiers Convention) ratified by decree No. 68-227 of 23 November 1968
- Bonn Convention on the conservation of migratory species belonging to wild fauna ratified by Zatu AN VI-012 of 23 August 1989
- Convention for the Protection of the World Cultural and Natural Heritage
- RAMSAR Convention on Wetlands of International Importance Particularly as Waterbird Habitats, ratified by zatu AN VII-02 of 23 August 1989
- Convention on International Trade in Endangered Species of Fauna and Flora (CITES) ratified by Zatu AN-02 of 23 August 1989
- Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal, ratified on 04/11/1998
- Vienna Convention for the Protection of the Ozone Layer and the Montreal Protocol on Substances that Deplete the Ozone Layer, ratified by Zatu 86-016 of 05 March 1986 and by Zatu AN VI-021 of 13 January 1989
- Stockholm Convention on Persistent Organic Pollutants, ratified by Decree No. 2004-300 of July 20, 2004

- 4th Lomé Convention on farming practices harmful to the environment.

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

### 2.3. 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 D) 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
	Standard 2: Climate Change and Disaster risks	
	Standard 3: Community Health, Safety and Security	
	Standard 4: Cultural Heritage	

Standard 5: Displacement and Resettlement	<ul style="list-style-type: none"> <li>➤ Stakeholder Engagement and Response Mechanism</li> <li>➤ Access to Information</li> <li>➤ Monitoring, Reporting, Compliance review</li> </ul>
Standard 6: Indigenous Peoples	
Standard 7: Labour and Working Conditions	
Standard 8: Pollution Prevention and Resource Efficiency	

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).

**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 D. 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 15 risks for this project that could have potential negative impacts in the absence of safeguards. Nine (9) of these risks were rated as Substantial and six (6) as Moderate. The screenings indicate that up to nine (8) 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 indigenous peoples or marginalized local communities, 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 the girls can be inadvertently involved in child labour related to new income generating activities 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 groups present in project areas.
- Standard 1 - Biodiversity Conservation and Sustainable Natural Resource Management, considering the project will involve Protected Areas
- Standard 4 - Cultural Heritage, considering the project can impact on Indigenous Peoples or Local communities’ tangible or intangible cultural heritage.
- Standard 5 – Displacement and Resettlement, due to risk that project activities may have an adverse impact on access to natural resources, especially for women, youth and marginalized groups. The project can lead to economic displacement
- 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 groups.
- Standard 7: Labour and Working Conditions, considering that the project will lead to changes in the economic and livelihoods practices, introducing new income generating activities

In addition, one (1) of the Principles and Standards are triggered due to potential impacts rated as “Moderate”.

- Standard 2 - Climate Change and Disaster Risks, considering the project can have an impact on the local communities’ resilience to climate change

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

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

Summary of safeguards triggered based on screening conducted during project preparation

Overarching Principle / Project-level Standard	Rating	SES requirements
Principle: Human Rights	Substantial	SESA, ESIA, ESMP, IPP, SEP
Principle: Gender Equality and Women’s Empowerment	Substantial	GAP, SESA, ESIA, ESMP
Principle: Accountability	Substantial	SEP, SESA, ESIA, ESMP
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management	Substantial	SESA, ESIA, ESMP
Standard 2: Climate Change and Disaster Risks	Moderate	ESIA, ESMP
Standard 3: Community Health, Safety and Security		

<b>Overarching Principle / Project-level Standard</b>	<b>Rating</b>	<b>SES requirements</b>
Standard 4: Cultural Heritage	<b>Substantial</b>	ESIA, ESMP, SEP, IPP, GAP
Standard 5: Displacement and Resettlement	<b>Substantial</b>	SESA, ESIA, ESMP, SEP, IPP, LAP
Standard 6: Indigenous Peoples	<b>Substantial</b>	SESA, ESIA, ESMP, IPP, SEP, GAP
Standard 7: Labour and Working Conditions	<b>Substantial</b>	SESA, ESIA, ESMP, IPP, GAP
Standard 8: Pollution Prevention and Resource Efficiency		
<b>Number of risks in each risk rating category</b>		
High	0	
Substantial	9	
Moderate	6	
Low	0	
Total number of project risks	15	
Overall Project Risk Categorization	<b>Substantial</b>	
Number of safeguard standards triggered	9	

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#### 2.4. 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.

### 3. REQUIRED PROCEDURES FOR SCREENING, ASSESSMENT AND MANAGEMENT

#### 3.1. 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.

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 all locations. Further screening is required to identify risks' site-specific significance, and to effectively target any required further impact assessment or management.

Once the initial project activities are confirmed, at project inception phase, the Safeguards Specialist and the PMU will decide, based on Safeguards documents, if, further screening will be needed and, if yes, the additional screening will be done using a clean SESP template, to determine whether additional social and environmental impacts may be present that will require further assessment and management.

Screening will be the responsibility of the PMU and the Gender Expert and the M&E/Safeguards Specialist.

#### Ongoing Screening Requirements

Over the course of the project if further project activities will be identified, further screening may be proposed. All additional proposed activities will be subject to screening using a clean SESP template.

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.	Gender/Safeguards Specialist
Proposed additional activities- It refer to any activity or sub activity added during the project implementation, in case it's coming from the findings of the M&E process	SESP on a site-specific basis - 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	Gender/Safeguards Specialist

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### 3.2. 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 Outcome 3.3 and Outputs 1.1, 1.4, 1.5, 2.2, 2.3, 3.2, 3.4, 4.2 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 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 (SESA):**

At project inception, the Project Management Unit (PMU) will commission appropriate experts to conduct a SESA, which will assess of the following Outcomes and Outputs:

**Outcome 3.3** Sustainable Land Management (SLM) practices are implemented by communities within the PONASI landscape to reduce threats to protected areas and increase food security, productivity and agricultural resilience through climate-smart agriculture, sustainable wood harvesting and biomass energy, forest restoration, assisted natural regeneration, and fire management.

**Output 1.1** The "PONASI Landscape Co-Governance Mechanism" is updated, strengthened and operationalized as an integrated platform serving as a joint decision-making mechanism for land and resource use within the landscape.

**Output 1.4** Development of the PONASI Landscape Management Master Plan to guide the management of the PONASI landscape over the next 15 years

**Output 1.5** Sustainable and equitable management requirements for the different units of the territory, including effective enforcement and monitoring mechanisms, conflict prevention/management mechanisms, monitoring implementation compliance, monitoring of biodiversity and ecosystems, and a range of incentives and disincentives, support to the implementation of the PONASI Landscape Management Master Plan.

**Output 2.2** PAs of the PONASI complex - Kabore-Tambi (169,000 ha), Nazinga (91,300 ha) and Sissili (32,700 ha), including corridors # 1 (4,500 ha) and # 2 (33,000 ha) - is reinforced by a series of technical support.

**Output 2.3** The management of natural resources in village hunting areas (ZOVIC), community protected areas, is enhanced through collaborative management interventions, including the development and implementation of simplified zoning plans, strengthening of hunting management and the implementation of human-wildlife conflict management measures

**Output 3.2** The management of natural resources in forests and community pastoral areas is improved through the collaborative development of simplified zoning plans and their implementation, and the strengthening of the management of forests and pastoral areas

**Output 3.4** Strengthened capacities for better sharing of tourism benefits with local communities in the PONASI landscape. This support will include trainings for existing enterprises and at the community level, and support partnerships with the private sector

**Output 4.2** Technical knowledge and lessons learned from the project's experiences are compiled, assessed and translated into knowledge products that contribute to building the capacity of all actors in sustainable environmental management.

For each of the identified outputs, SESA will:

- Identifying social and environmental priorities that should be included in planning and policy processes, such as, for this project:
  - involvement of vulnerable groups (as women) and minorities in the decision-making processes
  - involvement of all the affected Indigenous Peoples and local communities in policy, program and plan upstream activities
  - climate change vulnerability and resilience of local communities
  - sustainable land management
- 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 Comprehensive Stakeholder engagement plan and Indigenous Peoples Plan.

The SESA 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.

Information and strategies identified will inform decision-making and will be used to guide subsequent assessments of downstream activities.

Any 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:

- Committees involved in land and natural resources management
- Governance mechanisms and processes for sustainable land and natural resources management
- Cooperatives associations and federations

SESA will start at project inception phase, considering the targeted outputs have been already identified.

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 will commence in the first year following project inception and will be developed by the first 6 months of the project. ESIA will be developed with a staggered and adaptive approach. 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 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 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 include an Economic Displacement Risk Assessment, considering the risk of economic displacement identified in the SESP.

The ESIA will also include any possible impacts that can be linked to the participation of private sector actors to project implementation.

The ESIA will be developed and carried out by independent experts in a participatory manner with stakeholders within the first 6 months of the project 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 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**

Assessment	Responsible		Total working days	Timing	Accountable
	International expert working days	National expert working days			
SESA	10		10	Completion within project's Year 1	PMU
ESIA	15	15	30	Completion within project's Year 1	PMU

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### 3.3. MANAGEMENT

#### **SESA Report and Recommendations**

The project will develop a SESA for the identified Outcomes and Outputs and related targeted policies. 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 (ESMP)**

The project will develop an ESMP, which will be informed by the 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.

An ESMP will be created outlining the specific impacts and mitigation and management methods required for each project 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 M&E/Safeguards Expert and the Gender Expert.

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.

### **Indigenous Peoples Plan (IPP)**

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. The SESP has identified potential impacts to the rights, lands, territories and traditional livelihoods of Indigenous Peoples.

The International Work Group for Indigenous Affairs (IWGIA), the global human rights organization dedicated to promoting, protecting, and defending Indigenous Peoples' rights, identified Peul and Tuareg as main indigenous groups of Burkina Faso, although they are not recognized.

The IPP will be developed using the UNDP Indigenous Peoples Plan (IPP) template and will add information about the level of integration of Peul and Tuareg communities in the UNDP definition of Indigenous Peoples.

These elements above must be taken into consideration, for the project to be compliance with UNDP Standard 6. The IPP will define how best to engage with IPs and to ensure they benefit equally from the project's positive impacts.

The ESIA will identify the presence of these peoples in the project area, and further assess the nature of the risk(s), including any gender-related issues specific to these groups. Where the potential for such impacts is confirmed through the ESIA, an IPP 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 IPP that is prepared as follow up to the Indigenous Peoples Planning Framework (IPPF; see Annex 1 to this ESMF) and as part of the subsequent ESMP.

The details on FPIC are developed in the IPPF, Annex 1 to this ESMF.

The IPP will enable and map out the communication to take place with affected groups throughout the decision-making process, facilitating information exchange during integrated landscape management processes. The IPP will describe how the different groups will be involved at all stages of integrated landscape management plan development, and subsequent on-the-ground project activities.

The IPP will be developed within the first project year. No activities that may affect the rights, customs, lands, resources or territories of Indigenous Peoples will commence without their explicit prior, freely given consent.

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

Through the IPP, the project will:

- Ensure full, effective and meaningful participation of affected indigenous peoples and local communities present in the project area throughout the project cycle.
- Ensure the relations between Local Communities are identified
- Ensure any conflict already existing between Local Communities, and impacting also Indigenous Peoples, 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 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.

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### 3.4. 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:

- **Comprehensive Stakeholder Engagement Plan:** As highlighted in the Guidance Note UNDP Social and Environmental Standards (SES) - Stakeholder Engagement- A project with great complexity and potentially significant adverse social and environmental impacts (e.g. complex Moderate Risk projects, Substantial/High Risk projects) will require a more strategic plan for stakeholders' engagement. A "comprehensive" plan outline mechanisms that buttress not just disclosure and good communications, but iterative consultations and possibly consent processes over the course of the social and environmental assessment process, development of mitigation and management plans, monitoring project implementation, and evaluation.

A Stakeholder Engagement Plan has been developed and will be the basis of the Comprehensive Stakeholder Engagement Plan that will be developed by the first 6 months of the project and will be, 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 Stakeholder Engagement Plan is 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 comprehensive stakeholder engagement plan will specifically consider how to equitably and meaningfully engage marginalized and vulnerable populations, such as marginalized 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 fulfill 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 comprehensive 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 Comprehensive 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

The stakeholders' needs are 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.
- **Gender Action Plan:** The plan is in place and included as Annex 10 to the ProDoc. Updates will be informed by the ESIA/SESA, and progress against relevant benchmarks. The Gender Action Plan will be managed by the Gender Expert, under the responsibility of the PMU.

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](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 planned as per SESP		Risks
	Assessment	Management	
<b>Component 1</b>			
<b>Outcome 1.1</b>			
Output 1.1 The "PONASI Landscape Co-Governance Mechanism" is updated, strengthened and operationalized as an integrated platform serving as a joint decision-making mechanism for land and resource use within the landscape	SESA ESIA	SESA report and recommendations (Actions Matrix) Comprehensive Stakeholder Engagement Plan Indigenous People Plan Gender Action Plan ESMP	Risk 2
Output 1.2 The territorial planning tool is adopted as a spatial planning methodology allowing the visualization of the impacts of economic activities on the landscape with a clear articulation of trade-offs, to support the decision-making on a use of lands maximizing environmental and economic benefits.	N/A	N/A	
Output 1.3 Accurate and well-documented estimates of carbon stocks within the PONASI landscape are available to contribute to the process of assessing the benefits associated with different land and resource uses	N/A	N/A	
Output 1.4 Development of the PONASI Landscape Management Master Plan to guide the management of the PONASI landscape over the next 15 years	SESA ESIA	SESA report and recommendations (Actions Matrix) Comprehensive Stakeholder Engagement Plan Indigenous People Plan Gender Action Plan ESMP	Risk 2
Output 1.5 Sustainable and equitable management requirements for the different units of the territory, including effective enforcement and monitoring mechanisms, conflict prevention/management mechanisms, monitoring implementation compliance, monitoring of biodiversity and ecosystems, and a range of incentives and disincentives, support to the implementation of the PONASI Landscape Management Master Plan	SESA ESIA	SESA report and recommendations (Actions Matrix) Comprehensive Stakeholder Engagement Plan Indigenous People Plan Gender Action Plan ESMP	Risk 2

<b>Component 2</b>			
<b>Outcome 2.1</b>			
Output 2.1 Institutional and individual capacities within PA agencies are enhanced through targeted capacity building interventions.	ESIA Gender Analysis	Comprehensive Stakeholder Engagement Plan Indigenous People Plan Gender Action Plan ESMP	Risk 1 Risk 2 Risk 3
<b>Outcome 2.2</b>			
Output 2.2 PAs of the PONASI complex - Kabore-Tambi (169,000 ha), Nazinga (91,300 ha) and Sissili (32,700 ha), including corridors # 1 (4,500 ha) and # 2 (33,000 ha) - is reinforced by a series of technical support.	SESA ESIA	SESA report and recommendations (Actions Matrix) Comprehensive Stakeholder Engagement Plan Indigenous People Plan Gender Action Plan ESMP	Risk 1 Risk 2 Risk 3 Risk 9
Output 2.3 The management of natural resources in village hunting areas (ZOVIC), community protected areas, is enhanced through collaborative management interventions, including the development and implementation of simplified zoning plans, strengthening of hunting management and the implementation of human-wildlife conflict management measures	SESA ESIA	SESA report and recommendations (Actions Matrix) Comprehensive Stakeholder Engagement Plan Indigenous People Plan Gender Action Plan ESMP	Risk 2 Risk 9
Output 2.4 An effective PONASI landscape-wide elephant protection plan is developed and implemented. This plan incorporates the results of a scientific survey clarifying the essential elephant movement corridors within the PONASI complex and other neighbouring ecological complexes in the country and in Ghana.	ESIA	Comprehensive Stakeholder Engagement Plan Indigenous People Plan ESMP	Risk 1 Risk 6
<b>Component 3</b>			
<b>Outcome 3.1 Increased adoption of effective agro-silvo-pastoral and climate-smart agriculture practices by local communities in the PONASI landscape</b>			
<b>Outcome 3.2</b>			
Output 3.2 The management of natural resources in forests and community pastoral areas is improved through the collaborative development of simplified zoning plans and their implementation, and the strengthening of the management of forests and pastoral areas	SESA ESIA Gender Analysis	SESA report and recommendations (Actions Matrix) Comprehensive Stakeholder Engagement Plan Indigenous People Plan Gender Action Plan ESMP	Risks: 1, 4, 5, 6, 7, 8, 9, 10, 11, 12, 14
<b>Outcome 3.3</b>			Risks: 1, 5, 6, 7, 8,

			9, 10, 11, 12, 14, 15
Output 3.3 Sustainable local forest products processing enterprises are established, providing livelihoods and generating sustained income, especially for women and vulnerable people.	ESIA Gender Analysis	Comprehensive Stakeholder Engagement Plan Indigenous People Plan Gender Action Plan ESMP	Risks: 1, 4, 5, 6, 7, 8, 9, 10, 11, 12, 14, 15
<b>Outcome 3.4</b>			
Output 3.4 Strengthened capacities for better sharing of tourism benefits with local communities in the PONASI landscape. This support will include trainings for existing enterprises and at the community level, and support partnerships with the private sector.	SESA ESIA Gender Analysis	SESA report and recommendations (Actions Matrix) Comprehensive Stakeholder Engagement Plan Indigenous People Plan Gender Action Plan ESMP	Risks: 1, 4, 5, 6, 7, 8, 9, 12, 13, 14
<b>Component 4</b>			
<b>Outcome 4.1</b>			
Output 4.1 Gender Action plan implemented, monitored and evaluated	N/A	N/A	
<b>Outcome 4.2</b>			
Output 4.2: Technical knowledge and lessons learned from the project's experiences are compiled, assessed and translated into knowledge products that contribute to building the capacity of all actors in sustainable environmental management	SESA	SESA report and recommendations (Actions Matrix)	Risk 2
<b>Outcome 4.3</b>			
Output 4.3. Learnings are disseminated through the project communication plan to enable their widespread adoption by women and men across the PONASI landscape and in Burkina Faso.	N/A	NA	

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

Component 1	Activities
<b>Outcome 1</b>	
Output 1.1 The "PONASI Landscape Co-Governance Mechanism" is updated, strengthened and operationalized as an integrated platform serving as a joint decision-making mechanism for land and resource use within the landscape	1.1.1 Establishment of the PONASI landscape co-governance mechanism. (to be started after SESA completed)
	1.1.2 Operationalizing the co-governance mechanism. (to be started after SESA completed)
	1.1.3 Capacity building of stakeholders in landscape management at all levels to ensure optimal and open input from stakeholders (to be started after SESA completed)
Output 1.2 The territorial planning tool is adopted as a spatial planning methodology allowing the visualization of the impacts of economic activities on the landscape with a clear articulation of trade-offs, to support the decision-making on a use of lands maximizing environmental and economic benefits.	1.2.1 Valuation of ecosystem goods and services (ES) produced by the various units of the PONASI landscape
	1.2.2 Establishment of a consolidated environmental information system to support the environmental land use planning process.
	1.2.3 Criteria and standards for biodiversity conservation and sustainable land and ecosystem services management
Output 1.3 Accurate and well-documented estimates of carbon stocks within the PONASI landscape are available to contribute to the process of assessing the benefits associated with different land and resource uses	
Output 1.4 Development of the PONASI Landscape Management Master Plan to	1.4.1 Development of the PONASI Landscape Management Master Plan (to be started after SESA, ESIA and ESMP completed)
	1.4.2 Approval of the PONASI Landscape Management Master Plan.( to be started after SESA, ESIA and ESMP completed)

guide the management of the PONASI landscape over the next 15 years	
Output 1.5 Sustainable and equitable management requirements for the different units of the territory, including effective enforcement and monitoring mechanisms, conflict prevention/management mechanisms, monitoring implementation compliance, monitoring of biodiversity and ecosystems, and a range of incentives and disincentives, support to the implementation of the PONASI Landscape Management Master Plan	1.5.1 Establishment of management prescriptions for the various territory units within the PONASI landscape (protected areas of the State, wildlife corridors, ZOVICs, community forests, CAF, agro-pastoral and sylvo pastoral lands). (to be started after SESA, ESIA and ESMP completed)
	1.5.2 Monitoring system for the implementation of the master plan and its effects, including the monitoring of biodiversity and ecosystems. (to be started after SESA, ESIA and ESMP completed)
	1.5.3 Design and implementation of incentives and disincentives to promote compliance to the Master Plan. (to be started during SESA, ESIA and ESMP completed)
	1.5.4 Establishment of a mechanism to monitor compliance and prevent/manage conflicts. (to be started after SESA, ESIA and ESMP completed)
	1.5.5 Support for the implementation of the PONASI Landscape Management Master Plan. (to be started after SESA, ESIA and ESMP completed)
<b>Component 2</b>	
<b>Outcome 2.1</b>	
Output 2.1 Institutional and individual capacities within PA agencies are enhanced through targeted capacity building interventions.	2.1.1 The institutional and legislative framework enables effective, efficient and collaborative management of the PONASI protected areas (to be started after ESIA and ESMP completed)
	2.1.2 An information system for monitoring, analysis, mapping and dissemination of knowledge is implemented and allows adaptive management of protected areas at the scale of the PONASI complex and for individual sites (to be started after ESIA and ESMP completed)
	2.1.3 Capacity development program developed and implemented (to be started after ESIA completed)
<b>Outcome 2.2</b>	
	2.2.1. Clarification / revision of the status and boundaries of the PAs of the PONASI complex

Output 2.2 PAs of the PONASI complex - Kabore-Tambi (169,000 ha), Nazinga (91,300 ha) and Sissili (32,700 ha), including corridors # 1 (4,500 ha) and # 2 (33,000 ha) - is reinforced by a series of technical support.	Formal creation of corridor # 2. Revision of the southern boundary of the Nazinga Game Ranch. Clarification and awareness of the status of the Sissili Classified Forest.
	2.2.2. Management plans for Nazinga, PNKT and Sissili PAs, including corridors # 1 and # 2 developed and implemented (to be started during SESA and ESIA)
	2.2.3 Collaborative management agreements for State PAs and support to collaborative management committees (to be started after SESA and ESIA)
	2.2.4 Long-term ecological monitoring system at the landscape and individual PAs levels a. Development of a monitoring program to support the adaptive management of PAs including wildlife corridors and ZOVICs at site and complex levels; b. Implementation of the long-term ecological monitoring system (to be started after SESA, ESIA and ESMP completed)
	2.2.5 Surveillance and anti-poaching operations are planned and implemented at the PONASI landscape scale with the participation of local communities, and coordinated with Ghana's conservation efforts (to be started after ESIA and ESMP completed)
Output 2.3 The management of natural resources in village hunting areas (ZOVIC), community protected areas, is enhanced through collaborative management interventions, including the development and implementation of simplified zoning plans, strengthening of hunting management and the implementation of human-wildlife conflict management measures	2.3.1 Formalization of the legal status of certain ZOVICs and updating of the ZOVIC limits.
	2.3.2 Development of simplified zoning plans for ZOVICs using the territory planning tool and support for their implementation (to be started after SESA and ESIA completed)
Output 2.4 An effective PONASI landscape-wide elephant protection plan is developed and implemented. This plan incorporates the results of a scientific survey clarifying the essential elephant movement corridors within the PONASI complex and other neighboring ecological complexes in the country and in Ghana.	2.4.1 The resolution of human-elephant conflicts in the PONASI landscape using the SAFE Systems approach Step 1: Compile Human-wildlife conflict information in the landscape Step 2: Conduct rapid human-wildlife conflict assessments using the SAFE systems tool. Step 3: Design the SAFE strategy and action plan for the PONASI landscape, including a monitoring plan. Step 4: Implementation and monitoring of the strategy and action plan. (to be started during ESIA)
	2.4.2 Research program on elephant movements within and outside the PONASI landscape, to Ghana and the two Balés classified forest
	2.4.3 Renewal of transboundary collaboration agreements with Ghana for the conservation of shared natural resources

	(to be started after ESIA)
<b>Component 3</b>	
<b>Outcome 3.1 Increased adoption of effective agro-silvo-pastoral and climate-smart agriculture practices by local communities in the PONASI landscape</b>	
	3.1.1 Participatory diagnostic of the condition of land resources (soils, water, biodiversity).
	3.1.2 Development of an intervention and investment plan
	3.1.3 Support to producers and land and resource user groups
<b>Outcome 3.2</b>	
Output 3.2 The management of natural resources in forests and community pastoral areas is improved through the collaborative development of simplified zoning plans and their implementation, and the strengthening of the management of forests and pastoral areas	3.2.1 Development of simplified zoning plans for community-managed forests, and improvement of forest management through the promotion of best practices (to be started after SESA and ESIA)
	3.2.2 Promotion of best practices for rangeland and pasture management including specific strategies for managing pastoralism at the local level, planning and development of water points for pastures, conciliation between farmers and pastoralists, and reducing encroachment of protected areas and crop areas by livestock (to be started after SESA, ESIA and ESMP)
	3.2.3 Revising the Forest Management Site (CAF) Model Strengthens Resource Conservation and Reduces Pressure on Protected Areas (i) Evaluation of the management of the CAFs of Nazinon, Gaongo and Zoundweogo, involving local users; (ii) Participatory updating of management plans of the forest units concerned on the basis of the recommendations of the study
<b>Outcome 3.3</b>	
Output 3.3 Sustainable local forest products processing enterprises are established, providing livelihoods and generating sustained income, especially for women and vulnerable people.	3.3.1 Market studies for the three non-timber forest products value chains
	3.3.2 Identification of priority beneficiaries (to be started after ESIA)
	3.3.3 Women and men beneficiaries are better structured through the establishment of four (4) functional cooperatives (to be started after ESIA)
	3.3.4 The capacities of women and men beneficiaries are built by technical training (to be started after ESIA)
	3.3.5 Securing access to resources that support value chains and their sustainability to maximize revenue (to be started after ESIA)

	3.3.6 Support to the production activity (to be started after ESIA)
	3.3.7 Support for marketing (to be started after ESIA)
<b>Outcome 3.4</b>	
Output 3.4 Strengthened capacities for better sharing of tourism benefits with local communities in the PONASI landscape. This support will include trainings for existing enterprises and at the community level, and support partnerships with the private sector.	3.4.1 Establish a sustainable tourism strategy for the PONASI landscape (Specific development plan for sustainable tourism in the PONASI area in the current context) (to be started after SESA and ESIA)
	3.4.2: Establish and support a PONASI destination management organization (to be started after SESA and ESIA)
	3.4.3 Tourism and hospitality capacity building and training program (to be started after SESA and ESIA)
	3.4.4 Tourism product development and improvement (to be started after SESA and ESIA)
	3.4.5 Promotion and improved market access. (to be started after SESA and ESIA)
	3.4.6 Tourism infrastructure improvements for the Kaboré-Tambi National Park. (to be started after SESA and ESIA)
<b>Component 4</b>	<b>Activities</b>
<b>Outcome 4.1</b>	
Output 4.1 Gender Action plan implemented, monitored and evaluated	
<b>Outcome 4.2</b>	
Output 4.2: Technical knowledge and lessons learned from the project's experiences are compiled, assessed and translated into knowledge products that contribute to building the capacity of all actors in sustainable environmental management (to be started after SESA)	
<b>Outcome 4.3</b>	
Output 4.3. Learnings are disseminated through the project communication plan to enable their widespread adoption by women and men across the PONASI landscape and in Burkina Faso.	

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## 4. INSTITUTIONAL ARRANGEMENTS AND CAPACITY BUILDING

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### 4.1. 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 Comprehensive 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.

#### 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, IPP, Livelihood Action Plan (LAP), 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 International Safeguards Expert to develop 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 Unit:**

- Supervise and manage implementation of measures defined in the ESMP (including specifically the implementation of the FPIC procedures, GRM, IPP, 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 PMU.
- Maintain relevant records associated with management of environmental and social risks, including updated SESP, 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.

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**4.2. 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 PMU 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.

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**5. 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 (i.e., PPG). The list of the stakeholders engaged in the consultations will be included in the Comprehensive Stakeholder Engagement Plan 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 Comprehensive 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 Burkina Faso 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.

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## 6. 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 three months of the project, in order to receive and facilitate resolution of any complaints and grievances. The GRM will be established at the national level in Ouagadougou to address grievances. 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 Environment, Green Economy and Climate Changes) 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.

## 7. IMPLEMENTATION ACTION PLAN (SCHEDULE AND BUDGET) FOR ESMF IMPLEMENTATION

The 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 costs are also integrated into the Project's Total Budget. 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
Develop the ESIA	X											
Develop the SESA	X											
Develop the SESP site and activity specific	X											
Develop the Livelihood Action Plan (LAP) (if needed)	X											
Develop the IPP	X	X										
Develop the 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
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's Total Budget and Work Plan (TBWP). The estimated costs are indicated in Table below. Costs associated with the time of PMU staff coordinating the implementation of this ESMF or UNDP support are not shown.

### Budget for ESMF implementation

Description	Cost, USD
<b>Carrying out ESIA and SESAs, preparing ESMP and other management plans as warranted:</b>	
International Safeguards expert (carry out ESIA and SESA, develop ESMP and other plans)	60,000
Travel expenses and DSA	10,000
ESIA public consultations	5,000
<b>Sub-total:</b>	<b>75,000</b>
<b>Monitoring and evaluation of the implementation of the ESMP and other management plans:</b>	

Gender Expert	63,000
M&E/Safeguards Expert	94,500
Travel expenses and DSA	5,000
<b>Sub-total:</b>	<b>162,500</b>
<b>TOTAL:</b>	<b>237,500</b>

## 8. 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 Comprehensive 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 have 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 ESMFs and management plans are in place)	Required ESMF steps are completed in a timely manner.	Project Coordinator, with support from the M&E/Safeguards Expert

Monitoring Activity & Relevant Projects	Description	Frequency / Timeframe	Expected Action	Roles and Responsibilities
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, M&E/Safeguards Expert, 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, M&E/Safeguards Expert
Development of IPP	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 Expert
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, M&E/Safeguards Expert with support from Project Coordinator
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

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## **ANNEXES**

ANNEX 1: Indigenous Peoples Planning Framework (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 Peoples Plan (IPP)

ANNEX 7: Indicative Outline of a Comprehensive Stakeholder Engagement Plan (CSEP)

ANNEX 8: Terms of Reference for Project-level Grievance Redress Mechanism (GRM)

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## **ANNEX 1: INDIGENOUS PEOPLES PLANNING FRAMEWORK (IPPF)**

The purpose of this Indigenous Peoples Planning Framework (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 Indigenous Peoples Plan (IPP). As already highlighted in the document above, any project activities that may adversely affect indigenous peoples will not commence until the IPP 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:**

The **project objective** is to safeguard critical wildlife habitat, biodiversity and ecosystem services in the PONASI Protected Area complex through integrated landscape management, generating multiple benefits for sustainable development in the southern central Burkina Faso.

This overall objective is broken down into **4 specific objectives**, corresponding to the **project components, and related outcomes**:

**Component 1** - Framework for Integrated Landscape Management of PONASI with sustainable financing for its operation

**Outcome 1.1** Updated, strengthened and operationalized PONASI landscape co-governance mechanism to ensure concerted, integrated and equitable management of land and resource use within the 952,000-ha landscape and maximize environmental and socio-economic benefits.

**Component 2** - Strengthening the PONASI Protected Area System

**Outcome 2.1** Increased institutional capacity of protected area management agencies (OFINAP and DGEF) to manage knowledge and design rules for the use and development of natural resources

**Outcome 2.2** Increased effectiveness of protected area management on 354,781 ha including State protected areas, community protected areas and wildlife corridors within the PONASI complex

**Component 3** - Sustainable Land and Resources Management and Diversification of Livelihoods.

**Outcome 3.1** Increased adoption of effective agro-silvo-pastoral and climate-smart agriculture practices by local communities in the PONASI landscape

**Outcome 3.2** Diversified livelihoods of local communities related to tourism development and forest products-based value chains

**Outcome 3.3** Sustainable Land Management (SLM) practices are implemented by communities within the PONASI landscape to reduce threats to protected areas and increase food security, productivity and agricultural resilience through climate-smart agriculture, sustainable wood harvesting and biomass energy, forest restoration, assisted natural regeneration, and fire management

**Component 4** - Gender mainstreaming, and knowledge and learning management

**Outcome 4.1:** Increased opportunities for women to benefit from the sustainable management of natural resources and value chains related to PAs within the PONASI landscape

**Outcome 4.2:** Appropriation of the knowledge developed in the project by the actors within the PONASI landscape and in Burkina Faso

Within landscape units, the effectiveness of protected area management will be improved through improved management tools and capacity development, and land and resource management will be enhanced through the introduction of a series of sustainable land and resource management practices that will generate multiple environmental and socio-economic benefits within the terroirs at the periphery of protected areas.

This Indigenous Peoples Planning Framework has been prepared as annex of the ESMF, that guide the assessment and management of the identified social and environmental risks during the implementation of the project titled "Integrated and Sustainable Management of PONASI Protected Area Landscape" in Burkina Faso.

The Framework forms the basis upon which the 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 plans 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 project preparation grant (PPG) phase identified fourteen (15) potential social and environmental risks associated with project activities.

Nine (9) significant risks are assessed in the SESP as "**Substantial**":

- Risk 1** Rights-holders do not have the capacity **to claim relevant rights**, especially amongst less educated rural populations, some of which are indigenous peoples/local communities.
- Risk 5** Project implementation can indirectly lead to **discriminatory working conditions and/or lack of equal opportunity**.
- Risk 6** Given the prevailing cultural context, groups marginalized for socio-economic, tribal (especially indigenous peoples) or gender (especially women) reasons are **not duly consulted** and involved in the project, do not benefit equally, and that the project and its stakeholders reproduce established discriminations, potentially leading to inadvertent harm.
- Risk 7** The project can lead to **economic displacement** in some parts of the population including women and indigenous peoples, considering that the project is expected to catalyze more sustainable land use and natural resource exploitation, which could curtail access to traditional natural resources and harm local livelihoods.
- Risk 8** The project affects **the development priorities and cultural heritage or natural features with cultural significance** of some indigenous peoples, considering that the project is expected to catalyze more sustainable land use, natural resource exploitation and ecosystem management, which could curtail access to traditional natural resources and harm local livelihoods.
- Risk 9** The project can, directly or indirectly lead to increased **exploitation of natural resources and ecosystems/biodiversity**, considering that project activities are located in or near critical habitats and / or ecologically sensitive areas, including legally protected areas (eg nature reserve, national park).
- Risk 12** The project activities implemented by local population can lead to impact on gender balance and on traditional **social roles in the local communities**.
- Risk 13** Involvement of the private sector has an impact on **respect of Safeguards standards** (respect of Human Rights, Gender balance, etc...)
- Risk 14** Access to economic resources and natural resources facilitated through interventions create or **exacerbate conflicts** between groups or increase the risk of violence between project-affected communities and individuals.

In addition, six (6) potential risks are considered of Moderate. Based on their significance, the overall project is categorized as a "Substantial Risk" project.

- Risk 2** Duty-bearers (government and private sector partners) do not have the capacity to meet their obligations in **respecting and protecting the human rights of affected populations**.
- Risk 3** Capacity building of Eco guards and rangers as part of the surveillance program for the protected areas of the PONASI complex, for strengthening anti-poaching measures could possibly lead **to human rights abuses against vulnerable local communities**.

**Risk 4** Project support directly or indirectly linked to rural livelihoods lead to **child labour** (boys and girls).

**Risk 10** The project may pose the risk of introducing **invasive alien species** as part of support to agroforestry systems, that can have a negative impact on ecosystems.

**Risk 11** Project's activities increase the vulnerabilities of populations (especially women living in rural areas) to the **effects of climate change**.

**Risk 15** Participation in project activities could pose a potential risk of increased exposure to COVID-19 and other occupational risks.

The broad scope of project activities and outputs is established. However, additional assessment is required within the first 6 months of project implementation, 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.

The 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). The 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), including Indigenous Peoples Planning Framework (IPPF); (2) Stakeholder Engagement Plan; (3) Gender Analysis and Gender Action Plan.

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 year of project implementation. 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** and a **SESA** are required. 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**.

Considering the risks related to Standard 6: Indigenous Peoples, the ESIA will also include assessment of specific impacts on Indigenous Peoples, existing or potential conflicts among them, economic displacement and others that will lead to the preparation of an **Indigenous Peoples Plan**, based on this Indigenous Peoples Planning Framework.

The Free, Prior, and Informed consent (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 Indigenous Peoples 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, an **Economic Displacement Risk Assessment** and a **Livelihood Action Plan** will be developed where the risks of economic displacement (part or full) are verified, ensuring that restrictions to access to resources are adequately compensated.

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

## 2. Description of local context and Indigenous Peoples:

Burkina Faso has a population of 21.510.1811 comprising some 60 different ethnic groups. The Indigenous Peoples include the pastoralist Peul (also called the fulbe duroobe egga hoddaabe, or, more commonly, duroobe or egga hoddaabe) and the Tuareg. There are no reliable statistics on the exact number of pastoralists in Burkina Faso. They can be found throughout the whole country but are particularly concentrated in the northern regions of Séno, Soum, Baraboulé, Djibo, Liptaako, Yagha and Oudalan.

The Peul and the Tuareg most often live in areas which are geographically isolated, dry and economically marginalised and they are often the victims of human rights abuses. Burkinabe nomadic pastoralists, even if innocent of any crime, have thus been subjected to numerous acts of violence: their houses burned, their possessions stolen, their animals killed or disappeared, children and the elderly killed, bodies left to decay and their families forbidden from retrieving them.

Peul pastoralists are gradually becoming sedentarised in some parts of Burkina Faso. There are, however, still many who remain nomadic, following seasonal migrations and travelling hundreds of kilometres into neighbouring countries, particularly Togo, Benin and Ghana. Unlike other populations in Burkina Faso, the nomadic Peul are pastoralists whose whole lives are governed by the activities necessary for the survival of their animals and many of them still reject any activity not related to extensive livestock rearing.

The existence of Indigenous Peoples is not recognised by the Constitution of Burkina Faso. The Constitution guarantees education and health for all; however, due to lack of resources and proper infrastructure, the nomadic populations can, in practice, only enjoy these rights to a very limited extent. Burkina Faso voted in favour of the United Nations Declaration on the Rights of Indigenous Peoples.

2019 was a deadly year for nomadic pastoralists, with hundreds killed by jihadists, armed militia commonly known as kogleweogo and also by uncontrolled elements of the country's forces of law and order. 2020 has been no better. Pastoralists very often pay the price for the various counter-terrorism operations organised by Burkina Faso's security and defence forces but also for the offensives of armed militia such as the kogleweogo. The Peul are falsely linked to the terrorist groups, suffer attacks from armed militia, and have even been arrested and killed, particularly along the Fada NGourma - Pama - Benin border. In some areas, their movements are restricted, and they are forbidden to travel to market. At the same time, they are also targeted by the jihadists and therefore find themselves caught between a rock and a hard place. Many have therefore taken the decision not to return to Burkina following their nomadic travels to Benin, Ghana and Togo for fear of being branded terrorists. 2020 was marked by an "ethnicization" of terrorism, with nomadic pastoralists increasingly associated with the terrorists.

Burkina Faso recorded its first case of COVID-19 on 9 March 2020. On 29 December 2020, the government information service attached to the Office of the Prime Minister communicated the number of confirmed cases of COVID-19 since that first date: 6,631 of whom 2,437 women and 4,194 men, with a total of 84 deaths. From March to December 2020, however, the nomadic Peul pastoralists of Burkina found themselves in a very difficult situation due to the imposition of lockdowns, curfews and border closures. Many transhumant pastoralists began their usual movements in the first quarter of 2020, both inside Burkina and across its borders. Preparations require the sale of one or two animals to buy grain for the family. Unfortunately, COVID-19 meant that the large towns that receive almost all the animals for sale were in lockdown. Only village markets remained open where small amounts of money could be obtained with which to buy grain. Since traders were unable to take their animals to the towns, they had to sell them locally at a much cheaper price. In addition, the urban lockdown paralysed the system by which nomadic pastoralists obtain supplies of pharmaceutical products with which to treat their animals on the journey. As these products generally come from Ouagadougou, the lockdown in this city prevented veterinary pharmacies from replenishing their supplies. It was also impossible to buy products such as salt lick, and especially cattle feed, thousands of tonnes of which are needed to ensure that enough animals survive the "lean cow" period from March to June. Without vaccination and without feed, it therefore became impossible to travel.

The mobility of nomadic pastoralists depends on water points, the security of the route, and also on village markets where they can sell a ram, a calf, or a sick or very lean cow or bull that is unable to continue the journey. For fear of encouraging the transmission of the coronavirus, however, markets have remained closed. This has

put a strain on transhumance, with the nomadic pastoralists forced to sell their animals at a low price, and even to sell two or three animals instead of one. Moreover, the situation did not improve once the markets reopened because there was such a large surplus that animal prices have fallen slightly on average compared to the previous season.

Pastoralism relies on the mobility of livestock. This means that thousands of pastoralists cross Burkina Faso's borders each year in search of fodder for their animals. Unfortunately, however, the country's land borders have been closed since March 2020 and have still not reopened. Cross border mobility has thus been interrupted by this closure, and it has had a negative impact on pastoral activities. The Director of Pastoral Security in Burkina Faso furthermore notes that "in the Central-Eastern and Eastern regions, the closure of borders with host countries (Benin, Togo, Ghana) has resulted in a concentration of animals and a scarcity of water and pasture in the transit areas. This closure of borders has restricted the flow of animals to the coastal countries, and some pastoralists have been forced to wait along the border in the communes of Logobou, Madjoari and Kompienga, creating a concentration of animals that could lead to conflicts if the situation continues." Many nomadic pastoralists whose food supply systems rely on the transit areas were thus left helpless.

Burkina Faso was marked, on the one hand, by the violent extremism of the jihadists and armed militia and, on the other, by the COVID-19 pandemic. The former, which has pushed many pastoralists to leave Burkina Faso, has also deprived the many nomadic pastoralists of their animals and sometimes even cost them their lives. As for COVID-19, it has exacerbated "the difficulties of the lean season for pastoralists and agropastoralists due to a drastic reduction in residual fodder, difficulties in accessing water points, decapitalisation, theft, difficulties in accessing basic social infrastructure (health centres, schools, wells, veterinary pharmacies), the unavailability of livestock feed on the markets, and conflicts with sedentary farmers. This has led to a deterioration in the living conditions of pastoralists and their animals". Support measures need to be implemented to assist these nomadic pastoralists in their struggle for survival.

On 12 May 2018, the situation of Burkina Faso's minority and Indigenous Peoples was considered by the Human Rights Council in Geneva during the Universal Periodic Review (UPR). The compilation of the Burkina Faso report from the UN Office of the High Commissioner for Human Rights states: "The Committee [on the Elimination of Racial Discrimination] is concerned that certain groups, including nomads, migrants and people living in rural areas, may not be sufficiently taken into account in the development programmes and policies drawn up by the State party. The Committee recommends that the State party take the necessary measures to avoid [their] marginalization. The Committee is concerned by the communitarian and sometimes ethnic dimension of these conflicts, especially those involving the Fulani people. [The Human Rights Council called on Burkina Faso] to reduce tensions between pastoralists and farmers, including by taking into consideration the root causes of the conflicts, such as the increased competition for land and land-tenure insecurity. [It noted] with concern reports that the Fulani community [had] been regularly targeted by vigilante groups. [The Committee welcomed the] establishment in 2015 of the National Observatory for the Prevention and Management of Community Conflicts".

### **3. Applicable legal framework that pertains to the potentially affected Indigenous peoples.**

Here below the main provisions from the applicable international legal framework that pertains to the potentially affected Indigenous Peoples:

- CCPR - International Covenant on Civil and Political Rights
- CEDAW - Convention on the Elimination of All Forms of Discrimination against Women
- CERD - International Convention on the Elimination of All Forms of Racial Discrimination
- CESC - International Covenant on Economic, Social and Cultural Rights
- CMW - International Convention on the Protection of the Rights of All Migrant Workers and Members of Their Families
- CRC - Convention on the Rights of the Child

- CRC-OP-AC - Optional Protocol to the Convention on the Rights of the Child on the involvement of children in armed conflict
- CRPD - Convention on the Rights of Persons with Disabilities
- CEDAW-OP - Optional Protocol to the Convention on the Elimination of All Forms of Discrimination against Women
- CRPD-OP - Optional protocol to the Convention on the Rights of Persons with Disabilities
- Convention on the Protection and Promotion of the Diversity of Cultural Expressions
- Convention for the Safeguarding of the Intangible Cultural Heritage
- Convention on the Means of Prohibiting and Preventing the Illicit Import, Export and Transfer of Ownership of Cultural Property.
- Convention concerning the Protection of the World Cultural and Natural Heritage.
- Convention against Discrimination in Education.

At national level, the existence of Indigenous Peoples is not recognised by the Constitution of Burkina Faso.

The ESMF therefore refers to Indigenous Peoples, keeping the UNDP SES approach (Standard 6).

Through implementation of Standard 6, UNDP aims to:

- avoid adverse impacts on indigenous peoples, their rights, lands, territories and resources;
- mitigate/remedy impacts that cannot be avoided;
- support countries to implement human rights obligations;
- ensure equitable and culturally appropriate benefit sharing with indigenous peoples.

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 15 risks for this project that could have potential negative impacts in the absence of safeguards. Six of these risks were rated as Moderate and nine as Substantial.

The screenings indicate that up to nine of the social and environmental principles and standards have been triggered due to 'substantial' risks (see ESMF and SESP).

Three principles and four Standards are related to **impacts on Indigenous Peoples**:

- Principle - Human Rights, due to risk that local communities and vulnerable people, especially women and indigenous peoples or marginalized local communities, 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 (including Indigenous 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 the girls can be inadvertently involved in child labour related to new income generating activities 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 (including Indigenous Peoples), ensuring the participation of all the different groups present in project areas.

- Standard 4 - Cultural Heritage, considering the project can impact on Indigenous Peoples or Local communities' tangible or intangible cultural heritage.
- Standard 5 – Displacement and Resettlement, due to risk that project activities may have an adverse impact on access to natural resources, especially for women, youth, and marginalized groups (including Indigenous Peoples). The project can lead to economic displacement.
- 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 groups.
- Standard 7: Labour and Working Conditions, considering that the project will lead to changes in the economic and livelihoods practices, introducing new income generating activities and impacting on Indigenous Peoples livelihoods practices.

In addition, one (1) of the Standards triggered due to potential impacts rated as “Moderate” are related to **impacts on Indigenous Peoples:**

- Standard 2 - Climate Change and Disaster Risks, considering the project can have an impact on the local communities' (including Indigenous Peoples) resilience to climate change

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.

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

#### **4. 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.

Eight 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** Rights-holders do not have the capacity **to claim relevant rights**, especially amongst less educated rural populations, some of which are indigenous peoples/local communities.

**Risk 5** Project implementation can indirectly lead to **discriminatory working conditions** and/or **lack of equal opportunity**.

**Risk 6** Given the prevailing cultural context, groups marginalized for socio-economic, tribal (especially indigenous peoples) or gender (especially women) reasons are **not duly consulted** and involved in the project, do not benefit equally, and that the project and its stakeholders reproduce established discriminations, potentially leading to inadvertent harm.

**Risk 7** The project can lead to **economic displacement** in some parts of the population including women and indigenous peoples, considering that the project is expected to catalyze more sustainable land use and natural resource exploitation, which could curtail access to traditional natural resources and harm local livelihoods.

**Risk 8** The project affects **the development priorities and cultural heritage or natural features with cultural significance** of some indigenous peoples, considering that the project is expected to catalyze more sustainable land use, natural resource exploitation and ecosystem management, which could curtail access to traditional natural resources and harm local livelihoods.

**Risk 12** The project activities implemented by local population can lead to impact on gender balance and on traditional **social roles in the local communities**.

**Risk 13** Involvement of the private sector has an impact on **respect of Safeguards standards** (respect of Human Rights, Gender balance, etc...)

**Risk 14** Access to economic resources and natural resources facilitated through interventions create or **exacerbate conflicts** between groups or increase the risk of violence between project-affected communities and individuals.

Four risks 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 3** Capacity building of Eco guards and rangers as part of the surveillance program for the protected areas of the PONASI complex, for strengthening anti-poaching measures could possibly lead to **human rights abuses against vulnerable local communities**.

**Risk 4** Project support directly or indirectly linked to rural livelihoods lead to **child labour** (boys and girls).

**Risk 11** Project’s activities increase the vulnerabilities of populations (especially women living in rural areas) to the **effects of climate change**.

**Risk 15** Participation in project activities could pose a potential risk of increased exposure to COVID-19 and other occupational risks.

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.

## 5. Procedures:

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 all locations. Further screening is required to identify risks’ site-specific significance, and to effectively target any required further impact assessment or management.

Once the initial project activities are confirmed, at project inception phase, the Safeguards Specialist and the PMU will decide, based on Safeguards documents, if further screening will be needed and, if yes, the additional screening will be done using a clean SESP template, 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.

**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 Peoples will be assessed with targeted assessment (ESIA) and will be managed through the ESMP and the Indigenous Peoples Plan.

The IPPF therefore ensure that the findings of new screening done using a clean SESP template will be taken into consideration for the development of the Indigenous Peoples Plan.

**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 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 Indigenous Peoples Plan.

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

**Strategic Environmental and Social Assessment (SESA) – Impacts on decision making processes involving Indigenous Peoples.**

The SESA will assess how specific outputs identified in the SESP may have impacts on participatory approaches and decision-making processes including the Indigenous Peoples presents in the project’s areas. 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 Indigenous Peoples will be involved, to ensure their meaningful participation.

**Environmental and Social Impact Assessment (ESIA) – Impacts on Indigenous Peoples**

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 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 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 6 months of the project and as part of the workplan preparatory activities. The ESIA will focus on identifying the role of customary leaders, and the possible impacts of the project activities on the customary mechanisms.

**Assessment** of further activities impacting Indigenous Peoples 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.

**Management plans:**

In addition to the Management Plans listed in the ESMF, the main Plan to ensure the meaningful participation of Indigenous Peoples is:

**Indigenous Peoples Plan (IPP)**

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. The SESP has identified potential impacts to the rights, lands, territories and traditional livelihoods of Indigenous Peoples and potential impacts on already existing conflicts between groups.

The project identifies Peul and Tuareg as Indigenous Peoples, based on the UNDP definitions for Indigenous Peoples. The Plan will define how best to engage with all the groups and to ensure they benefit equally from the project's positive impacts.

The ESIA will identify the presence of these peoples in the project area, and further assess the nature of the risk(s), including any gender-related issues specific to Indigenous Peoples. Where the potential for such impacts is confirmed through the ESIA, the IPP will be developed, simultaneously with, and integrated into the ESMF.

The IPP will enable and map out the communication to take place with affected groups throughout the decision-making process, facilitating information exchange during project implementation. The IPP will describe how communities will be involved at all stages of project implementation, and subsequent on-the-ground project activities.

During the project's first year of implementation, discussions on upstream elements of the project will include Indigenous Peoples 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 must be developed within the first project year. No activities that may affect the rights, customs, lands, resources or territories of Indigenous Peoples will commence without their explicit prior, freely given consent. An indicative template is appended to the ESMF (Annex 6), outlining the required IPP sections.

Through the IPP, the project will:

- Ensure full, effective and meaningful participation of affected indigenous peoples and people belonging to the communities present in the project area throughout the project cycle.
- Ensure the relations between local communities are identified
- Ensure any conflict already existing between communities 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 communities 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 IPP will identify the mitigation measures for impacts on Indigenous Peoples, especially the most marginalized. The Plan can be integrated with SESA report findings and Action Matrix, to ensure the impacts on Indigenous Peoples are managed also at upstream activities level.

**Scope of the IPP** – An IPP is needed in relation to the following Outputs (based on SESP findings):

<b>Outputs</b>	<b>Risks</b>
<b>Component 1</b>	
<b>Outcome 1.1</b>	
Output 1.1 The "PONASI Landscape Co-Governance Mechanism" is updated, strengthened and operationalized as an integrated platform serving as a joint decision-making mechanism for land and resource use within the landscape	Risk 2
Output 1.2 The territorial planning tool is adopted as a spatial planning methodology allowing the visualization of the impacts of economic activities on the landscape with a clear articulation of trade-offs, to support the decision-making on a use of lands maximizing environmental and economic benefits.	N/A
Output 1.3 Accurate and well-documented estimates of carbon stocks within the PONASI landscape are available to contribute to the process of assessing the benefits associated with different land and resource uses	N/A
Output 1.4 Development of the PONASI Landscape Management Master Plan to guide the management of the PONASI landscape over the next 15 years	Risk 2
Output 1.5 Sustainable and equitable management requirements for the different units of the territory, including effective enforcement and monitoring mechanisms, conflict prevention/management mechanisms, monitoring implementation compliance, monitoring of biodiversity and ecosystems, and a range of incentives and disincentives, support to the implementation of the PONASI Landscape Management Master Plan	Risk 2
<b>Component 2</b>	
<b>Outcome 2.1</b>	
Output 2.1 Institutional and individual capacities within PA agencies are enhanced through targeted capacity building interventions.	Risk 1 Risk 2 Risk 3
<b>Outcome 2.2</b>	
Output 2.2 PAs of the PONASI complex - Kabore-Tambi (169,000 ha), Nazinga (91,300 ha) and Sissili (32,700 ha), including corridors # 1 (4,500 ha) and # 2 (33,000 ha) - is reinforced by a series of technical support.	Risk 1 Risk 2 Risk 3 Risk 9
Output 2.3 The management of natural resources in village hunting areas (ZOVIC), community protected areas, is enhanced through collaborative management interventions, including the development and implementation of simplified zoning plans, strengthening of hunting management and the implementation of human-wildlife conflict management measures	Risk 2 Risk 9
Output 2.4 An effective PONASI landscape-wide elephant protection plan is developed and implemented. This plan incorporates the results of a scientific survey clarifying the essential elephant movement corridors within the PONASI complex and other neighbouring ecological complexes in the country and in Ghana.	Risk 1 Risk 6
<b>Component 3</b>	
<b>Outcome 3.1 Increased adoption of effective agro-silvo-pastoral and climate-smart agriculture practices by local communities in the PONASI landscape</b>	N/A
<b>Outcome 3.2</b>	
Output 3.2 The management of natural resources in forests and community pastoral areas is improved through the collaborative development of simplified zoning plans and their implementation, and the strengthening of the management of forests and pastoral areas	Risks: 1, 4, 5, 6, 7, 8, 9, 10, 11, 12, 14

<b>Outcome 3.3</b>	Risks: 1, 5, 6, 7, 8, 9, 10, 11, 12, 14, 15
Output 3.3 Sustainable local forest products processing enterprises are established, providing livelihoods and generating sustained income, especially for women and vulnerable people.	Risks: 1, 4, 5, 6, 7, 8, 9, 10, 11, 12, 14, 15
<b>Outcome 3.4</b>	
Output 3.4 Strengthened capacities for better sharing of tourism benefits with local communities in the PONASI landscape. This support will include trainings for existing enterprises and at the community level, and support partnerships with the private sector.	Risks: 1, 4, 5, 6, 7, 8, 9, 12, 13, 14
<b>Component 4</b>	
<b>Outcome 4.1</b>	
Output 4.1 Gender Action plan implemented, monitored and evaluated	N/A
<b>Outcome 4.2</b>	
Output 4.2: Technical knowledge and lessons learned from the project's experiences are compiled, assessed and translated into knowledge products that contribute to building the capacity of all actors in sustainable environmental management	Risk 2
<b>Outcome 4.3</b>	
Output 4.3. Learnings are disseminated through the project communication plan to enable their widespread adoption by women and men across the PONASI landscape and in Burkina Faso.	N/A

The ESMP and the Comprehensive Stakeholder Engagement Plan that will be developed will take into consideration Indigenous Peoples, making clear the links with the IPP.

The CSEP will include all the vulnerable groups and communities, in addition to those that in this project are defined as Indigenous Peoples (Peul and Tuareg)

## 6. Participation, Consultations and FPIC Processes:

The ESIA will identify the presence of Indigenous Peoples, and further assess the nature of the risk(s), including any gender-related issues specific to Indigenous Peoples. Where the potential for such impacts is confirmed through the ESIA, an Indigenous Peoples Plan 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 FPIC). 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 IPP that is prepared as follow up to this IPPF 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 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 process will be ensured from the project inception phase throughout the project, 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	Activities
<b>Outcome 1</b>	
Output 1.1 The "PONASI Landscape Co-Governance Mechanism" is updated, strengthened and operationalized as an integrated platform serving as a joint decision-making mechanism for land and resource use within the landscape	1.1.1 Establishment of the PONASI landscape co-governance mechanism
	1.1.2 Operationalizing the co-governance mechanism.
	1.1.3 Capacity building of stakeholders in landscape management at all levels to ensure optimal and open input from stakeholders
Output 1.2 The territorial planning tool is adopted as a spatial planning methodology allowing the visualization of the impacts of economic activities on the landscape with a clear articulation of trade-offs, to support the decision-making on a use of lands maximizing environmental and economic benefits.	1.2.1 Valuation of ecosystem goods and services (ES) produced by the various units of the PONASI landscape
	1.2.2 Establishment of a consolidated environmental information system to support the environmental land use planning process.
	1.2.3 Criteria and standards for biodiversity conservation and sustainable land and ecosystem services management
Output 1.4 Development of the PONASI Landscape Management Master Plan to guide the management of the PONASI landscape over the next 15 years	1.4.1 Development of the PONASI Landscape Management Master Plan
Output 1.5 Sustainable and equitable management requirements for the different units of the territory, including effective enforcement and monitoring mechanisms, conflict prevention/management mechanisms, monitoring implementation compliance,	1.5.1 Establishment of management prescriptions for the various territory units within the PONASI landscape (protected areas of the State, wildlife corridors, ZOVICs, community forests, CAF, agro-pastoral and sylvo pastoral lands).
	1.5.3 Design and implementation of incentives and disincentives to promote compliance to the Master Plan.

monitoring of biodiversity and ecosystems, and a range of incentives and disincentives, support to the implementation of the PONASI Landscape Management Master Plan	1.5.4 Establishment of a mechanism to monitor compliance and prevent/manage conflicts.
<b>Component 2</b>	
<b>Outcome 2.1</b>	
	2.1.2 An information system for monitoring, analysis, mapping and dissemination of knowledge is implemented and allows adaptive management of protected areas at the scale of the PONASI complex and for individual sites
	2.1.3 Capacity development program developed and implemented
<b>Outcome 2.2</b>	
Output 2.2 PAs of the PONASI complex - Kabore-Tambi (169,000 ha), Nazinga (91,300 ha) and Sissili (32,700 ha), including corridors # 1 (4,500 ha) and # 2 (33,000 ha) - is reinforced by a series of technical support.	2.2.1. Clarification / revision of the status and boundaries of the PAs of the PONASI complex Formal creation of corridor # 2. Revision of the southern boundary of the Nazinga Game Ranch. Clarification and awareness of the status of the Sissili Classified Forest.
	2.2.2. Management plans for Nazinga, PNKT and Sissili PAs, including corridors # 1 and # 2 developed and implemented
	2.2.3 Collaborative management agreements for State PAs and support to collaborative management committees
	2.2.4 Long-term ecological monitoring system at the landscape and individual PAs levels a. Development of a monitoring program to support the adaptive management of PAs including wildlife corridors and ZOVICs at site and complex levels b. Implementation of the long-term ecological monitoring system
	2.2.5 Surveillance and anti-poaching operations are planned and implemented at the PONASI landscape scale with the participation of local communities, and coordinated with Ghana's conservation efforts

Output 2.3 The management of natural resources in village hunting areas (ZOVIC), community protected areas, is enhanced through collaborative management interventions, including the development and implementation of simplified zoning plans, strengthening of hunting management and the implementation of human-wildlife conflict management measures	2.3.2 Development of simplified zoning plans for ZOVICs using the territory planning tool and support for their implementation
Output 2.4 An effective PONASI landscape-wide elephant protection plan is developed and implemented. This plan incorporates the results of a scientific survey clarifying the essential elephant movement corridors within the PONASI complex and other neighboring ecological complexes in the country and in Ghana.	2.4.1 The resolution of human-elephant conflicts in the PONASI landscape using the SAFE Systems approach Step 1: Compile Human-wildlife conflict information in the landscape Step 2: Conduct rapid human-wildlife conflict assessments using the SAFE systems tool. Step 3: Design the SAFE strategy and action plan for the PONASI landscape, including a monitoring plan. Step 4: Implementation and monitoring of the strategy and action plan.
	2.4.3 Renewal of transboundary collaboration agreements with Ghana for the conservation of shared natural resources
<b>Component 3</b>	
<b>Outcome 3.1 Increased adoption of effective agro-silvo-pastoral and climate-smart agriculture practices by local communities in the PONASI landscape</b>	
	3.1.1 Participatory diagnostic of the condition of land resources (soils, water, biodiversity).
	3.1.2 Development of an intervention and investment plan
	3.1.3 Support to producers and land and resource user groups
<b>Outcome 3.2</b>	
Output 3.2 The management of natural resources in forests and community pastoral areas is improved through the	3.2.1 Development of simplified zoning plans for community-managed forests, and improvement of forest management through the promotion of best practices

<p>collaborative development of simplified zoning plans and their implementation, and the strengthening of the management of forests and pastoral areas</p>	<p>3.2.2 Promotion of best practices for rangeland and pasture management including specific strategies for managing pastoralism at the local level, planning and development of water points for pastures, conciliation between farmers and pastoralists, and reducing encroachment of protected areas and crop areas by livestock.</p>
	<p>3.2.3 Revising the Forest Management Site (CAF) Model Strengthens Resource Conservation and Reduces Pressure on Protected Areas</p> <p>(i) Evaluation of the management of the CAFs of Nazinon, Gaongo and Zoundweogo, involving local users</p> <p>(ii) Participatory updating of management plans of the forest units concerned on the basis of the recommendations of the study</p>
<p><b>Outcome 3.3</b></p>	
<p>Output 3.3 Sustainable local forest products processing enterprises are established, providing livelihoods and generating sustained income, especially for women and vulnerable people.</p>	<p>3.3.2 Identification of priority beneficiaries</p>
	<p>3.3.3 Women and men beneficiaries are better structured through the establishment of four (4) functional cooperatives</p>
	<p>3.3.4 The capacities of women and men beneficiaries are built by technical training</p>
	<p>3.3.5 Securing access to resources that support value chains and their sustainability to maximize revenue</p>
	<p>3.3.6 Support to the production activity</p>
	<p>3.3.7 Support for marketing</p>
<p><b>Outcome 3.4</b></p>	
<p>Output 3.4 Strengthened capacities for better sharing of tourism benefits with local communities in the PONASI landscape. This support will include trainings for existing enterprises and at the community level, and support partnerships with the private sector.</p>	<p>3.4.1 Establish a sustainable tourism strategy for the PONASI landscape (Specific development plan for sustainable tourism in the PONASI area in the current context)</p>
	<p>3.4.2: Establish and support a PONASI destination management organization</p>
	<p>3.4.3 Tourism and hospitality capacity building and training program</p>

	3.4.4 Tourism product development and improvement
	3.4.5 Promotion and improved market access.
	3.4.6 Tourism infrastructure improvements for the Kaboré-Tambi National Park.
<b>Component 4</b>	<b>Activities</b>
<b>Outcome 4.1</b>	
Output 4.1 Gender Action plan implemented, monitored and evaluated	
<b>Outcome 4.2</b>	
Output 4.2: Technical knowledge and lessons learned from the project's experiences are compiled, assessed and translated into knowledge products that contribute to building the capacity of all actors in sustainable environmental management	
<b>Outcome 4.3</b>	
Output 4.3. Learnings are disseminated through the project communication plan to enable their widespread adoption by women and men across the PONASI landscape and in Burkina Faso.	

**7. 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
<b>Component 1</b>		
<b>Outcome 1.1</b>		
Output 1.1 The "PONASI Landscape Co-Governance Mechanism" is updated, strengthened and operationalized as an integrated platform serving as a joint decision-making mechanism for land and resource use within the landscape	By adopting a participatory approach the project will build strong ownership among national authorities and all the institutions who are involved to support the technical quality of intervention and the effective project's management.	Risk 2
	The component, focusing on ILM Framework, will build sustainability of processes focusing on land and resources management.	
Output 1.2 The territorial planning tool is adopted as a spatial planning methodology allowing the visualization of the impacts of economic activities on the landscape with a clear articulation of trade-offs, to support the decision-making on a use of lands maximizing environmental and economic benefits.	The participatory approach is extended to Indigenous Peoples; this will build a process that can be replicated in other geographical areas and that can ensure the respect of the right to be consulted, informed and involved of the marginalized groups	
Output 1.3 Accurate and well-documented estimates of carbon stocks within the PONASI landscape are available to contribute to the process of assessing the benefits associated with different land and resource uses		
Output 1.4 Development of the PONASI Landscape Management Master Plan to guide the management of the PONASI landscape over the next 15 years		Risk 2
Output 1.5 Sustainable and equitable management requirements for the different units of the territory, including effective enforcement and monitoring mechanisms, conflict prevention/management mechanisms, monitoring implementation compliance, monitoring of biodiversity and		Risk 2

ecosystems, and a range of incentives and disincentives, support to the implementation of the PONASI Landscape Management Master Plan		
<b>Component 2</b>		
<b>Outcome 2.1</b>	Through effective stakeholder (including Indigenous Peoples) engagement during project's implementation, the project will increase the capacity of the populations to access to their rights including the use of land and natural resources.	
Output 2.1 Institutional and individual capacities within PA agencies are enhanced through targeted capacity building interventions.		Risk 1 Risk 2 Risk 3
<b>Outcome 2.2</b>		
Output 2.2 PAs of the PONASI complex - Kabore-Tambi (169,000 ha), Nazinga (91,300 ha) and Sissili (32,700 ha), including corridors # 1 (4,500 ha) and # 2 (33,000 ha) - is reinforced by a series of technical support.		Risk 1 Risk 2 Risk 3 Risk 9
	The Component 2 will: <ul style="list-style-type: none"> <li>Facilitate the participation of the Indigenous Peoples to decision making processes and to management processes,</li> <li>facilitate the coexistence between different groups (local communities and Indigenous Peoples) who need access to resources</li> <li>Increase skills of the involved population and increase their possibility to access to benefits and to develop income generating activities</li> <li>Put in place sustainable mechanism to prevent human-wildlife conflicts</li> </ul>	
Output 2.3 The management of natural resources in village hunting areas (ZOVIC), community protected areas, is enhanced through collaborative management interventions, including the development and implementation of simplified zoning plans, strengthening of hunting management and the implementation of human-wildlife conflict management measures		Risk 2 Risk 9
Output 2.4 An effective PONASI landscape-wide elephant protection plan is developed and implemented. This plan incorporates the results of a scientific survey clarifying the essential elephant movement corridors within the PONASI complex and other neighbouring ecological complexes in the country and in Ghana.		Risk 1 Risk 6
<b>Component 3</b>		
<b>Outcome 3.1 Increased adoption of effective agro-silvo-pastoral and climate-smart agriculture practices by local communities in the PONASI landscape</b>	The project will support governance systems and coordination mechanism already in place, facilitating the involvement of vulnerable groups, including Indigenous Peoples	
<b>Outcome 3.2</b>		
Output 3.2 The management of natural resources in forests and community pastoral areas is improved through the collaborative development of simplified zoning plans and their implementation, and the strengthening of the management of forests and pastoral areas	Supporting governance mechanisms, the project will strengthen the sustainability of the action.  Under component 3, the project will facilitate sustainable management practices and sustainable enterprises, that will	Risks: 1, 4, 5, 6, 7, 8, 9, 10, 11, 12, 14

<b>Outcome 3.3</b>	have an impact on the socio-economic framework of the local communities and Indigenous Peoples in the long term, considering the capacity building and training processes that will be put in place.	Risks: 1, 5, 6, 7, 8, 9, 10, 11, 12, 14, 15
Output 3.3 Sustainable local forest products processing enterprises are established, providing livelihoods and generating sustained income, especially for women and vulnerable people.		Risks: 1, 4, 5, 6, 7, 8, 9, 10, 11, 12, 14, 15
<b>Outcome 3.4</b>	Creation of employment opportunities can facilitate other cultural processes such as alphabetization and education, also for the most vulnerable groups, including Indigenous Peoples  Although Indigenous Peoples are mainly nomads – and are involved in different forms of livelihood compared to the other communities, they can benefit from the activities under Component 3, considering are focused on access to and management of natural resources.	
Output 3.4 Strengthened capacities for better sharing of tourism benefits with local communities in the PONASI landscape. This support will include trainings for existing enterprises and at the community level, and support partnerships with the private sector.		Risks: 1, 4, 5, 6, 7, 8, 9, 12, 13, 14
<b>Component 4</b>		
<b>Outcome 4.1</b>	The project will strongly enhance the participation of women, youth and other vulnerable groups such as Indigenous Peoples to decision making process, giving to them a crucial role on project activities.	
Output 4.1 Gender Action plan implemented, monitored and evaluated		
<b>Outcome 4.2</b>	The women (including indigenous women) involvement will facilitate the awareness raising process at community level. The project will support women groups (including Indigenous women) who will increase their involvement in the market. The role and capacities to act of women groups, cooperatives and other vulnerable groups, already existing at national and local level, will be strengthened all along project implementation. The project will develop a knowledge management process, in order to identify the lessons learned (also in terms of Indigenous Peoples involvement), on direct and indirect impacts of Sustainable Land and Resources Management framework implementation.	Risk 2
Output 4.2: Technical knowledge and lessons learned from the project's experiences are compiled, assessed and translated into knowledge products that contribute to building the capacity of all actors in sustainable environmental management		
<b>Outcome 4.3</b>		
Output 4.3. Learnings are disseminated through the project communication plan to enable their widespread adoption by women and men across the PONASI landscape and in Burkina Faso.		

## **8. 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:

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, including Indigenous Peoples.

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 three months of the project, in order to receive and facilitate resolution of any complaints and grievances. The GRM will be established at the project sites and at the national level 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 Environment, Green Economy and Climate Changes) 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 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.

## **9. 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 IPP; those will be defined for the management plan that is developed within the first project year of project implementation, 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 Plans 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 IPPs 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 M&E/Safeguards Expert to implement the IPP, 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 IPP 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.

The Project Board will have the final responsibility for the integration of IPP 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 IPP 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 IPP (including specifically the implementation of the FPIC procedures and GRM) evolving from the ESIA.
- Assign specific responsibilities for implementation of the IPP, 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 IPP.
- 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 IPP.

Roles and responsibilities in the implementation of the IPP 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 IPP.

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 IPP, 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 IPP implementation. Where necessary, capacity building and technical assistance activities will be included to enable proper implementation of the IPP.

### **10. 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 IPP 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 IPP is in place)	Required IPPF steps are completed in a timely manner.	M&E/Safeguards Expert
Implementation of mitigation measures and monitoring of potential impacts identified in impact assessment(s) and per the subsequent IPP	Permanent and participatory implementation and monitoring of impacts and mitigation measures, in accordance with IPP (to be prepared together with impact assessments)	Continuous, once ESIA/SESA is completed and IPP are in place	Implementation of IPP participatory monitoring of impact assessment findings (i.e. identifying indicators, monitoring potential impacts and risks); integration of IPP 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, M&E/Safeguards Expert, PMU, oversight by UNDP CO, Project Board
Development of the IPP	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 IPP	External service providers (environmental and social) With guidance from UNDP, Project Manager, and Project M&E/Safeguards Expert
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, Project Coordinator, M&E/Safeguards Expert
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/IPP 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

## 11. 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 IPP. These figures are also integrated into the Total Project's Budget. 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											
IPP	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

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## 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 Comprehensive 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

→ An Economic Displacements Risk Assessment will be included in the ESIA to assess the risk of economic displacement

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### 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.
- **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.
  - **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:**
    - **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**
    - **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**

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

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#### **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 Comprehensive 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 comprehensive 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.

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## ANNEX 5: LIVELIHOOD ACTION PLAN TEMPLATE (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.
  - Describe the feasibility studies conducted to determine the suitability of chosen lands and/or

natural resources described above, including natural resource assessments (soils and land use capability, vegetation and livestock carrying capacity, water resource surveys) and environmental and social impact assessments of the sites.

- Give calculations relating to land and resource availability
- Describe, as relevant, mechanisms for: 1) procuring, 2) developing and 3) allotting displacement property, including the awarding of title or use rights to allotted lands and/or resources. Indicate to whom titles and use rights will be allocated, including by gender.
- Provide detailed description of the arrangements for site development for agriculture, including funding of development costs
- If circumstances made it difficult to provide land or resources as described above, provide evidence of mutual agreement with affected people/communities on alternative measures.
- **Income Restoration**
  - 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?
  - Briefly spell out the restoration strategies for each category of impact and describe their institutional, financial, and technical aspects
  - Describe the process of consultation with affected populations and their participation in finalizing strategies for income restoration
  - How do these strategies vary with the area of impact?
  - Provide a transparent methodology/formula that is understandable to project-affected people and can be verified for each case.
  - Does income restoration require change in livelihoods, development of alternative farmlands or some other activities that require a substantial amount of training, time for preparation, and implementation?
  - How are the risks of impoverishment to be addressed?
  - What are the main institutional and other risks for the smooth implementation of the resettlement programs?
  - Describe the process for monitoring the effectiveness of the income enhancement/restoration measures
  - Describe any social or community development programs currently operating in or around the project area. If programs exist, do they meet the development priorities of their target communities? Are there opportunities to support new programs or expand existing programs to meet the development priorities of communities in the project area?
- **Institutional Arrangements**
  - Describe the institution(s) responsible for delivery of each item/activity in the entitlement policy; implementation of income restoration programs; and coordination of the activities associated with and described in the livelihood action plan
  - State how coordination issues will be addressed where displacement is spread over a number of jurisdictions or where displacement will be implemented in stages over a long period of time
  - Identify the agency that will coordinate all implementing agencies. Does it have the necessary mandate and resources?
  - Describe the external (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
  - Discuss institutional capacity for and commitment to displacement
  - Describe mechanisms for ensuring independent monitoring, evaluation, and financial audit of the LAP and for ensuring that corrective measures are carried out in a timely fashion
- **Implementation Schedule**
  - List the chronological steps in implementation of the LAP, including identification of agencies responsible for each activity and with a brief explanation of each activity
  - Prepare a month-by-month implementation schedule of activities to be undertaken as part of resettlement implementation
  - Describe the linkage between resettlement implementation and initiation of civil works for each of the project components
- **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
  - Evidence of prior informed consent for indigenous peoples and tribal communities

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## ANNEX 6: INDICATIVE OUTLINE OF INDIGENOUS PEOPLES PLAN (IPP)

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 Indigenous Peoples Planning Framework (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:
  - description of the community or communities constituting the affected peoples (e.g. names, ethnicities, dialects, estimated numbers, etc.);
  - description of the lands, territories and resources to be affected and the affected peoples connections/ relationship with those lands, territories and resources; and
  - 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:
  - 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);
  - 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.
  - 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**
  - 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.
  - 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**

- 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.
  - 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 IP-LC P, 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 IP-LC P 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 IP-LC P 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 IP-LC P 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.

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## ANNEX 7: INDICATIVE OUTLINE OF A COMPREHENSIVE STAKEHOLDER ENGAGEMENT PLAN (CSEP)

- **Introduction**
  - Briefly describe the project including design elements and potential social and environmental issues. Where relevant, include maps of the project site and surrounding area.
- **Regulations and Requirements**
  - Summarize any legal, regulatory, donor/lender requirements pertaining to stakeholder engagement applicable to the project. This may involve public consultation and disclosure requirements related to the social and environmental assessment process as well as relevant international obligations.
- **Summary of any previous stakeholder engagement activities**
  - If any stakeholder engagement activities had been undertaken to date, including information disclosure and/or consultation, provide the following details:
    - Type of information disclosed, in what forms and languages (e.g., oral, brochure, reports, posters, radio, etc.), and how it was disseminated
    - Locations and dates of any meetings undertaken to date
    - Individuals, groups, and/or organizations that have been consulted
    - Key issues discussed and key concerns raised
    - Responses to issues raised, including any commitments or follow-up actions
    - Process undertaken for documenting these activities and reporting back to stakeholders
- **Project Stakeholders**
  - List the key stakeholder groups who will be informed about and engaged in the project (based on stakeholder analysis). These should include persons or groups who:
    - Are directly and/or indirectly affected by the project
    - Have “interests” in the project that determine them as stakeholders
    - Have the potential to influence project outcomes or operations
    - [Examples of potential stakeholders are beneficiaries and project-affected communities, local organizations, NGOs, and government authorities, indigenous peoples; stakeholders can also include politicians, private sector companies, labor unions, academics, religious groups, national environmental and social public sector agencies, and the media]
    - Consider capacities of various stakeholder groups to effectively participate in the stakeholder engagement activities, and include measures to support them where capacity is limited
- **Stakeholder Engagement Program**
  - Summarize the purpose and goals of the stakeholder engagement program
  - Briefly describe what information will be disclosed, in what formats and languages, and the types of methods that will be used to communicate this information to each of the stakeholder groups identified in section 4 above. Methods used may vary according to target audience, for example:
    - Newspapers, posters, radio, television
    - Information centers and exhibitions or other visual displays
    - Brochures, leaflets, posters, non-technical summary documents and reports
  - Briefly describe the methods that will be used to engage and/or consult with each of the stakeholder groups identified in section 4. Methods used may vary according to target audience, for example:
    - Interviews with stakeholder representatives and key informants
    - Surveys, polls, and questionnaires
    - Public meetings, workshops, and/or focus groups with specific groups
    - Participatory methods
    - Other traditional mechanisms for consultation and decision-making
  - Describe how the views of women and other relevant groups (e.g. minorities, elderly, youth, other marginalized groups) will be taken into account and their participation facilitated
  - Where relevant, define activities that require prior consultation and FPIC from indigenous peoples (and refer to Indigenous Peoples Plan and FPIC protocols)
  - Outline methods to receive feedback and to ensure ongoing communications with stakeholders (outside of a formal consultation meeting)

- Describe any other engagement activities that will be undertaken, including participatory processes, joint decision-making, and/or partnerships undertaken with local communities, NGOs, or other project stakeholders. Examples include benefit-sharing programs, stakeholder-led initiatives, and training and capacity building/support programs.
- **Timetable**
  - Provide a schedule outlining dates/periodicity and locations where various stakeholder engagement activities, including consultation, disclosure, and partnerships will take place and the date by which such activities will be undertaken
- **Resources and Responsibilities**
  - Indicate who will be responsible for carrying out the specified stakeholder engagement activities
  - Specify the budget and other resources allocated toward these activities
  - [For projects with significant potential impacts and multiple stakeholder groups, it is advisable to hire a qualified stakeholder engagement facilitator to undertake all or portions of the stakeholder engagement activities]
- **Grievance Mechanism**
  - Describe the process by which people concerned with or potentially affected by the project can express their grievances for consideration and redress. Who will receive grievances, how and by whom will they be resolved, and how will the response be communicated back to the complainant? (see Guidance Note on Grievance Redress Mechanisms)
  - Ensure reference is made to and stakeholders are informed of the availability of UNDP's Accountability Mechanism (Stakeholder Response Mechanism, SRM, and Social and Environmental Compliance Unit, SECU) as additional avenues of grievance redress.
- **Monitoring and Reporting**
  - Describe any plans to involve project stakeholders (including target beneficiaries and project-affected groups) or third-party monitors in the monitoring of project implementation, potential impacts and management/mitigation measures
  - Describe how and when the results of stakeholder engagement activities will be reported back to project-affected and broader stakeholder groups. Examples include newsletters/bulletins, social and environmental assessment reports; monitoring reports.

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## ANNEX 8: 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.
  - notes regarding implementation; and
  - 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:

- measures that can be taken by the Government to avoid future harms and Grievances; and
- 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:

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

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

- **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.