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Foreword

What a year 2022 was for the Social and Environmental Compliance Unit (SECU)! As we emerge from multiple years of pandemic-induced limitations, during which SECU, part of UNDP’s Office of Audit and Investigations (OAI), was forced to conduct its activities virtually, socially distanced, or with local partners, we celebrate the opportunities that a newly re-opened world afford us and the international development community at large. We are extremely proud of the work that the SECU team was able to accomplish in 2022, and we hope this report conveys both that recovery and SECU’s expanding initiatives for 2022-2023.

In October SECU hosted the 19th IAMnet annual meeting in a first-of-its kind hybrid format in New York City, bringing together 150 IAMnet practitioners from around the world to discuss emerging and pressing issues for independent accountability mechanisms. We conducted outreach and participated in a number of high-level training events, and for the first time we convened existing and nascent accountability mechanisms from across the UN system to begin building a community of practice for interagency support and learning. We advanced planning for our proactive and advisory mandates, to position ourselves to conduct our first proactive investigation and release our first advisory note in 2023. And amidst these new initiatives, we continued to run multiple cases from around the world with the priority and attention that they require from UNDP’s independent accountability mechanism. We also neared completion of the process of revising SECU’s investigation guidelines, which we aim to finalize by mid-2023. We believe these new guidelines will be a leading example of how to conduct independent, transparent, effective, and accessible social and environmental compliance reviews. Lastly, we welcomed several new members of the SECU team, expanding our pool of compliance officers and enabling us to better meet the demands our caseload generates.

We invite you to read our 2022 annual report and hope you will enjoy its summaries and reflections from SECU’s flourishing 2022!

Paul Goodwin
Head of Unit, Social and Environmental Compliance Unit

Richard Bissell
Lead Compliance Officer, Social and Environmental Compliance Unit

Moncef Ghrib
Director OAI, Officer-in-Charge, Office of Audit and Investigations
Introduction

The purpose of this annual report is to provide SECU’s stakeholders, including the rest of UNDP, case complainants, civil society, donors, academics, and any other interested party, information about SECU’s mandate, activities, and function.

SECU’s mission

The Social and Environmental Compliance Unit (SECU), located in the independent Office of Audit and Investigations (OAI) of UNDP, investigates allegations of non-compliance with the UNDP Social and Environmental Standards (SES) and other relevant policies from communities affected by UNDP-supported activity, and recommends measures to remedy harm to the environment or affected communities.

UNDP established SECU to ensure accountability to individuals and communities, and to provide those affected by UNDP-supported activity with an effective system of independently investigating alleged non-compliance with its social and environmental commitments.

*The purpose of SECU is to ensure accountability to those individuals and communities with whom we work. It is important that these voices are heard, and that UNDP has an opportunity to respond to the issues that they have raised.*

Achim Steiner—UNDP Administrator
Highlights 2022

From SECU’s first time hosting the IAMnet Annual Meeting to field visits and other institutional strengthening activities, 2022 was a busy year for SECU.

As of December 31, 2022, SECU had 10 active cases, with five of them in the eligibility determination or investigation phase (Myanmar, India, Colombia, South Africa, and North Macedonia), and five in the monitoring phase (Malawi, Jordan, Cameroon, Mauritius, Kyrgyzstan). This year the SECU team went on two missions to India and Colombia to interview stakeholders and gather case evidence. SECU also released four eligibility determinations, one final investigation report and two interim monitoring reports.

In addition to case activity, SECU hosted the Independent Accountability Network (IAMnet) Annual Meeting in New York with more than 100 in-person and virtual attendees from 29 Independent Accountability Mechanisms. SECU continued its outreach and institutional strengthening activities in partnership with international organizations including the Office of the High Commissioner for Human Rights, the Grievance Redress and Accountability Mechanism (GRAM) Partnership and the Arab Watch Coalition.

Finally, SECU released the first draft of the proposed revisions to its Investigation Guidelines for a public comment period during the third quarter of 2022. SECU aims to release the final set of Investigation Guidelines, and associated policies and procedures in 2023.
CASE ACTIVITY
### Summary

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<tr>
<th>Case</th>
<th>Country</th>
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<td>Malawi national registration and identification system</td>
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<td>Jordan</td>
<td>Mitigating the impact of the Syrian refugee crisis on Jordanian vulnerable host communities' and 'Improving solid waste management and income creation in host communities'</td>
<td>Monitoring</td>
<td>Dibeen Association for Environmental Development</td>
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<td>SECU0008</td>
<td>Cameroon</td>
<td>Integrated and transboundary conservation of biodiversity in the basins of the republic of Cameroon</td>
<td>Monitoring</td>
<td>Individuals of the Baka People</td>
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<td>SECU0010</td>
<td>Myanmar</td>
<td>Integrated protected area land and seascape management in Taninthanyi (ridge to reet)</td>
<td>Investigation</td>
<td>Communities from Lenya and Monorone area</td>
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<td>SECU0012</td>
<td>Mauritius</td>
<td>Mainstreaming biodiversity into the management of the coastal zone in the Republic of Mauritius</td>
<td>Monitoring</td>
<td>Aret Kokin Nu Laplaz (AKNL)</td>
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<tr>
<td>SECU0014</td>
<td>India</td>
<td>Enhancing climate resilience of India’s coastal communities</td>
<td>Investigation</td>
<td>Democratic Traditional Fishers Workers Forum (DTFWF), Fridays for Future Andhra Pradesh (FFF AP)</td>
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<td>SECU0015</td>
<td>Kyrgyzstan</td>
<td>Socio-economic development of communities around radioactive sites in Kyrgyzstan</td>
<td>Monitoring</td>
<td>Villagers of Kadji-Sai</td>
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<td>SECU0016</td>
<td>Iraq</td>
<td>Funding facility for stabilization</td>
<td>Closed (ineligible)</td>
<td>Resident of Fallujah</td>
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<td>SECU0017</td>
<td>Colombia</td>
<td>Sector privado y agenda 2030</td>
<td>Investigation</td>
<td>Resguardo Siona Buenavista</td>
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<td>SECU0018</td>
<td>PAPP</td>
<td>PAPP transboundary wastewater management in Attil / Tulkarem governorate</td>
<td>Closed (ineligible)</td>
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<td>SECU0019</td>
<td>Mozambique</td>
<td>Mozambique recovery facility</td>
<td>Closed (ineligible)</td>
<td>Lukas Schiebe of LevasFlor</td>
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<td>SECU0020</td>
<td>South Africa</td>
<td>MoU between UNDP and Musina-Makhado Special Economic Zone</td>
<td>Investigation</td>
<td>Earthlife Africa and Living Limpopo</td>
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<td>SECU0021</td>
<td>North Macedonia</td>
<td>Integrated climate-resilient transboundary flood risk management in the Drin River basin in the West</td>
<td>Eligibility determination</td>
<td>Ohrid SOS</td>
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In October 2017, SECU received a complaint from Malawi related to the UNDP-supported Malawi National Registration and Identification System (NRIS) project. The complaint alleged that the UNDP Malawi Country Office did not pay adequate attention to key labour and human rights-related concerns preparing for and implementing the NRIS project.

In March 2020, the Administrator issued his decision directing the Country Office to ensure that all procurement processes include SES requirements, and that contractors are made aware of and supervised to implement relevant measures to comply with the SES. Additionally, he directed UNDP staff to ensure that SES-related labour standards are applied adequately to future UNDP projects.

In response to this decision, UNDP Malawi prepared a Management Response Plan outlining key actions to address the Administrator’s decision. In November 2022, SECU released an Interim Monitoring Report assessing UNDP Malawi’s progress implementing the Plan. SECU will continue to monitor application of the SES to the latest phase of the NRIS project, which focuses on the registration of minors and proposes to use schools as registration centers and teachers as Registration Officers. SECU plans to publish an updated monitoring report in 2023.

**Case timeline**

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<tr>
<th>Case Registration</th>
<th>Terms of Reference</th>
<th>Draft Report</th>
<th>Administrator Decision</th>
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<td>Determination</td>
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<td>Monitoring</td>
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- **Completed**
- **In progress**
- **Not started**
In June 2018, an NGO based in Jordan filed a complaint regarding the construction of a waste management and transfer station in the Jerash area as part of a UNDP Jordan project to improve solid waste management. In December 2019, SECU issued its Final Investigation Report. The report found UNDP Jordan failed to conduct a thorough Social and Environmental Screening Procedure (SESP).

The UNDP Administrator issued his decision in June 2020, establishing follow-up actions to respond to SECU’s recommendations, such as raising awareness of all staff in the Country Office of the importance of UNDP’s Social and Environmental Standards, and to ensure compliance across all projects.

The SECU team continues monitoring the implementation of the Administrator’s decision. As of December 2021, UNDP Jordan was redesigning the project and developing the appropriate frameworks to ensure appropriate social and environmental risks screening; and free, prior, informed consent processes (FPIC). SECU plans to publish a monitoring report in 2023.

Site of the cleared trees

**Case timeline**

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- **Completed**
- **In progress**
- **Not started**
In August 2018, Survival International, an international NGO focusing on Indigenous Peoples’ rights, submitted a complaint on behalf of the Baka people living in the village of Zoulabot Ancien in Cameroon. The complainant claimed that, through UNDP-supported project activity in the region, the Baka have been illegally evicted from their forest lands, both inside and outside the formally protected areas, among other concerns.

In September 2020, SECU submitted the Final Investigation Report to the UNDP Administrator. The Administrator’s decision requested UNDP Cameroon to reformulate the project in a manner consistent with SECU’s recommendations, to ensure full compliance with the Social and Environmental Standards.

In April 2021, UNDP Cameroon prepared a Management Response indicating actions to be taken in response to each recommendation in the report. In September 2021, SECU published an Interim Monitoring Report evaluating UNDP Cameroon progress in implementing the Management Response. SECU noted limitations in the Stakeholder Engagement Plan and Free, Prior, and Informed Consent (FPIC) processes. SECU requested further documentation to evaluate compliance with the Administrator’s decision. SECU will release a second monitoring report in 2023.
In August 2018, the 'Conservation Alliance Tanawthari' (CAT) filed a complaint on behalf of the Indigenous Karen communities in the Tanintharyi Region of Myanmar. The complainants alleged that implementation of UNDP's Ridge to Reef protected area project in Tanintharyi would violate their right to Free, Prior, and Informed Consent (FPIC) and the rights of Internally Displaced Persons (IDPs) and refugees to return to areas from which they were displaced by armed conflict.

In October 2018, UNDP Myanmar suspended the project indefinitely in response to the issues and concerns highlighted in the complaint. The SECU team traveled to Myanmar in July 2019 to interview stakeholders and gather case evidence. A planned second trip to Myanmar was canceled in February 2020. As a result, the SECU team split the investigation into two phases in order to progress the case as much as possible.

In February 2022, SECU released the first part of the Investigation Report focused on the inland communities. Considering the current situation on the ground, SECU is not soliciting comments on this draft and is not issuing any deadline to receive feedback at this time.

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- Eligibility Determination
- Investigation
- Final Report
- Monitoring

**Project:** Integrated Protected Area Land and Seascape Management in Tanintharyi (Ridge to Reef)
In March 2019, Aret Kokin Nu Laplaz (AKNL), an NGO Network located in Mauritius, submitted a complaint with SECU. The complainants asserted that the UNDP's project fails to protect Environmental Sensitive Areas and violates several of UNDP's Social and Environmental Standards, in light of the development permits being issued by the government.

In October 2020, SECU submitted the Final Investigation Report to the UNDP Administrator. SECU found that UNDP Mauritius understood the Social and Environmental Standard requirements; however, the analysis failed to reflect past experience in Mauritius with environmental incentives and heed the warnings on risk from the stakeholder consultations. In March 2021 the Administrator issued his decision in response to SECU's report, putting the case in the monitoring phase.

In June 2021, UNDP Mauritius prepared a ‘Management Response’ outlining actions to be taken in response to SECU’s recommendations. These actions included hosting workshops and consultative meetings with project stakeholders to review the Wetland Bill, and revisiting the risk framework to ensure the project remains in compliance with the SES. The SECU team continues monitoring the implementation of the Administrator’s decision.

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- Completed
- In progress
- Not started

*Environmental Sensitive Area*
In July 2020, the Democratic Traditional Fishers Workers Forum, in association with Fridays for Future Andhra Pradesh, submitted a complaint to SECU concerning a Green Climate Fund (GCF) project implemented by UNDP. The project is designed to enhance the resilience of coastal communities to climate change through ecosystem-based adaptation. At the center of the project’s ecosystem-based approach is the conservation and restoration of mangrove forests.

The complainants allege that the destruction of mangrove forests near the port city of Kakinada in Andhra Pradesh by the State Government is leading to the loss of livelihoods for fishing communities, and adverse environmental effects for local communities, and that these acts by the State Government “are against protecting [the] environment and safeguarding the ecological balance” under the project.

In April 2022, the SECU team traveled to India to meet with various stakeholders. SECU will issue its draft Investigation Report in the Spring of 2023.
In September 2020, a group of Kadji Sai village residents in Kyrgyzstan transmitted their complaint through a representative asserting that the village’s water supply system, rehabilitated as part of a UNDP project, does not provide clean and safe drinking water. As the system is the only source of drinking water for the village, complainants were concerned about being harmed by both contaminants in the water as well as additional costs of having to repeatedly buy bottled water or household filtration equipment that frequently clogs from excessive pollution-related residue.

In October 2022, SECU submitted the Final Investigation Report to the Administrator. The investigation found UNDP Kyrgyzstan did not consult adequately with communities during the design phase and when issues arose; and, failed to monitor and assess the performance of subproject activities, particularly the effects on water supply for communities. SECU recommended conducting analyses of all potential effects and impacts on the water resource and beneficiaries in all future projects involving significant extraction of ground and/or surface water, among other measures.

In December 2022, the UNDP Administrator released his recommendations indicating that the Government of Kyrgyzstan has officially signed an instrument of sovereign borrowing for a comprehensive renovation of the water system in a number of villages in the Kyrgyz Republic, among them Kadji-Sai. The Administrator directed UNDP Kyrgyzstan and the Regional Bureau to take interim actions in the coming 2-3 years until the more comprehensive investment project has been completed to deliver clean water to the entire village. These actions include testing of the ground and water sources in multiple locations, further assessment to identify possible remedial solutions to the supply of safe drinking water, among other activities.

The case will now enter a monitoring phase in which SECU will track the implementation of the activities described in the Administrator’s decision.

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- Eligibility Determination
- Investigation
- Final Report
- Monitoring

**Completed** | **In progress** | **Not started**
In January 2021, a resident of the city of Fallujah submitted a complaint concerning an infrastructure project supported by UNDP. The complaint stated that around 25 to 30 families were facing eviction from their homes in the city of Fallujah, near the Euphrates River, to make way for a sewage plant. According to the complainant, the families had been living on the land since 2003 and were encouraged by the Government to settle in the area as farmers. The complainant alleges that in January 2020 the families started receiving pressure from the provincial and subdistrict authorities to vacate the area. The complainant denied having received any offer of compensation or relocation assistance from the Government or from UNDP.

In May 2022, SECU determined the complaint is ineligible for a Compliance Review, given the complainant’s concerns were addressed through the altering of the project plans by UNDP Iraq.
In May 2021, SECU received a complaint from Amazon Watch on behalf of local NGOs accompanying the Siona Buenavista indigenous reserve and the Asociacion de Desarrollo Integral Sostenible Perla Amazonica ADISPA, legal representative of the Perla Amazonica campesino reserve in Colombia.

The complaint alleges that UNDP Colombia's alliance with GeoPark, a Latin American oil and gas company, violates UNDP's social and environmental commitments as GeoPark has been accused of environmental and human rights violations.

The complainants also claim UNDP failed to properly investigate the company prior to the agreement's signing or to consult with relevant civil society groups. The complainants claimed that the agreement with GeoPark was in direct conflict with the Sustainable Amazon for Peace Project, a UNDP conservation project in which the complainant communities were participants.

In December 2022, the SECU team traveled to Colombia to meet with the complainants, project teams and other stakeholders. SECU will issue its draft report in the Spring of 2023.

### Case timeline

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- Completed
- In progress
- Not started
In November 2021, SECU received a complaint from a confidential source, regarding a project to build a transboundary wastewater management system in the municipality of Attil, in the Governorate of Tulkarem. The project is supported by UNDP’s Programme of Assistance to the Palestinian People (PAPP).

The complainant claimed that their and their neighbors’ properties would be negatively impacted because of the installation of the system. The complainant noted that in the context of the project a wastewater pipeline would be installed through their properties, for which they had not given consent or approval.

Following confirmation from the Special Representative of the Administrator for PAPP that the pipeline in question will be constructed along the main public roads, SECU determined the case ineligible in February 2022.
In November 2021, SECU received a complaint from Mr. Lukas Schiebe of LevasFlor, concerning the Mozambique Recovery Facility (MRF). MRF is a UNDP project in partnership with the Government of Mozambique for resilient post-disaster recovery, developed after the country suffered a series of devastating cyclones. The complainant raised concerns about the UNDP’s sourcing and tracing requirements for wood to be used in the construction of resettlement homes under the MRF. The complainant argued the wood goods procured by UNDP should be at least “traceable and certified by Mozambique standards.”

In May 2022, SECU determined the complaint is ineligible for a Compliance Review as the issue of whether purchasing practices under the project promoted sustainable resource management is not the cause of any harm to the complainant.

Case timeline

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- Completed
- In progress
- Not started
In June 2022, South African NGOs, Earthlife Africa and Living Limpopo filed a complaint with SECU concerning a Memorandum of Understanding (MOU) that had been signed between UNDP South Africa and the Musina-Makhado Special Economic Zone State Owned Company (MMSEZ SOC). Both NGOs represent other local organizations and people who work and live in the Musina-Makhado area in this complaint.

The Complainants allege that the planned activities in the MMSEZ will have significant impacts on sacred and heritage sites, water use, air pollution, climate change, biodiversity loss, and many other social and environmental aspects for people living in the area. The complainants also allege that the MOU signed by UNDP has caused, and will continue to cause, harm to communities and the environment because the MOU lends the MMSEZ project “significant legitimacy, prestige and momentum” given the UNDP’s “prestige as a UN body”.

SECU determined the complaint eligible in November 2022. The SECU team will travel to South Africa in the first quarter of 2023 to continue with the investigation phase.

Case timeline

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Eligibility Determination | Investigation | Final Report | Monitoring

Completed | In progress | Not started
In December 2022, Ohrid SOS, a local citizens’ initiative, filed a complaint regarding the restoration of the River Sateska to its natural riverbed, which is being undertaken as part of the UNDP’s Integrated climate-resilient transboundary flood risk management in the Drin River basin in the Western Balkans Project (Drin FRM Project). The complainant alleges that although rediverting the Sateska River in the Ohrid region to its original path is well-conceived and necessary, it is being conducted with a substandard Environmental Impact Assessment (EIA). The complainant alleges that the EIA did not include key studies and analysis of the impact of the diversion on groundwaters and soil, among other things.

As of December 2022, SECU was determining the eligibility of the case.
IAMnet 19th Annual Meeting

After two years of COVID-related travel restrictions, SECU hosted the IAMnet 19th Annual Meeting in New York in October 2022. More than 120 practitioners from 29 Independent Accountability Mechanisms (IAMs) came together to share best practices, present recent investigations, and discuss new developments and common challenges in the accountability field.

The four-day event included more than 20 sessions featuring topics related to remedy, impact measurement, role of complainants, responsible exit, retaliation, management-led grievance mechanisms, and others. Additionally, Adam Shapiro, formerly of Frontline Defenders, facilitated a training session on how to anticipate retaliation against complainants, and how to mitigate retaliation risks and impacts.

The event also included a CSO Day led by Accountability Counsel, where Civil Society Organizations (CSOs) identified good practices and potential solutions to make IAM processes more effective for impacted communities. Accountability Counsel also presented key data on the main accountability issues. The day closed with remarks from David Hunter, an accountability scholar from American University, who reflected on the progress made by IAMs over the past three decades and called on the IAMnet to strengthen its role.

SECU was honored to have hosted this meeting and will continue collaborating with the IAMnet to foster cooperation among IAMs.
Plenary session

CSO Day

Hybrid breakout discussion

SECU and SRM team members

Training by Adam Shapiro

IAMs and CSOs Networking Reception
In October 2022, SECU hosted the “Social and Environmental Accountability Mechanisms in the UN System” Conference. The conference aimed to develop a network of UN Accountability Mechanisms/Functions; and foster cooperation and knowledge-sharing among UN practitioners working on social and environmental accountability topics. Representatives of ten UN agencies attended the conference virtually and in-person.

During the two-day event, participants discussed topics such as the critical characteristics that accountability mechanisms must have in the context of UN agencies and the challenges UN agencies face to establish effective mechanisms. In addition, the conference featured a presentation by Mac Darrow from OHCHR and Prof. David Hunter from the American University’s Washington College of Law, who examined the structural ‘building blocks’ needed to construct, plan or expand an accountability mechanism in UN contexts. The participants also had the opportunity to hear from Accountability Counsel and the Center for International Environmental Law (CIEL) on the need for accountability mechanisms in the UN System from the community and civil society perspectives.

At the end of the conference, attendees agreed to form a community of practice under their common interest to scale up social and environmental accountability mechanisms in the UN system.
OUTREACH
In-person outreach in Lebanon

In July 2022, SECU participated in a regional workshop with CSOs from the Middle East and North Africa (MENA) Region as part of the Arab Watch Coalition’s General Assembly held in Lebanon. The event brought together more than 40 CSOs representatives as well as representatives from the IFC’s Compliance Advisor Ombudsman, AIIB’s Project-affected People's Mechanism, EIB’s Complaint Mechanism and the World Bank’s Accountability Mechanism and Inspection Panel.

Over the two-day event, the SECU team presented SECU’s mandate, procedures and case studies. SECU also had the opportunity to participate in round table discussions to explore some of the most common accountability challenges and potential ways to address them.

Webinar for the GRAM Partnership

SECU and the Office of the United Nations High Commissioner for Human Rights (OHCHR) hosted a webinar in October 2022 as partners of the Grievance Redress and Accountability Mechanism (GRAM) partnership, which is led by the GCF’s Independent Redress Mechanism (IRM). SECU and the OHCHR highlighted the importance of integrating human rights principles and requirements in safeguard policies and grievance mechanism processes.

OHCHR presented its recent benchmarking study of Development Finance Institutions' Safeguard Policies that looks at the importance of considering human rights in DFI policies to help deliver on mandates and empower communities affected by projects.
INSTITUTIONAL STRENGTHENING
Review of Investigation Guidelines

In 2021, SECU launched a formal review of its Investigation Guidelines and associated policies and procedures. The objective of the review is to revise SECU’s operational documents based on lessons learned over its 8-year tenure to ensure the implementation of SECU’s mandate is fit for purpose and comports with international best practices in the field of independent accountability mechanisms (IAMs).

First, SECU compiled a list of potential changes to the guidelines gathered over the years and worked internally to develop a draft set of changes. Next, SECU organized a panel of outside experts to provide guidance and feedback for the proposed revisions to the Guidelines by the SECU Staff. The panel members were:

1. Professor Roxanna Altholz, UC Berkeley School of Law
2. Professor Daniel Bradlow, University of Pretoria
3. Ms. Delphine Djiraibe, Chadian Association for the Promotion and Defense of Human Rights
4. Professor David Hunter, American University, Washington College of Law
5. Dame Meg Taylor, former VP, Compliance Advisor Ombudsman, IFC/MIGA

Following the Panel’s feedback submission in December 2021, SECU worked internally to finalize a draft version of the guidelines. In November 2022, SECU published the draft for a public comment period which concluded in early January 2023. The SECU team is now in the process of reviewing feedback received to prepare the final draft of the Investigation Guidelines.

Advisory Work

In 2022, SECU revamped the general framework for its advisory work. SECU’s mandate, as outlined in SECU’s Investigation Guidelines, authorizes SECU to provide advisory notes regarding systemic, institution-wide, or policy issues that it believes need to be addressed, based on lessons learned from investigating social and environmental non-compliance in specific cases, and other sources.

The SECU team organized a series of working sessions with other Independent Accountability Mechanisms, as well as other teams at UNDP OAI to better understand different approaches to and best practices on advisory work. Based on these conversations and extensive research, SECU developed a concept note and a Standard Operating Procedure (SOP) to lay out the general framework and guidelines to conduct advisory work in the context of SECU’s compliance work. As of December 2022, SECU is currently in the topic selection phase for its first advisory note, to be published in 2023.
Overview of Compliance Review Process

SECU processes each complaint in an independent, impartial, and transparent manner, following an established procedure for every case. First, SECU determines if the complaint is eligible according to the following criteria: Does the activity a) relate to a project or programme supported by UNDP, b) raise actual or potential issues relating to compliance with UNDP’s social and environmental commitments, and c) reflect that, as a result of UNDP’s noncompliance with its social and environmental commitments, complainants may be or have been harmed?

If the eligibility criteria are met, SECU then investigates whether UNDP is meeting its social and environmental commitments regarding the specific UNDP-supported activity. If non-compliance is found, SECU recommends measures to bring UNDP back into compliance with the SES and other relevant policies. SECU’s final report is submitted to the Administrator for a decision on follow-up to SECU’s findings and recommendations. The final report is simultaneously provided to the complainants and released to the public.

Compliance Review Process

Registration → Eligibility determination → Terms of Reference → Investigation → Draft Report → Final Report → Administrator’s decision → Monitoring → Case closure
Case Registry

For public access to a repository of case information, the SECU website includes a Case Registry that shows all registered cases, their status, and any public documents relevant to the compliance review. The Case Registry was recently updated, please visit https://secu.info.undp.org/ to see the new registry.

SECU Team

The team is composed of one Lead Compliance Officer, one Head of Unit, four Compliance Officers, one Case and Policy Specialist, and two Case and Communications Analysts. The Unit is located within the Investigations Section of OAI, and is overseen by the Deputy Director, Head of Investigations under the Director of OAI.
Outreach

SECU Website
SECU is committed to transparent investigations. The SECU website provides all essential information about its operations, and the process to submit a request or complaint. Please visit our website at www.undp.org/secu

Outreach missions
SECU organizes regular outreach events with civil society organizations (CSOs) and communities in regions where UNDP has a significant portfolio of projects. These events are either in-person or virtual meetings with CSOs to explain SECU’s mandate and how to access it. CSOs also have the opportunity to have one-on-one meetings with the SECU team to discuss specific issues.

Outreach Video
In order to reach stakeholders potentially affected by UNDP activities beyond in-person outreach, SECU has created a video with subtitles translated into ten languages that helps explain SECU’s missions, mandate, and procedures to file a complaint. This video is available on our abovementioned webpage.

Social Media
In addition to the website, SECU has the following social media accounts:

- Linkedin account: www.linkedin.com/company/undp-secu/about/
- Facebook page: www.facebook.com/SECU.UNDP/
- Twitter account: www.twitter.com/SECU_UNDP

Our social media pages provide updates on SECU’s activities and a platform for engagement with the public through messaging and post-sharing.
Appendix—Overview of active cases

The charts below present an overview of SECU’s 10 active cases as of 31 December 2022.

Main issues raised in complaints

<table>
<thead>
<tr>
<th>Issue</th>
<th>Number of Complaints</th>
</tr>
</thead>
<tbody>
<tr>
<td>Stakeholder Engagement / Consultation</td>
<td>9</td>
</tr>
<tr>
<td>Social and Environmental Screening Procedure Process</td>
<td>8</td>
</tr>
<tr>
<td>Access to Information / Consultation</td>
<td>8</td>
</tr>
<tr>
<td>Land and Resource Rights</td>
<td>7</td>
</tr>
<tr>
<td>Natural Resources</td>
<td>7</td>
</tr>
<tr>
<td>Human Rights</td>
<td>7</td>
</tr>
<tr>
<td>Environmental Sustainability</td>
<td>6</td>
</tr>
<tr>
<td>Biodiversity</td>
<td>6</td>
</tr>
<tr>
<td>Pollution Prevention</td>
<td>5</td>
</tr>
<tr>
<td>Monitoring, Reporting and Compliance</td>
<td>4</td>
</tr>
<tr>
<td>Climate Change Mitigation / Adaptation</td>
<td>4</td>
</tr>
<tr>
<td>Displacement / Resettlement</td>
<td>4</td>
</tr>
<tr>
<td>Indigenous Peoples Rights</td>
<td>3</td>
</tr>
<tr>
<td>Community Health and Safety</td>
<td>2</td>
</tr>
<tr>
<td>Community Working Conditions</td>
<td>1</td>
</tr>
<tr>
<td>Resource efficiency</td>
<td>1</td>
</tr>
<tr>
<td>Cultural Heritage</td>
<td>1</td>
</tr>
</tbody>
</table>
Appendix—Overview of active cases

The charts below present an overview of SECU’s 10 active cases as of 31 December 2022.

**Type of complainants**

- Civil society organization: 2
- Community organization: 1
- Individual: 7

**Main source of funding**

- Government: 5
- Private company: 1
- Vertical fund: 3
- TBD: 1