



ENVIRONMENTAL AND SOCIAL MANAGEMENT FRAMEWORK

*Mainstreaming Natural Resource Management and
Biodiversity Conservation Objectives into Socio-Economic
Development Planning and Management of Biosphere
Reserve in Vietnam*

September 2023

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EXECUTIVE SUMMARY

This ESMF has been prepared based on the updated project screening that was done in June 2022 using the UNDP Social and Environmental Screening Procedure (2022 SESP Template Version 1). This screening resulted in the identification of nine risks of which three risk were considered “low”, while six of these risks were considered “moderate”, resulting in an overall social and environmental risk categorization of “Moderate” for the Project.

The six risks identified as moderate are:

- risk of unintended adverse impacts because of the introduction of new legislation or policies.
- women may not be fully involved in the planning, implementation and monitoring of the project interventions and getting benefits from such initiatives, rather landowners and other influential persons may have more control on local level decision making.
- project activities are proposed within and adjacent to critical habitats and/or environmentally sensitive areas, including national parks.
- creation of new set asides or protected areas and improved zoning of the BRs for multiple different uses, community rights of access may be restricted in specific areas. This could result in economic displacement.
- the project includes reforestation, harvesting non-timber products and aquatic species. Therefore, there is a risk that the harvesting of could impact on the status and health of such populations.
- the potential outcomes of the Project could be sensitive or vulnerable to impacts of climate change and natural disasters.

This ESMF has been developed based on the project risk categorization and the existing safeguard documents. It outlines the processes that are being undertaken during the ongoing implementation of the project for the additional assessment of potential impacts and identification and development of appropriate risk management measures, consistent with UNDP’s Social and Environmental Standards (SES). It complements the strategies and plans in the ProDoc eg Annex 3, 4, 7, 8 and 16.

The ESMF is in addition to the existing plans and strategies, primarily to provide a mechanism for the additional screening and assessment that is required during implementation, in particular the yet to be determined investments (sub-projects) that will be made under Outputs 2.4, 2.5 and 2.6. 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. Project activities identified as potentially requiring such restrictions to access to resources will not be commenced until suitable, agreed measures are in place.

Abbreviations and Acronyms

ABS	Access and Benefit Sharing
BCA	Biodiversity Conservation Agency
BIA	Biodiversity Impact Assessment
BR	Biosphere Reserve
BSM	Benefit Sharing Mechanism
CBD	Convention on Biological Diversity
CBO	Community-based Organization
CCC	Commune Conservation Committee
CCP	Commune Conservation Plan
CIP	Co-Implementing Partner
CLC-HA BR	Cu Lao Cham-Ho Anh Biosphere Reserve
CPC	Commune People's Committee
CSO	Civil Society Organization
DARD	Department of Agriculture and Rural Development
DN BR	Dong Nai Biosphere Reserve
DONRE	Department of Natural Resources and Environment
DP	Development Partner
DPC	District People's Committee
EIA	Environmental Impact Assessment
ESMF	Environmental and Social Management Framework
ESMP	Environmental and Social Management Plan
GEF	Global Environment Facility
GEFSEC	Global Environment Facility Secretariat
GRM	Grievance Redressal Mechanism
GRSC	Grievance Redress Sub-committee

GoV	Government of Vietnam
HACT	Harmonized Approach for Cash Transfers
HCVF	High Conservation Value Forest
IBA	Important Bird and Biodiversity Area
IBRMA	Integrated Biosphere Reserve Management Agreement
IEBR	Institute of Ecology and Biological Resources
IA	Implementing agency
IP	Implementing Partner
IUCN	International Union for the Conservation of Nature
KAP	Knowledge, Attitudes and Practice
KBA	Key Biodiversity Area
KM	Knowledge Management
LEP	Law on Environmental Protection
M&E	Monitoring and Evaluation
MAB	Man and Biosphere
MARD	Ministry of Agriculture and Rural Development
MB	Management Board
MCD	Centre for Marine Life Conservation and Community Development
M&E	Monitoring and Evaluation
MOCST	Ministry of Culture, Sports and Tourism
MOF	Ministry of Finance
MOFA	Ministry of Foreign Affairs
MONRE	Ministry of Natural Resources and Environment
MOST	Ministry of Science and Technology
MPA	Marine Protected area
MPI	Ministry of Planning and Investment

NA	National Assembly
NIM	National Implementation Modality
NBSAP	National Biodiversity Strategy and Action Plan
NEX	National Execution
NGO	Non-Government Organization
NIM	National Implementation Modality
NP	National Park
NPC	National Project Coordinator
NPD	National Project Director
NPDD	National Project Deputy Director
NPM	National Project Manager
NPT	National Project Team
NRM	Natural Resources Management
NTFP	Non-Timber Forest Product
NSEP	National Strategy on Environment Protection
PA	Protected Area
PB	Project Board
PFES	Payment for Forest Environmental Services
PIR	GEF Project Implementation Report
PIT	Planning and Implementation Team
PMB	Project Management Board
PPC	Provincial People's Committee
PPE	Personal Protection Equipment
PPG	Project Preparation Grant
PRF	Project Results Framework
ProDoc	Project Document

PSC	Project Steering Committee
PTC	Project Technical Coordinator
QPR	Quarterly Progress Report
REDD+	Reduced Emission from Deforestation and Forest Degradation
RIFEE	Research Institute of Forest Ecology and Environment
SECU	Social and Environmental Compliance Unit
SES	Social and Environmental Standards (UNDP)
SESA	Strategic Environmental and Social Assessment
SESP	Social and Environment Screening Procedures
SFM	Sustainable Forest Management
SFMP	Sustainable Forest Management Plan
SLM	Sustainable Land Management
SRM	Stakeholder Response Mechanism (UNDP)
SUF	Special Use Forests
TOR	Term of References
UNDP	United Nations Development Programme
UNDP-CO	UNDP Country Office
UNDP-GEF	Global Environmental Finance Unit
UNESCO	United Nations Educational, Scientific and Cultural Organization
VEA	Vietnam Environment Administration
WNA BR	Western Nghe An Biosphere Reserve

1 INTRODUCTION

This Environmental and Social Management Framework (ESMF) has been prepared for the Global Environment Facility (GEF) project “Mainstreaming Natural Resource Management and Biodiversity Conservation Objectives into Socio-Economic Development Planning and Management of Biosphere Reserve in Vietnam” by the Government of Viet Nam. It builds on and complements the safeguard strategies outlined in the ProDoc. As this project is supported by UNDP in its role as a GEF Accredited Entity, the project has been screened against UNDP’s Social and Environmental Standards Procedure and deemed a Moderate risk project.

1.1 BACKGROUND

Located in the Indochina Peninsula in Southeast Asia, Viet Nam is within the Indo-Burma Biodiversity Hotspot. Forests are among the most species-rich ecosystems in the hotspot, and before major anthropogenic change they covered vast majority of its land. The variety of forest types is immense, with evergreen, semi-evergreen and mixed deciduous forests, to deciduous dipterocarp forests relatively poor in species.

This rich biodiversity is threatened by the demands of a high population and fast economic growth. One of growth-sector is tourism, with infrastructure leading to increasing threats to critical habitats and ecosystems. Agriculture has reduced its relative importance compared with other sectors, but still provides the main livelihood for a significant part of the rural population. Pressure from agriculture and fisheries development activities results in pressure on the country’s natural resources and biodiversity, and rich terrestrial and marine natural resources that tourism and the local population depend upon.

The project aims to address the negative impacts of unsustainable sector-led development practices by trying to harmonize socio-economic development, sustainable management of natural resources, and biodiversity conservation, through a landscape approach.

1.2 PURPOSE AND SCOPE OF ESMF

This ESMF is a management tool to assist in managing potential adverse social and environmental impacts associated with project activities, in line with the requirements of UNDP’s Social and Environmental Standards (SES). This ESMF has been prepared based on the updated project screening that was done in June 2022 using the UNDP Social and Environmental Screening Procedure (2022 SESP Template Version 1). The ESMF draws on and complements the various safeguard strategies outlined in the ProDoc, in particular:

- Annex 3: Framework for Participatory Landscape (and seascape) Planning and Management for Biosphere Reserves
- Annex 4: Project Participatory Framework for planning, implementation and monitoring of commune conservation activities
- Annex 5: Planning and Management of High Conservation Value Forests and Set-Asides
- Annex 7: Gender Analysis and Mainstreaming Action Plan
- Annex 8: Knowledge Management and Communications Strategy

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

This ESMF identifies the steps for detailed screening and assessment of the project’s potential, identified social and environmental risks, and for preparing and approving the required management plans for

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avoiding, and where avoidance is not possible, reducing, mitigating, and managing the identified adverse impacts. It also references the additional safeguard measures that apply to the project during the implementation, including but not limited to:

- Framework for Participatory Landscape and Seascape Planning and Management of Biosphere Reserves (Annex 3 of ProDoc)
- Participatory Framework for Planning, Implementation and Monitoring of Commune Conservation Activities (Annex 4 of ProDoc)
- Planning and Management of High Conservation Value Forests and Set-Asides (Annex 5 of ProDoc)
- Gender Analysis and Mainstreaming Action Plan (Annex 7 of ProDoc)
- Knowledge Management and Communications Strategy (Annex 8 of ProDoc)
- Strategic Environmental and Social Assessments (as per Law on Environment 2020)
- Stakeholder Engagement Plan
- Indigenous Peoples Planning Framework.

This ESMF builds upon the existing safeguard documents (as noted above) and outlines the screening mechanism for those investments (sub-projects) for which details are still unknown so that appropriate environmental assessment and management is undertaken, in compliance with the UNDP SES, to ensure that significant adverse environmental and social impact mitigation and management measures are implemented and monitored.

This ESMF will be publicly disclosed in line with UNDP's Information Disclosure Policy and SES.

The ESMF will be updated from time to time by the implementing Project Management Board (PMB) in consultation with the UNDP to incorporate changes that may occur during project implementation.

1.3 PROJECT DESCRIPTION

The project objective, to effectively mainstream biodiversity conservation and natural resources management objectives into governance, planning and management of socio-economic development and tourism in Biosphere Reserves, will be met through three outcomes:

- Regulatory and institutional framework to avoid, reduce, mitigate and offset adverse impacts on biodiversity and reduced pressures on ecosystems in Biosphere Reserves in place;
- Integrated multi-sector and multi-stakeholder planning and management operational in three Biosphere Reserves that mainstream protected area management, sustainable resource use and biodiversity-friendly development; and
- Knowledge management and monitoring and evaluation contributing to equitable gender benefits and increased awareness of biodiversity conservation.

1.3.1 Summary of Activities

The proposed project is structured in three technical components and one management component. The components, outcomes, outputs and activities are listed below.

Component 1: Enhanced national legislation, policies and capacities for integrating biodiversity and sustainable natural resources management into management of Biosphere Reserves

Outcome 1: Regulatory and institutional framework to avoid, reduce, mitigate and offset adverse impacts on biodiversity and reduced pressures on ecosystems in Biosphere Reserves in place

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Output 1.1. Functional governance and coordination mechanism established at national level to support dialogue, information flow and decision-making between provinces and national levels for facilitating integrated planning and management of Biosphere Reserves

- Review the existing institutional arrangements for management of BRs, and propose relevant improvements for developing more efficient arrangement, taking into account the existing MAB National Committee.
- Review and define MAB functions and mandate, Secretariat, membership, statutes, decision making and operational management
- Establish functional Secretariat with staffing, office, equipment, and budget for MAB National Committee.
- Strengthen capacity of MONRE for providing coordination and guidance for management of BRs.
- Support development of National strategy and action plan for BR management for 2021-2025.
- Conduct annual/biannual meeting protocol with stakeholders to ensure their involvement and full endorsement.
- Secure approval of Government decision on MAB, and national strategy and action plan for BR.

Output 1.2. Revised legislation in support of integrated landscape planning and management of Biosphere Reserves endorsed and functional.

- Support revision of LEP/Biodiversity Law to specifically adopt requirements for integrated landscape planning and management of Biosphere Reserves, including BR. recognition, BR management, and assigned institutional roles and responsibilities.
- Support development of strategy to strengthen BR Management Board functionality.
- Support development of Legal Document on budget financing for BRs.
- Secure approval of legal documents on. mainstreaming landscape planning and management and budget financing for BRs
- Baseline financing survey in the three BRs.

Output 1.3. Legislation, technical guidelines, standards and norms for mainstreaming biodiversity conservation in natural resource use sectors in Biosphere Reserves developed and adopted.

- Review existing legislation and regulations relating to sectoral economic development planning to identify key gaps in promoting environmentally friendly development with special emphasis on resource use planning in different BR zones.
- Develop and support the approval of guidelines incorporating biodiversity conservation considerations in provincial development planning.
- Update and complete rules and guidelines for new and existing tourism infrastructure in BRs to ensure ecologically sensitive development and practices and for meeting zoning requirements, including through undertaking EIA and applicable certification for tourism infrastructure and products.
- Support revision of EIA legislation to ensure BR Management Board involvement in the review of infrastructure developments within BRs.
- Develop guidelines and tools for improved tourism business planning to facilitate biodiversity-friendly business development and practice.

Output 1.4. Replication strategy developed and implemented to facilitate up-scaling of integrated BR management model in other sites.

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- Facilitate dialogue with provincial authorities and other stakeholders interested in replicating best practices for establishing and managing new and existing BRs.
- Design training programs (including principles of BR management, integration of biodiversity considerations in sector development, EIA/BIA, etc.) to enhance conservation skills and capacity of other provinces and partners interested in replication of integrated BR planning and practice (at least 100 provincial staff trained of which 40% are women).
- Participate in regional and international workshops, conferences, and field visits for national and provincial BR staff to improve learning and exchange of experiences in mainstreaming biodiversity considerations and integrated and sectoral planning and practices.
- Provide technical support to facilitate identification of new BRs and initiation of planning for integrated approaches in other BRs.
- Annual seminars for BRs and decision makers on best practices, experiences and needs.
- Financial mechanisms identified to strengthen and upscale financial support to conservation and sustainable land use/natural resource management in BRs.
- Develop replication and scaling up strategy and plan for BR management and scaling up in Vietnam, including resources requirements, partners, and coordination arrangements.
- Publish best practice manuals/handbooks/compendiums of BR management approaches.
- Preparation of a UNESCO nomination dossier for at least an additional BR.

Component 2: Sustainable resource use, protected areas management, and biodiversity-friendly development measures mainstreamed into the management of three targeted Biosphere Reserves

Outcome 2: Integrated multi sector and multi-stakeholder planning and management operational in three Biosphere Reserves to mainstream protected area management, sustainable resource use and biodiversity-friendly development.

Output 2.1. Multi-stakeholder and multi-sectoral coordination mechanism at Biosphere Reserve level to support integrated planning and management established and functional.

- Strengthen BR MB functionality at provincial level in keeping with national strategy on BR MB (Output 1.2) to clarify membership, roles, responsibilities, and practices; coordination and consultations with sector organizations, effectiveness of decision making; etc.
- Update BR MB statutes and update/revise provincial Decision on BR MB
- Improve operations of MB Secretariat, including staffing, equipment, budget, dialogue, and information flow, etc. for effective BR management and project implementation.
- Secure approval of provincial government decision on BR MB.
- Ensure effective monitoring and enforcement on implementation of the integrated BR management framework and relevant sectoral initiatives.

Output 2.2. Integrated biodiversity conservation and management planning incorporated into provincial economic and sectoral development planning within Biosphere Reserves

- Provide consultancy for assessment and mapping of biological, socio-economic, environmental, and institutional aspects, including assessment of biodiversity and ecosystem services values and threats, climate risks, identification of HCVF/KBAs, land degradation and recommendations for mitigating in the three BRs.
- Support authorization of formal BR areas, internal zoning highlighting biodiversity priorities, set-aside forest areas for non-exhaustive uses to improve connectivity and biodiversity conservation, multiple use zones for sustainable natural resource use, degraded areas for assisted natural

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regeneration to improve connectivity, areas for sustainable biodiversity-friendly community livelihood development and areas for intensive community resource use and environmentally friendly tourism.

- Develop Integrated Biosphere Reserve Management Agreement (IBRMA) or policy framework that entails a multi-sectoral shared vision for mainstreaming biodiversity conservation into provincial level sectoral plans/policies.
- Capacity building to facilitate mainstreaming of biodiversity conservation in sectoral development planning in BRs (based on training design developed under Output 1.4) in selected key sectors (e.g. tourism, forestry, agriculture and natural resource use).
- Support development of guidelines and circular on identification of High Conservation Value Forests (HCVFs)/Key Biodiversity Areas (KBAs).

Output 2.3. Improved management effectiveness of six existing protected areas

- Support formulation processes of Sustainable Forest Management Plans for six PAs
- Validate baseline values for monitoring indicators.
- Support development of annual operational plans for biodiversity conservation, soil and water conservation, fire management, restoration of degraded ecosystems through assisted natural regeneration, weed management, etc.
- Develop and implement protocols for monitoring of key endangered species and their habitats in PAs.
- Support the implementation of conservation management interventions (including boundary demarcation, fire prevention and control, weed control, etc.) within PAs based on annual operational plans.
- Capacity building and training of PA field staff to reduce human-wildlife conflict, improve enforcement and visitor management.
- Field and camping equipment for improving PA management, and boats for CLC BR.
- Strengthen law enforcement to address illegal hunting and monitor and enforce infringements to PA regimes (e.g. access to corals by tourists and fishermen in Cu Lao Cham, etc.), addressed in periodical monitoring reports.
- Monitoring of biological, ecological, and social benefits from the non-exhaustive areas.

Output 2.4. Specific set-aside areas of high conservation value forest, coastal and marine ecosystems conserved and managed for non- exhaustive use to enhance biodiversity conservation and connectivity.

- Preparation of site-specific plans for non-consumptive resource uses in identified set-asides (e.g. HCVFs, KBAs and biological corridors), within BRs and tested under various governance, management and enforcement regimes. At least 60,000 ha of new set-aside areas defined following assessment and mapping under Output 2.2.
- Extensive consultation with key stakeholders, including local communities on their expected needs and services from the non-consumptive use of these natural areas and specific arrangements for any benefit sharing from such non-consumptive uses (e.g. ecotourism revenues, gate fees, etc.).
- Technical advisory services to facilitate improved sustainable natural resources management and forest-based livelihoods in the non-exhaustive use areas, through extension, processing, value addition and marketing support.

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- Investment grants to adjacent communities to reduce threats (e.g. fire, grazing and unsustainable resource extraction) and enhance community non-consumptive resource use.
- Capacity building for sustainable forest management and non-exhaustive uses that would include environmentally friendly NTFP harvesting techniques, determining sustainable harvest yields, management and maintenance of forests for multiple benefits, etc.

Output 2.5. Restoration of degraded forests improves connectivity and enhances biodiversity.

- Technical support for development of forest restoration and protection plans for the identified sites, including assessment of silvicultural and soil conservation practices and working methodologies based on national and regional best practices.
- Investigation of potential for collaboration in forest restoration through complementary provincial initiatives, such as Reduced Emissions from Deforestation and Forest Degradation (REDD+), Payment for Environmental Services (PES), other donor programs, etc.
- Technical support to ensure that on-going and proposed provincial forest restoration programs better integrate sustainable forest management and benefit sharing guidelines and practices.
- Community consultations and participation in forest restoration, including for the establishment and maintenance of a suitable mix of protection and other community-based conservation and maintenance measures such as social fencing to reduce grazing, wood collection and sustainable NTFP extraction, fire control, etc.
- Support for implementation of restoration and protection plans, including soil moisture improvements, weed clearance, water harvest and erosion control, seeding and planting, protection, and maintenance.
- Monitoring of forest restoration progress and impacts, including assessment of biological, ecological and community benefits.
- Finance on-the-ground investments in at least 4,000 ha of degraded forests will be financed in line with investment guidelines.
- Preparation of a manual that describes Sustainable Forest Management (SFM) approaches for forest restoration for different degraded forest types.

Output 2.6. Sustainable livelihood practices implemented by communities in buffer zones of Biosphere Reserves to reduce pressure on biodiversity and ecosystem functions.

- Bio-physical and socio-economic resource mapping of selected communes to delineate scale of resource use (pasture, forest, water, NTFP, etc.); climate risks, existing dependencies, their sustainability, and opportunities for improving these practices, including diversification and expansion of farm and non-farm-based livelihoods.
- Institution of a participatory community-based commune level planning process to develop commune conservation plans (CCPs) to improve and diversify community income-generating activities that reduce pressures on biodiversity (e.g. eco-tourism, sustainable use of wildlife products, homestays, organic agriculture, fisheries, medicinal plants, handicrafts, adventure trail tourism network, etc.) and improve climate resilience.
- Grant allocation for CCP implementation.
- Design of community based “revolving fund”.
- Establishment of community-based revolving funds (based on design under Output 1.2) to help sustain livelihoods and natural resources management investment in BR buffer zones on the longer-term (i.e. Through biodiversity friendly model replication and expansion)

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- Capacity building on relevant livelihood and sustainable natural resources use investments, including value addition.
- End of project national seminar on outcomes and replication for BR management in Vietnam.

Output 2.7. Responsible tourism developed and promoted.

- Design of BR tourism certification program for hotels, guesthouses and tourism facilities, tourism activities, travel agencies, tourism products at Cu Lao Cham BR.
- Promotion of voluntary application of certification for hotels, guesthouses, and tourism facilities in Cu Lao Cham BR
- Technical support to promote compliance with certification criteria in Cu Lao Cham BR.
- Assessment of tourism promotion and tourism certification opportunities in Western Nghe An and Dong Nai BRs
- Strengthening of selected tourism products and services that recognize BR conservation principles (e.g. trails and treks, guide services, etc.).

Component 3: Knowledge management, gender mainstreaming and monitoring and evaluation

Outcome 3: Knowledge management and monitoring and evaluation support contributes to equitable gender benefits and increased awareness of biodiversity conservation.

Output 3.1. Knowledge Management and Communications, Gender Mainstreaming and Monitoring and Evaluation strategies developed and implemented.

- Development of knowledge management and communication action plans for each BR based on overall knowledge management and communication strategy.
- Baseline survey of public awareness and support at the three BRs to determine levels of public support and awareness, and to measure the impact of project activities.
- Implementation of a gender analysis and mainstreaming action plan.
- Training of staff on application of gender mainstreaming in project communication and project activities.
- Design of communication materials.
- Conduct of awareness and outreach activities for a variety of stakeholders at the national, provincial, and local levels such as competitions, website, mass media, video and film, festivals, etc.
- Review and regular update of M&E plan, including results framework baselines, and GEF 7 Core Indicators, Theory of Change to subsequently adopt these findings to implement all aspects of the project.
- Conduct mid-term and terminal evaluation in line with UNDP/GEF requirements and incorporate and adapt recommendations of MTR to revised project plans and monitor their implementation.

Output 3.2. Harmonized information management system operational at Biosphere Reserves

- Development of a simplified, standardized, and dedicated information management system (including website and social media platforms) for BRs, including standards for information collection and sharing.
- BR Information Management System operationalized in each BR, including data collection, input, on-line website, and dissemination.

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- Setting up information collection standards that are: gender and socially inclusive; facilitate standardized inputting and recording of information; and provide for digital access and sharing, including compatibility with existing databases as feasible.
- Technical reports and publications documented and disseminated via mass media.
- A cross-agency and cross-sector effort to collect and digitally catalogue existing information on BR landscape/seascape planning, biodiversity, and natural resources management best practices, resulting in a highly accessible, usable, and catalogued bibliography of available resources in support of replication and upscaling.
- A BCA based Implementer's Manual and Lessons Learned guide (with contributions from project partners) that captures the process of project implementation.
- Inclusion of public engagement pages on the national government, BCA, and other. Provincial websites and social media platforms that link to information about the project and its products, including development of a specific public information sharing platform.

Output 3.3. Knowledge management contributes to policy revision and upscaling of integrated BR approaches.

- Documentation and dissemination of case studies, best practices and lessons learned from the project.
- Development of policy guidance notes that addresses current constraints and gaps in existing policies and legislation.
- National and provincial workshops to facilitate dissemination of field lessons and help inform legal and policy reform relevant to BR conservation practice.
- Efforts would be made to institutionalize some of the best practices through promotion of sectoral and/or national regulatory instruments to secure sector/nation-wide replication and up-scaling (covered under Output 1.4).
- Capacity building and technical support for dissemination and upscaling of project best practices to facilitate integrated BR management approaches in other BRs within Vietnam (Output 1.4)

2 LEGAL AND INSTITUTIONAL FRAMEWORK FOR ENVIRONMENTAL AND SOCIAL MATTERS

2.1 LEGISLATION

Annex 2 of the ProDoc contains an assessment of Vietnam relevant laws, identifies gaps and provides recommendations for revision of legislation and should be referred to for details.

The following is some of the key legislation is relevant to the project:

- Constitution of the Socialist Republic of Vietnam. (2013)
- Law on Biodiversity (2008)
- The Land Law No. 45/2013/QH13 (2013)
- The Law on Forest Protection and Development No. 29/2004/QH11 (2004)
- The Law on Fisheries No. 17/2003/QH11 (2003)
- Law of Tourism (2005)
- Law on Urban Planning (2009)
- Law on Gender Equality (2007)
- Law on Environmental Protection (2020)

The following policies and strategies are relevant to the project:

- National Master Plan on Biodiversity Conservation
- National Strategy on Biodiversity to 2030, with vision to 2050 (Approved Jan 2022).
- National Strategy on Gender Equality 2011-2020
- Ten-year Socio-Economic Development Strategy (SEDS) and the Five-year Socio-Economic Development Plans (SEDPs).
- National Action Plan on the Implementation of the 2030 Agenda for Sustainable Development (2017)

2.2 ENVIRONMENTAL IMPACT ASSESSMENT IN VIET NAM

The EIA process in Vietnam consists of the following stages:

- Screening,
- Assessment,
- Review,
- Approval and Monitoring.

Figure 1 outlines the EIA process in Viet Nam, and the above stages are described below.

Regarding the timing of the EIA process, Article 31 of Law on Environmental Protection and Decree 08/2022 / ND-CP stipulates that the EIA report shall be made concurrently with the formulation of the feasibility study report of the investment project. The feasibility study is then also part of the dossier of request for the appraisal and approval of the EIA report.

Figure 1 provides an overview of the EIA process in Viet Nam.

2.2.1 Screening

In previous versions of LEP, investment projects were mainly classified by the scale, capacity and type of production, business, and service. In the LEP 2020, the environmental criteria for investment project classification are further expanded, adding areas and sensitive environmental factors such as high-density residential areas, water sources, agricultural land, types of forests, natural heritage sites, etc. In details, in LEP 2020, investment projects are classified into four groups:

- Group I: investment projects that pose a high risk of adverse environmental impacts
- Group II: investment projects that pose a risk of adverse environmental impacts
- Group III: investment projects that pose a low risk of adverse environmental impacts
- Group IV: investment projects that do not pose a risk of adverse environmental impacts.

The above group classification shall be the basis for determining projects subject to the preliminary environmental impact assessment (PEIA), environmental impact assessment (EIA), and environmental license. These are regulated in Articles 28, 29, and 30 of LEP 2020.

Screening is done with a list provided as in Appendix III, Appendix IV and Appendix V of the EIA Decree No. 08/2022 ND-CP. The list contains thresholds based on project feature size/capacities against which EIA requirement is determined. A preliminary EIA report is presented as part of the starting dossier for EIA license application. This preliminary EIA report alongside a feasibility study (or investment report) of the project act to inform the screening decision authority on the level of EIA required. Table 1 summarises the assessments required for different types of projects (refer Articles 28, 29 and 30 of LEP 2020).

Screening decision is made by Appraisal Council or Appraisal Services Organisation formulated at National or Provincial level depending on the project.

Provisions for protection and conservation of sensitive areas exist, which includes biosphere reserves. A full EIA will be required for any project with likely effects on such areas.

2.2.2 Assessment process

Proponents are required to send the assessment documents to the People's committee and people council at community level. The council may request public involvement in case of a contentious issue. It is required to record complaints and deliberations during public meetings and include them as part of the EIA report. The contents of the environmental impact assessment report are specified in Form No. 04, Appendix II of Circular 02/2022/TT-BTNMT. Minutes of the consultation meeting for the subjects specified at Point a, Clause 1, Article 26 of Decree No. 08/2022/ND-CP as prescribed in Form No. 04a, Appendix II of Circular 02/2022/TT-BTNMT.

2.2.3 Review process

The project owner shall submit a dossier of request for appraisal of an environmental impact assessment report to a competent agency. An appraisal agency shall check for completeness. The appraisal agency shall then set up an appraisal council or select an appraisal service provider.

Based on the appraisal agency's notice of appraisal results of the environmental impact assessment report, the project owner shall carry out one of the following activities:

Making another environmental impact assessment report and submitting it to the appraisal agency for appraisal, if its environmental impact assessment report is not approved. The appraisal time limit and procedures are the same as for the first report.

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Table 1 Classification of investment project subject to EIA, PEIA, Environmental License (LEP 2020)

Group – Risk of adverse environmental impact	Environmental criteria to determine investment projects										Environmental Impact Assessment (EIA)	Preliminary environmental impact assessment (PEIA)	Environmental license
	No.	Type of production, business, service that pose a risk of adverse environmental impact	Not type of production, business, service that pose a risk of adverse environmental impact	Using land, land with surface water and marine area	Extraction of minerals and water resources	Requiring repurposing of land	Requiring migration and relocation	Scale and capacity	Having sensitive environmental factors	Other criteria			
Group I – High risk	1	○	-	-	-	-	-	Large	-	-	✓	✓	✓
	2	○	-	-	-	-	-	Medium	○	-	✓	✓	✓
	3	-	○	-	-	-	-	Large	○	-	✓	✓	✓
	4	-	-	○	-	-	-	Large	-	-	✓	✓	✓
	5	-	-	○	-	-	-	Medium	○	-	✓	✓	✓
	6	-	-	-	○	-	-	Large	-	-	✓	✓	✓
	7	-	-	-	○	-	-	Medium	○	-	✓	✓	✓
	8	-	-	-	-	○	-	Medium or Large	○	-	✓	✓	✓
	9	-	-	-	-	-	○	Large	-	-	✓	✓	✓
	10	-	-	-	-	-	-	-	-	Providing hazardous waste treatment service; Importing of scrap as production materials	✓	✓	✓
Group II – Have risk	1	○	-	-	-	-	-	Medium	-	-			✓
	2	○	-	-	-	-	-	Small	○	-			✓
	3	-	○	-	-	-	-	Medium	○	-			✓
	4	-	-	○	-	-	-	Medium	-	-	✓		✓
	5	-	-	○	-	-	-	Small	○	-	✓		✓
	6	-	-	-	○	-	-	Medium	-	-	✓		✓
	7	-	-	-	○	-	-	Small	○	-	✓		✓
	8	-	-	-	-	○	-	Small	○	-	✓		✓
	9	-	-	-	-	-	○	Medium	-	-	✓		✓
Group III – Low risk	1	○	-	-	-	-	-	-	-	-			✓
	2	-	○	-	-	-	-	-	-	Generating wastewater, dusts and exhaust gases that must be treated or generating hazardous waste that must be managed			✓
Group IV – No risk	1	-	-	-	-	-	-	-	-				

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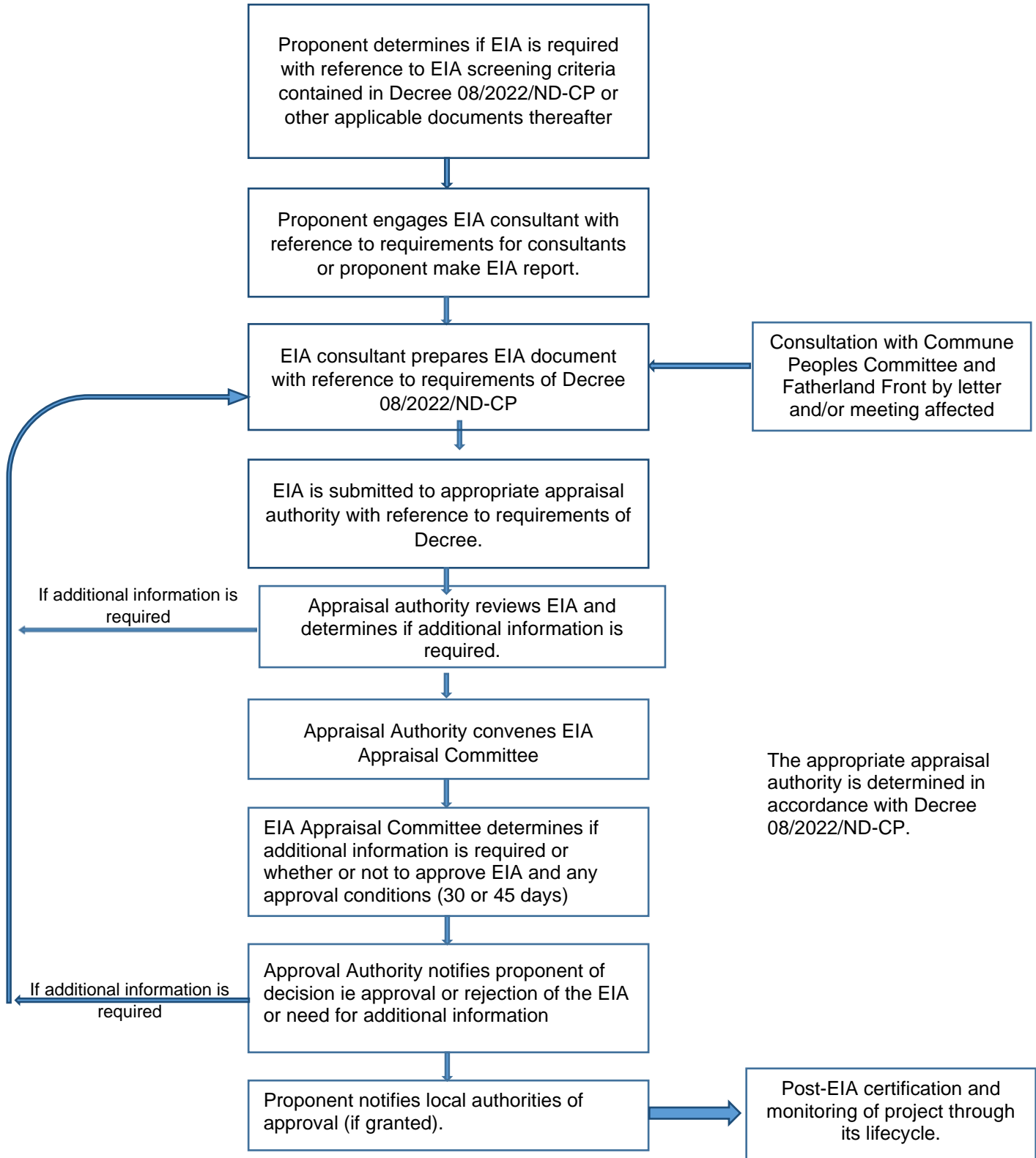


Figure 1 Summary of EIA process in Viet Nam

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Modifying and supplementing the environmental impact assessment report and submitting it to the appraisal agency for consideration and submission to a competent authority for issuance of an approval decision, if the environmental impact assessment report is approved on condition of modification and supplementation. The time limit for modification and supplementation of the report is not counted in the time limit for appraisal and approval of the environmental impact assessment report.

Sending the environmental impact assessment report to a competent agency for issuance of an approval decision under regulations, if the report is approved without modification and supplementation.

2.2.4 Decision-making

EIA report approval is a requirement for, but separate from, the decision on required permits for project approval.

Depending on scale and level of project, it may be the Department of EIA and Appraisal-MoNRE or other ministries/ Governmental bodies at national level or the People's Committee at the local level, which approves the EIA report.

Once the EIA reports are approved, an approval decision is issued, and the EIA reports are they are certified. Decisions, including the reasons thereof, are communicated to the proponent in writing.

The decision is made public. A report on the decision as well as the certified EIA report are sent to various institutions, depending on which level the approval decision has been taken.

2.2.5 Monitoring, Compliance and Enforcement

An environmental control program is part of the EIA report and then serves as a basis for the development of a environmental control plan after the EIA report has been approved. The agency approving the EIA report is responsible for inspection.

Suspension of permit of operation or other penalizing measures are issued if the proponent does not comply with measures in the already approved environmental protection plan.

2.2.6 Public participation

The new LEP (2020) and the new Decree to implement the LEP include provisions for public consultations at two stages - in preparation phase and in review phase of the EIA report (refer Figure 1.)

The consultation process during the process of EIA reporting is determined to be as follows: The people to be consulted are the People's Committee of the affected commune and representatives of the affected communities and organizations. The project owner must send them a written request for consultation together with brief documents on the major investment items of the project, on environmental issues and on environmental protection measures. When necessary, the People's Committee may then convene the representatives of the affected communities and organizations to a meeting and notify the project owner of it. The project owner shall be part of the meeting. Its results must be recorded in writing and signed by the present parties. Within 15 working days after receiving the written request for consultation, the People's Committee should then send a written reply to the project owner and publish it. If it does not do so, it is assumed that the people agree to the project plan. Agreeing and disagreeing opinions will be summarized in the EIA report.

The proponent, public/ NGOs and private parties can appeal against decisions approving EIA reports.

2.3 MULTILATERAL AGREEMENTS

The Government of Vietnam is a signatory to multiple international and regional agreements and conventions, those that are relevant to the project:

- 1951 International Plant Protection Convention
- 1956 Plant Protection Agreement for the Asia and Pacific Region

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- 1969 Agreement establishing a Food and Fertiliser Technology Centre for the Asian and Pacific Region
- 1971 Convention on Wetlands of International Importance especially as Waterfowl Habitat
- 1972 Convention concerning the Protection of the World Cultural and Natural Heritage
- 1973 Convention on International Trade in Endangered Species of Wild Fauna and Flora
- 1992 United Nations Framework Convention on Climate Change
- 1997 Kyoto Protocol to the United Nations Framework Convention on Climate Change
- 1992 Convention on Biological Diversity
- 2000 Cartagena Protocol on Biosafety to the Convention on Biological Diversity
- 2015 Paris Agreement under the United Nations Framework Convention on Climate Change

2.4 UNDP SOCIAL AND ENVIRONMENTAL STANDARDS

UNDP's Social and Environmental Standards (SES) underpin the organisation's commitment to mainstream social and environmental sustainability into its programs and projects. The SES are an integral component of UNDP's quality assurance and risk management approach to programming. Further details on the UNDP SES are available on the UNDP website.

The UNDP SES have been applied during the development of the project. The SES objectives are to:

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

UNDP uses its Social and Environmental Screening Procedure (SESP) 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.

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

The project has been screened against the UNDP SES using the UNDP Social and Environmental Screening Procedure (SESP) template. The project-level screening was updated in 2022 (Appendix 1) and was informed by project documents, Third-Party Monitoring reports and audits conducted to date. It is based on a precautionary approach, looking at the broad category of activity/intervention types and assessing potential risks based on the types of activities that are expected to be implemented at the sub-project level. The screening indicated that the project would trigger six of the UNDP Social and Environmental Standards. The triggered standards and their requirements are summarised in (Table 2).

The project was categorised as Moderate risk during the development phase, but due to review of the risks as part of the SESP update the categorisation has been changed to Substantial..

2.4.1 Gaps in Policy Framework

A high-level assessment of the legal and policy frameworks that apply to the project has been undertaken. Table 2 provides a summary of the UNDP standards that are triggered and identifies the relevant

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Vietnamese legal/policy instruments, along with any gaps that would require to be met by application of UNDP/project level controls.

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Table 2 Summary of UNDP Social and Environmental Standards Triggered by the Project and their Requirements for the Project

Triggered	Requirements Relevant to Project	Relevant National Polices, Legislation, Regulations	UNDP SES requirements met by national instruments	
Programming Principles				
Leave No One Behind				
Human Rights	Yes	Supports universal respect for, and observance of, human rights and fundamental freedoms for all	Constitution of the Socialist Republic of Vietnam. (2013) Civil Code (2015). The code protects personal rights	Yes
Gender Equality and Women’s Empowerment	Yes	Promotion of gender equality and the empowerment of women.	Law on Gender Equality (2007)	Yes
Sustainability and Resilience		Precautionary approach to significant social and environmental challenges and requires application of the mitigation hierarchy to first avoid potential adverse impacts to people and the environment, or where avoidance is not possible, to then minimize, mitigate, and as a last resort, offset and compensate for potential residual adverse impacts Enhance climate resiliency and avoid unwarranted increases in greenhouse gas (GHG) emissions, instead enhancing efficiency and reducing GHG intensity	Decree Providing Strategic Environmental Assessment, Environmental Impact Assessment and Environmental Protection Commitment National Action Plan on the Implementation of the 2030 Agenda for Sustainable Development (2017)	Yes

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Accountability	Yes	UNDP does not support activities that do not comply with national law and obligations under international law, whichever is the higher standard		A project GRM is being implemented
Project Level Standards				
Standard 1. Biodiversity Conservation and Sustainable Natural Resource Management	Yes	<p>Precautionary approach to be applied.</p> <p>Risk identification and assessment: identify and address direct and indirect impacts on natural resources, biodiversity, ecosystems, and ecosystem services.</p> <p>Use of experts.</p> <p>Siting preference – favour areas of low biodiversity/ecosystem.</p> <p>Modified habitats and natural habitats – minimise impacts</p> <p>Risk reduction measures follow a mitigation hierarchy that favours avoidance of potential adverse impacts over minimization, mitigation where adverse residual impacts remain, and, as a last resort, application of offset and compensation measures.</p> <p>Management of ecosystems services – avoid adverse impacts.</p> <p>No adverse impacts on critical habitats.</p> <p>No introduction of invasive into new environments.</p> <p>Avoid, and where avoidance is not possible, minimize adverse impacts on soils, their biodiversity, organic content,</p>	<p>Viet Nam Biodiversity Law (2008) and its implementation regulation provides clear framework for “biodiversity conservation and sustainable development; rights and obligations of organizations, households and individuals in the biodiversity conservation and sustainable development”.</p> <p>National Strategy on Biodiversity to 2030, with vision to 2050 (2022)</p>	Yes

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		productivity, structure, water-retention capacity.		
Standard 2. Climate Change and Disaster Risks	Yes	Climate change and disaster risk analysis, planning and implementation – assess for climate change and disaster risks and their impacts to project activities and outputs as well as the possibility that project activities could increase exposure to such risks	<p>The Law on Environmental Protection 2020 regulates climate change adaptation as follow:</p> <p>a) Assessment of impacts, vulnerabilities, risks, loss and damage caused by climate change to sectors, regions and residential communities based on the climate change scenario and socio-economic development forecast.</p> <p>b) Climate change adaptation, disaster risk reduction, community- and ecosystem-based climate change adaptation model; response to sea level rise and urban inundation.</p> <p>c) Construction and operation of the system for supervising and assessing climate change adaptation.</p>	Yes
Standard 3. Community Health, Safety and Security	No			
Standard 4. Cultural Heritage	No			
Standard 5. Displacement and Resettlement	Yes	Prohibit forced evictions, allowing evictions in exceptional circumstances only	Equivalent with regulations under the Land Law (2014). Specifically, the standard closely aligns with the Chapter 6 of the Land law on Land Recovery, Land Requisition, Compensation,	Mostly, forced evictions not expressly prohibited

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		<p>Avoid, minimize and mitigate physical and economic displacement</p> <p>Develop plans for displacement, including Resettlement Action Plan and/or Livelihood Action Plan</p> <p>Address prior to displacement</p>	<p>Support and Resettlement under the Land Law</p>	
<p>Standard 6. Indigenous Peoples</p>	<p>Yes</p>	<p>Definition of IP: For purposes of Standard 6, "indigenous peoples" refers to distinct collectives, regardless of the local, national and regional terms applied to them, who satisfy any of the more commonly accepted definitions of indigenous peoples.</p> <p>Application: Standard applies to all projects that may affect the human rights, lands, natural resources, territories, Cultural Heritage and/or traditional livelihoods of indigenous peoples regardless of whether (i) the project is located within or outside of the lands and territories inhabited by the indigenous peoples in question, (ii) a title is possessed by the affected indigenous peoples over the lands and territories in question, or (iii) the indigenous peoples are recognized as indigenous peoples by the country in question.</p> <ul style="list-style-type: none"> • Respect for domestic and international law • Identification of indigenous peoples • Land, territory and resources 	<ul style="list-style-type: none"> • Viet Nam is a signatory of UNDRIP • Civil code (2014) - provides basic protection of rights of different ethnic groups, including their rights to identity and rights to re-identify ethnicity. <p>According to Point 1, Clause 4, Decree 05/2011/NĐ-CP on ethnic minority relations “Ethnic minority group are groups with less population compared to majority group in Vietnam territory” and “Majority group is group with more than 50% population, based on gross population census, so it is Kinh group with 85,7% population. All the other ethnic groups are ethnic minorities”</p> <p>In many publications and public communication, it is stated that almost every ethnic group in VN are indigenous, as they all reside in this territory. Due to historical and political sensitiveness, “indigenous” is not emphasized in any law. Though used</p>	

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		<ul style="list-style-type: none"> • Legal personality • Involuntary resettlement • Relocation • Full, effective and meaningful participation and FPIC • Documentation • Prior social and environmental impact study • Appropriate benefits • Support rights implementation • Indigenous Peoples Plan <p>Monitoring</p>	<p>popular in socio-cultural, economic context, e.g. indigenous knowledge, indigenous culture, architecture etc.</p> <ul style="list-style-type: none"> • Ethnic Minorities and other group are equal by Law, including the Land Law. <p>Specifically, Clause 27 recognizes policies on living land, community land for EM that are relevant to customs, culture and specific regional context.</p> <p>Decree 2085/QĐ-TTg of 31/10/2016 and signed by the Prime Minister, approving special policy supporting socio-economic development for EM regions and mountainous areas 2017 – 2020, focuses on EMs that do not have or have inadequate land for agricultural production and seeks to allocate suitable land where available and to foster sustainable poverty reduction and narrow the gaps between regions with Ethnic Minorities and other regions of the country, while protecting and preserving ethnic cultures and customs.</p> <ul style="list-style-type: none"> • Point 4 Clause 9, Decree 5/2011 –there must be consultation and resettlement must result in better conditions.
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			<p>No clear referencing of 'involuntary resettlement'</p> <p>The project's IPPF outlines the requirement for full effective and meaningful participation and FPIC.</p> <p>The Stakeholder Engagement Plan outlines the how stakeholders, including EMs, will be engaged throughout implementation.</p>	
Standard 7. Labour and Working Conditions	No			
Standard 8. Pollution Prevention and Resource Efficiency	No			

3 POTENTIAL SOCIAL AND ENVIRONMENTAL IMPACTS

UNDP uses its Social and Environmental Screening Procedure (SESP) to identify potential social and environmental risks and opportunities associated with 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.

During project development, the project was screened using UNDP's SESP. The SESP prepared for this project (ProDoc Annex 10) details the specific environmental and social risks that apply. The SESP was reviewed and updated using the July 2022 SESP template. The significance of each risk, based on its probability of occurrence and extent of impact, has been estimated as being either low, moderate, substantial, or high. The screening identified four Substantial risks related to this project, therefore the overall risk categorisation for the project is Substantial.

The Substantial risks are:

- project activities are proposed within and adjacent to critical habitats and/or environmentally sensitive areas, including national parks
- creation of new set asides or protected areas and improved zoning of the BRs for multiple different uses, community rights of access may be restricted in specific areas. This could result in economic displacement.
- the project includes reforestation, harvesting non-timber products and aquatic species. Therefore, there is a risk that the harvesting of could impact on the status and health of such populations.
- Ethnic minorities are present within areas proposed for Biosphere Reserves, therefore the project could impact them and their culture.

The following Moderate risks have been identified:

- unintended adverse impacts due of the introduction of new legislation or policies.
- women may not be fully involved in the planning, implementation and monitoring of the project interventions and getting benefits from such initiatives, rather landowners and other influential persons may have more control on local level decision making.
-
- the potential outcomes of the Project could be sensitive or vulnerable to impacts of climate change and natural disasters.

This section summarises key social and environmental risks that trigger UNDP Standards, as well as indicative management measures for them. Full details of all activities are not yet known, in particular, investments that will be made under Outputs 2.4, 2.5 and 2.6, therefore the identification of project level risks provides and indicative assessment to be elaborate further through sub-project level screening, assessment and risk management (see Section 5). Therefore, sub-project screening and site-specific assessments and management plans will be essential.

3.1 HUMAN RIGHTS – LACK OF GOVERNMENT AND/OR COMMUNITY CAPACITY TO MEET OBLIGATIONS

3.1.1 Activities that may result in human rights risks

Changes to legislation, policies, and guidelines, as will their successful application, will require the involvement and support of both government and communities – there may not always be sufficient knowledge or capacity in these groups. Roles and responsibilities of key sector and stakeholders need to be clear.

Policymakers and other key stakeholders do not understand the value of Biosphere Reserves or support their function as a framework for landscape level conservation and sustainable development.

Changes in land use, including use of natural resources, could result in some communities having restricted access to areas previously available.

3.1.2 Management Measures

- The BR project supported to revise Environmental Law and contributed to the development and approval of Decree 08/2022/ND-CP to clarify roles and responsibilities of key sector and stakeholders, including formal legal status for BRs.
- Awareness raising to generate political and public support by implementation of Knowledge Management and Communication Strategy and action plans.
- Identify capacity building needs through a needs assessment of government and local communities.
- Tailor training activities to meet specific requirements of the different stakeholders and ensure that they have the skills to participate in relevant aspects of the project.
- Training for communities participating in sustainable natural resource management, forest restoration and livelihoods.
- Extensive stakeholder engagement – implementation of the Stakeholder Engagement Plan (SEP), Framework for Participatory Landscape Planning and Management for BRs (ProDoc Annex 3), Framework for Planning, Implementation & Monitoring of Commune Conservation Plans (ProDoc Annex 4)
- Implement the Monitoring Plan (ProDoc Annex 12).

3.2 GENDER AND SOCIAL INCLUSION

At the household level, according to UN in Viet Nam “Vietnamese women continue to face serious obstacles in their daily lives, including poverty, limited access to higher education and employment opportunities, as well as persistent discriminatory attitudes and behaviours” (ProDoc Annex 7 GAAP).

At biosphere reserve sites community level, men are more directly involved in the agriculture and services sector. Women play a critical role in both ecosystem development economies and in efforts to conserve resources but often face significant challenges to contribute to their effective management. Traditionally, women in the rural and mountainous areas work in the agricultural fields, take care of livestock, collect non-timber and other agricultural products, as well as taking care of elderly people, children, other household members and various other household chores. They generally have a very limited role in decision-making on the livelihood choices and development of their families. They are also not often involved in training courses, social networks (other than the Women’s Union), local meetings or micro-credit systems, and so they have limited access to knowledge, skills or inputs to adapt their household and livelihood practices to enhance their own wellbeing.

3.2.1 Activities that may result in gender and social inclusion risks

The project activities include various types of stakeholder engagement, including meetings, workshops, training, negotiations. Representation of women and other vulnerable groups at meetings, workshops or trainings may be poor.

Women may not be fully involved in the planning, implementation and monitoring of the project interventions and getting benefits from such initiatives, rather landowners and other influential persons may have more control on local level decision making.

3.2.2 Management Measures

Given that the project is already under implementation, measures have already been undertaken to increase the inclusion and empowerment of women and other vulnerable peoples.

To the extent possible, the project will promote gender equality and the empowerment of women and seek to reduce gender inequalities in access to and control over resources and the benefits of development. Sub-projects will ensure that both women and men are able to participate meaningfully and equitably, have equitable access to project resources, and receive comparable social and economic benefits.

Sub-projects will not discriminate against women or girls or reinforce gender-based discrimination and/or inequalities.

Sub-projects will ensure precautionary measures are in place to prevent potential exposure of beneficiaries, workers, and affected people to sexual exploitation and abuse.

Sub-projects will ensure precautionary and control measures are in place to prevent potential exposure of beneficiaries, workers, and affected people to health and safety hazards.

Implement the Gender Analysis and Mainstreaming Action Plan (Annex 7 of ProDoc).

3.3 ACCOUNTABILITY

3.3.1 Activities that may result in Accountability Impacts or Risks

The introduction of new legislation or policies could have unintended adverse impacts. This could give rise to grievances or objections from affected stakeholders.

There is also potential for stakeholders to not fully participate in decisions affecting them (ie legislative/policy changes)

Some alternative livelihoods, restoration of forest and marine resources can have long gestation periods which can undermine community participation.

3.3.2 Management Measures

- Framework for Participatory Landscape (and Seascape) Planning and Management for Biosphere Reserves (Annex 3 ProDoc).
- Strategic Environmental and Social Assessment (SESA) - prior to enactment of new legislation/policies to evaluate the effect of policy/legislation changes on a broad, cross-sectoral basis with the aim of making 'upstream' development decision making more sustainable. Strategic assessments are a requirement under Vietnamese law for any proposed new legislation.
- Knowledge Management and Communications Strategy (Annex 8 ProDoc)
- SEP and GRM to provide a mechanism for stakeholder to raise and seek resolution of objections.
- Indigenous Peoples Planning Framework
- Gender Analysis and Mainstreaming Action Plan (Annex 7 ProDoc)

3.4 BIODIVERSITY AND NATURAL RESOURCES

Conserving biodiversity, maintaining ecosystem services, and sustainably managing natural resources are fundamental to sustainable development. The project will seek to maintain and enhance the goods and services provided by biodiversity and ecosystems to secure livelihoods, food, water, and health, enhance resilience, conserve threatened species and their habitats, and increase carbon storage and sequestration. The project will also promote sustainable use of natural resources to support livelihoods of vulnerable communities as well as benefit sharing between biodiversity conservation and livelihoods restoration.

3.4.1 Activities that may result in Biodiversity and Natural Resource Impacts or Risks

Project interventions in terms of best practices for biodiversity conservation, sustainable harvest of non-forest products, livelihood improvements and improved fisheries activities could occur within and adjacent to protected areas and critical habitats

The project includes reforestation, harvesting non-timber products and aquatic species. Therefore, there is a risk that the harvesting of fish populations and other aquatic species could impact on the status and health of such populations.

Alternative livelihoods, such as tourism operations within biosphere reserves could result in adverse impacts, such as loss of habitat to infrastructure, traffic, noise, waste etc.

3.4.2 Management Measures

Considerations for the identification of management measures are summarised below, and additional guidance can be referred to in the SES Biodiversity Conservation and Natural Resource Management.

Precautionary approach: the project applies a precautionary approach to the use, development, and management of natural habitats, the ecosystem services of such habitats and living natural resources.

Assessment: As an integral part of the social and environmental assessment process, direct and indirect impacts on natural resources, biodiversity, and ecosystem services in the Project's area of influence are identified and addressed. In sub-projects that present potential significant impacts on natural resources, biodiversity, and ecosystem services an assessment process will consider, inter alia (i) risks of habitat and species loss, degradation and fragmentation, invasive alien species, overexploitation, hydrological changes, nutrient loading, pollution, and (ii) differing values (e.g. social, cultural, economic) attached to biodiversity and ecosystem services by potentially affected communities. Potential cumulative and induced impacts will be assessed. Project-related impacts across potentially affected landscapes should be considered.

Sustainable management of living natural resources: Living natural resources will be managed in a sustainable manner. Sustainable resource management is the management of the use, development, and protection of resources in a way, or at a rate, that enables people and communities, including indigenous peoples, to provide for their social, economic, and cultural well-being while also sustaining the potential for those resources to meet the needs of future generations. This includes safeguarding biodiversity and the life-supporting capacity of air, water, and soil ecosystems. Sustainable management also ensures that people who are dependent on these resources are properly consulted, women and men have opportunities to equally participate in development, and benefits are shared equitably.

Key management plans to be applied include:

- Participatory Framework for Planning, Implementation and Monitoring of Commune Conservation Activities (Annex 4 of ProDoc) – mapping biosphere reserves and avoidance of adverse areas and screening of investments.
- ESMF – investment screening process (Section 4) to ensure that they comply with sound social and environmental principles. This process forms Step 6 under “Project Participatory Framework for Planning, Implementation and Monitoring of Commune Conservation Activities”
- Planning and Management of High Conservation Forests and Set-Asides (Annex 5 of ProDoc) – mapping of resources, agreements on use of native species, and setting of harvesting limits

- Stakeholder Engagement Plan
- Indigenous Peoples Planning Framework
- Monitoring Plan (ProDoc Annex 12) – Alternative Livelihood Plans and Commune Conservation Plans would set harvests within acceptable sustainable limits and status of populations monitored throughout the project period.

3.5 CLIMATE CHANGE AND DISASTERS

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

Viet Nam is characterized by a humid subtropical climate with four separate seasons – spring, summer, autumn and winter – in the north, and a tropical savanna climate with only two seasons – dry and wet – in the south. The climate is strongly affected by two monsoons, the North-East ‘winter’ monsoon (December-March) and the South-West ‘summer’ monsoon (June-September), bringing strong winds, enhanced precipitation and heavy rainfall events. Sub-projects will aim to be sensitive to climate change risks and not contribute to increased vulnerability to climate change.

3.5.1 Activities that may result in climate risk

The project is designed to contribute to increasing the resilience of the target biosphere reserves to natural disasters and the impacts of climate change by supporting sustainable land and forest management to reduce land and natural resource degradation. However, natural disasters and climate change may affect the implementation and results of project initiatives.

Reforestation and harvesting of natural resources are exposed to climate and disaster risk. The types of alternative livelihoods selected will change the level of climate risk that communities face, as well as the level of knowledge they gain regarding the climate vulnerabilities of the various proposed investments.

Developments, such as eco-tourism can increase exposure to climate and natural disasters – the number of people at risk can increase due to influx of tourists.

The gestation time for reforestation/restoration of natural areas and some alternative livelihoods can be quite long, thereby increasing the chance of them being impacted by a climatic or natural disaster before the benefits are fully realised.

3.5.2 Management Measures

- SEP and Knowledge Management and Communications Strategy (ProDoc Annex 8) to improve awareness of climate and ensuring measures to improve climate resilience
- Participatory planning processes (ProDoc Annexes 3 and 4) to ensure alternate livelihoods consider and factor in climatic and natural disaster conditions and risks and to encourage diversification of livelihoods, improved management of natural resources, sustainable fisheries and tourism practices, improved soil and water conservation, water efficiency use and harvesting, etc. to enhance community resilience to climate impacts
- ESMF outlines procedures for screening potential investments developed as part of the Commune Conservation Planning.
- Emergency Response Plans (if required) - depending upon the outcomes of screening and assessment

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- Monitoring Plan (ProDoc Annex 12): The condition of the natural ecosystems would be monitored to ensure that activities do not damage these sensitive ecosystems so that it is in a better overall situation to manage climate changes.

3.6 DISPLACEMENT AND RESETTLEMENT

3.6.1 Activities that may result in displacement and resettlement

Zonation – re-zonation could result in restricted access to land and natural resources. Creation of new set asides or protected areas and improved zoning of the BRs for multiple different uses, community rights of access may be restricted in specific areas. This could result in economic displacement. With the creation of new set asides or protected

Proposed investments could result in economic displacement.

3.6.2 Management Measures

- Review of advice/recommendations from Output 1 (particularly Activities 1.2 and 1.3) to ensure any changes in legislation/policy do not have unintended consequences
- Stakeholder Engagement Plan and GRM - Carry out community consultation on the purpose and benefits of making changes to land use
- Framework for Participatory Landscape Planning and Management (ProDoc Annex 3) and - Participatory Framework for planning, implementation and monitoring of Commune Conservation Activities (ProDoc Annex 4) will delineate areas to be set asides in a manner to avoid limitations on existing community resource use rights and access and ensure that decisions regarding restrictions, if any, on resource use will not be imposed, but will involve through an informed, transparent and consultative community consensus building process, and any restrictions, if any will be adequately compensated to match or exceed loss of incomes or livelihoods
- Planning and Management of High Conservation Value Forests and Set-Asides – establish non-consumptive use set asides planned and managed under community governance mechanisms.
- IPPF and subsequent IPPs if required.
- ESMF for screening of project investments
- Alternative Livelihood Plans (if required)

3.7 INDIGENOUS PEOPLES

Eleven ethnic groups are known from in and around the project sites. The project could have both positive and negative impacts upon ethnic groups. UNDP Standard 6 sets out specific requirements for projects that may affect Indigenous Peoples. An Indigenous Peoples Planning Framework has been developed for the project.

3.7.1 Activities that may result in impacts to indigenous peoples

Changes to legislation could have impacts on ethnic minorities (both intended and unintended).

Zonation or re-zonation of biosphere reserves could result in restrictions in the use of land claimed by ethnic minorities.

Selection of beneficiaries for various investments under Commune Conservation Plans could have adverse impacts on ethnic minorities – eg ethnic minorities may be under-represented in the beneficiary recipients, or interventions may run counter to traditional practices and customary law.

3.7.2 Management Measures

- Implement the IPPF – where ethnic minorities are known to occur or utilise land/resources, then the IPPF must be applied, then if required (based application of the IPPF), develop IPP and obtain FPIC
- Equitable representation - ensure the representation of EMs in project activities, including empowering them as key resources for project implementation, from designing water system to assessing climate service needs for the EM groups, or facilitating livelihood schemes for targeted beneficiaries. The two Participatory Plans (Annexes 3 and 4 of ProDoc) need to ensure that they include appropriate representation and participation of ethnic minorities.
- Capacity building
- Communications, training, and gender materials used for dissemination of information must be suitable with local cultures and languages, particularly for EMs
- EMs often have own ways of learning, information sharing and application of knowledge. Provide support and ToT training to the respected people in ethnic groups (elders, nominated heads etc) to enhance learning opportunities for EMs. Establish and facilitate peer-learning groups through exchange and learning visits among EMs, villages, and communes.
- Implement the SEP/GRM

4 PROCEDURES TO ADDRESS SOCIAL AND ENVIRONMENTAL IMPACTS

4.1 SUB-PLANS

The SESP has identified requirement for the following additional stand-alone management sub-plans:

- Strategic Environmental and Social Assessment/s. These are to be undertaken for activities that have the potential to have impacts beyond the specific sites of the projects, ie for activities that involve changes to legislation, policy, rules or guidelines eg Output 1.3, 2.2, and 2.4. Refer Section 4.2 below.
- Stakeholder Engagement Plan and Grievance Redress Mechanism (SEP/GRM): has been developed. The plan provides terms of reference and modalities for managing stakeholder engagement in project activities at each site and with each community. The SEP builds on the existing Communications Strategy (Annex 8 of ProDoc). The SEP/GRM applies to the whole project and is to be implemented throughout the life of the project.
- Gender Action Plan (GAP): has been prepared (Annex 7 of the ProDoc). Updates will be informed by the ESIA's, and progress against relevant benchmarks. The GAP applies across all activities and is to be implemented throughout life of project.
- Indigenous Peoples Planning Framework (IPPF): has been developed. The IPPF provides the framework for ensuring that the rights of IPs are maintained and that their cultural practices and development aims are respected. The IPPF is to be applied where there are ethnic minorities present or have potential claims on use of land or resources. Through the application of the IPPF it will be determined whether adverse impacts to ethnic minorities is a risk and whether specific Indigenous Peoples Plans are required to address potential risks. In particular, Outputs 1.3, 1.4, 2.2, 2.3, 2.4, 2.5 and 2.6 should be assessed as per the IPPF.
- Ecosystem Monitoring Plan. Monitoring plans will be required for Outputs 2.3 and 2.5.
- Knowledge Management and Communications Strategy (Annex 8 of ProDoc). This strategy applies across the project to ensure that the information gained and the lessons learnt are effectively documented and shared. It is the focus of Outcome 3.
- Alternative Livelihood Plan (if required). Output 2.6 is most likely to trigger the need for livelihood plans, however associated activities (2.4, 2.5 and 2.7) may also have livelihood elements associated with them.
- Project Participatory Framework for planning, implementation and monitoring of commune conservation activities (Annex 4 of ProDoc). This framework, more specifically describes the participatory process by which: (a) specific components of activities at the commune-level will be planned and implemented; (b) the criteria for eligibility of investment are determined; (c) the measures to assist local community members improve conservation, sustainable natural resource management and climate risk management practices are chosen; and (d) the appropriate and non-exploitative use of natural resources for livelihoods activities are implemented.
- Framework for Participatory Landscape (and seascape) Planning and Management for Biosphere Reserves (Annex 3 of ProDoc).
- Environmental and Social Management Plans. ESMPs may need to be developed to provide site specific controls to minimise negative impacts eg for the activities on forest rehabilitation and livelihoods improvement. The need for ESMPs will be determined by outcomes of SESAs, screening of sub-projects, IP assessments and community consultation/participation. Refer Section 4.3 for screening of sub-projects.

4.2 STRATEGIC REVIEWS

Legislative reviews and changes have already been completed as part of Outputs 1.1, 1.2 and 2.2. Potential impacts from “upstream” project activities, that is legislative, policy, rules or guideline activities, that can have far wider reaching impacts than just the selected project sites, should be considered. Strategic reviews of advice given that could effect policies, rules or guideline changes on a broad, cross-sectoral basis should be undertaken with the aim of making decisions and other upstream actions more sustainable. The review is to confirm that advice will not result in potentially adverse impacts of policy, rules and guidelines at the site level/BR level, thereby reducing the likelihood of unintended adverse impacts or maladaptation.

Specifically, strategic reviews of the advice given/outputs of the following should be undertaken:

- Output 1.3:
 - Update and complete rules and guidelines for new and existing tourism infrastructure in BRs to ensure ecologically sensitive development and practices and for meeting zoning requirements, including through undertaking EIA and applicable certification for tourism infrastructure and products.
 - Develop guidelines and tools for improved tourism business planning to facilitate biodiversity-friendly business development and practice.
- Output 2.2:
 - Develop Integrated Biosphere Reserve Management Agreement (IBRMA) or policy framework that entails a multi-sectoral shared vision for mainstreaming biodiversity conservation into provincial level sectoral plans/policies.
- Output 2.4: set-aside areas.

4.3 SCREENING OF INVESTMENTS AND LIVELIHOOD ACTIVITIES

The project will support a series of investments and livelihood activities over the course of its implementation. The types of investments are described in Table 6. Each investment type will be screened for social and environmental risks and impacts applying the UNDP SESP¹, in particular by using the Social and Environmental Screening Template contained in Appendix 1. Personnel undertaking screening should be familiar with the UNDP SES and the application of the SESP – details and guidance can be found at: https://info.undp.org/sites/bpps/SES_Toolkit/Pages/Homepage.aspx. The following provides a summary of the screening process.

4.3.1 Screening Process

SES screening of sub-investment activities shall be carried out by an independent consultant mobilized by the project. The consultant shall screen all sub-investment activities using the SESP Template. The Template consists of two primary parts:

- Part A – Integrating Programming Principles to Strengthen Social and Environmental Sustainability
- Part B – Identifying and Managing Social and Environmental Risks

In Part A (Question 1.) is intended to help identify and document how key elements of the SES Programming Principles - (1) leave no one behind; (2) human rights; (3) gender equality and women’s empowerment; (4)

1

https://info.undp.org/sites/bpps/SES_Toolkit/SES%20Document%20Library/Uploaded%20October%202016/UNDP%20Social%20and%20Environmental%20Screening%20Procedure_JULY2022_ENGLISH.pdf

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sustainability and resilience; and (5) accountability – have been addressed by the investment to enhance social and environmental sustainability.

Part B consists of five steps (Questions 2 to 6) to identify risks and how they will be managed:

- Question 2: What are the potential social and environmental risks? The first step in answering this question is to complete the Social and Environmental Risk Screening Checklist (Attachment 1 of the SESP Template), which provides a series of Yes/No questions related to potential risks under each of the SES Principles and Project-Level Standards. Project activities are screened for their inherent ('pre-mitigation') social and environmental risks regardless of planned mitigation and management measures. All "Yes" answers in the checklist indicate a potential risk.

Concise descriptions of the potential risks identified in the Risk Checklist are entered under Question 2 of the SESP Template. The description should be as specific to the project (not just a restating of the Checklist wording) and as short as possible. The risk description should indicate the cause (triggering action/event) and the potential impact (environmental, social). Multiple related risks from the Checklist can be summarized together under a single risk description.

Question 3: What is the level of 'significance' of the potential social and environmental risks identified in Question 2? To do this the screener will estimate both the potential impact (ie consequences if the risk were to occur) and likelihood (ie the chance of the risk occurring) for each identified risk. Ratings for both impact and likelihood are given on a scale of 1 (low) to 5 (high) – refer Table 3 and

- Table 4.

The combination of impact and likelihood is then used to determine the overall significance of each identified risk (low, Moderate, Substantial or High) using

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Table 5 as a reference.

Table 3 Rating the "Impact" of a Risk

Score	Rating	Social and environmental impacts
5	Extreme	Significant adverse impacts on human populations and/or environment. Adverse impacts of large-scale magnitude and/or spatial extent (e.g. large geographic area, large number of people, transboundary impacts, cumulative impacts) and duration (e.g. long-term, permanent and/or irreversible); areas adversely impacted include areas of high value and sensitivity (e.g. valuable ecosystems, critical habitats); adverse impacts to rights, lands, resources and territories of indigenous peoples; involve significant levels of displacement or resettlement; generates significant quantities of greenhouse gas emissions; impacts may give rise to significant social conflict
4	Extensive	Adverse impacts on people and/or environment of considerable magnitude, spatial extent and duration, but more limited than Extreme (e.g. more predictable, mostly temporary, reversible). Impacts of projects that may affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples are to be considered at a minimum potentially Extensive
3	Intermediate	Impacts of medium magnitude, limited in scale (site-specific) and duration (temporary), can be avoided, managed and/or mitigated with relatively uncomplicated accepted measures
2	Minor	Very minor impacts in terms of severity and magnitude (e.g. small affected area, very low number of people affected) and duration (short), may be easily avoided, managed, mitigated
1	Negligible	Negligible or no adverse impacts on communities, individuals, and/or environment

Table 4 Rating the "Likelihood" of a Risk

Score	Rating
5	Expected
4	Very likely
3	Moderately likely
2	Low likelihood
1	Not likely

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Table 5 Determining "Significance" of Risk

Impact	5	Moderate	Substantial	Substantial	High	High
	4	Low	Moderate	Substantial	Substantial	High
	3	Low	Moderate	Moderate	Moderate	Substantial
	2	Low	Low	Low	Moderate	Moderate
	1	Low	Low	Low	Low	Low
	1	2	3	4	5	
	Likelihood					

- Question 4: What is the overall social and environmental risk categorization of the investment? Investment categorization is determined by the highest level of significance of identified risks across all risk areas (as rated in Question 3). The screening process results in one of the following five categories for the proposed investment:
- **Low Risk:** Projects that include activities with minimal or no adverse social or environmental risks and impacts. Further assessment of potential adverse social and environmental risks and impacts is not required. However, the SES Programming Principles and stakeholder engagement requirements still apply to project activities.
- **Moderate Risk:** Projects that include 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.
- **Substantial Risk:** Projects that include activities 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 Risk projects may also include those with a varied range of risks rated as "Moderate" that require more extensive assessment and management measures.
- **High Risk:** Projects that include activities with potential significant adverse social and environmental risks and impacts that are irreversible, unprecedented and/or which raise significant concerns among potentially affected communities and individuals as expressed during the stakeholder engagement process. High Risk activities may involve significant adverse impacts on physical, biological, socioeconomic, or cultural resources, and may have the potential to aggravate existing situations of fragility or conflict, adversely affect human rights, lead to extensive environmental degradation and/or contribute to cumulative impacts. High Risk projects typically involve a range of issues regarding the SES Programming Principles and Project-level Standards. High Risk projects require enhanced internal and external support.

Note that High Risk investments will be excluded from the project.

- Question 5: Based on the identified risks and significance, what requirements of the SES are triggered? This question asks the screener to a) identify what types of assessment management measures/plans are to be developed and applied to the investment given the identified risks and investment categorization, and b) which SES Programming Principles and Project-Level Standards are triggered for the investment.
- Question 6: Describe the assessment and management measures for each risk rated Moderate, Substantial or High.

4.3.2 Approval of Investments

Screening and classification will be completed prior to the approval of the investments. Screening results inform final appraisal and investment approval as well as the need for any additional environmental and social assessments or management plans.

As the overall project has been screened and was determined to be a “Moderate” risk categorization, if the proposed investments are determined to be “Low” or “Moderate” risk overall, then the activity is eligible for implementation as it is within the existing approved risk level.

However, if the investments overall risk categorization is found to be “substantial”, then this would represent a potential change in the overall Project risk categorization and would require further assessment or approval prior to the investment being accepted for implementation.

As noted earlier, “High” risk activities will not be eligible under the project.

The screening results shall be attached to the Terms of Reference of the relevant activities.

4.3.3 Monitoring risk profile during implementation

The screening of the investments will also be updated if there are any significant changes in the investment’s design or context that may materially change its social and environmental risk profile.

If high levels of risk are identified during implementation, senior management of the Implementing Partner and Responsible Party(ies) and UNDP Project Manager will be notified immediately, and relevant activities will be halted until management measures are put in place to reduce the levels of risk.

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Table 6 Indicative list of possible investments and livelihoods activities

Type of investment	Potential list of investments
Grazing improvement	<ul style="list-style-type: none"> • Water harvesting • Vegetation management • Improved herding practices
Introduction of New fodder varieties suitable	<ul style="list-style-type: none"> • New fodder varieties suitable for the area introduced and test plots established
Soil and water conservation	<ul style="list-style-type: none"> • Surface and rainwater collection and storage • Land degradation control and soil conservation using contour farming, vegetation strips, intercropping, etc. • On-farm water management • Soil fertility improvements • Agricultural land levelling • Climate-resilient and equitable water storage and micro-irrigation
Integrated pest management	<p>Integrated pest management for</p> <ul style="list-style-type: none"> • Control of crop diseases, • Insect pests, • Rodents and • Weeds of crops
Home gardens	<ul style="list-style-type: none"> • Kitchen gardening, vegetable production • Fruit production, • Orchard development with suitable species • Orchard and management <ul style="list-style-type: none"> - Fruit trees training - Pruning, - Budding, grafting and layering practices
Improved agricultural practices	<ul style="list-style-type: none"> • Improved productivity and climate resistant seed and planting varieties • Integrated technical measures of seed, fertilizer, plant protection and site-management • Straw and mulching cover for crops, no tilling or minimum till farming techniques • Crop rotation • Contour farming

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	<ul style="list-style-type: none"> • Inter-cropping • Soil amendments and fertility improvements • Organic high value crop farming • Diversification of crops • Community based vegetable and crop farms
Establishment of forest & fruit plant Nurseries	<ul style="list-style-type: none"> • Establishment of Nurseries <ul style="list-style-type: none"> - Fruit plant nurseries - Medicinal and aromatic plant nurseries - Forest tree nurseries
Sustainable fodder tree uses	<ul style="list-style-type: none"> • Sustainable lopping, trimming and management of forest and fodder trees
Forest conservation and protection	<ul style="list-style-type: none"> • Forest conservation and protection through forest conservation and protection committees • Sustainable NTFP harvest techniques e.g. medicinal plant collection, protection of threatened flora
On-farm agro-biodiversity management	<ul style="list-style-type: none"> • On-farm agro-biodiversity management • Access to knowledge on agro-forestry and integrated farming methods
Sustainable Tourist Enterprise projects	<ul style="list-style-type: none"> • Homestays • Tour guides and guiding services • Handicrafts • Green labelling • Zoning for tourist use and development • Low impact tourism ventures • Bird watching/ Wildlife watching • Agro-based tourism initiatives, endemic fruits and flowers, “forgotten” vegetables, etc. • Marine tourism: snorkelling and diving
Sustainable fisheries	<ul style="list-style-type: none"> • Sustainable fisheries harvest techniques and production limitations • Sustainable farming model awareness and promotion • Protection of fish nurseries • Habitat restoration in support of fish spawning

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Improved aquatic systems	<ul style="list-style-type: none"> • Mangrove protection and rehabilitation • Coral reef and sea grass protection and regeneration • Sustainable handicrafts from Bamboo and Nypa • Promotion of sustainable Nypa tourism
Aqua-culture	<ul style="list-style-type: none"> • Organic, sustainable mixed Fish farming • Fish hatcheries • Integrated aquaculture and aquatic plants and vegetable production through aqua-culture
Crop processing and storage	<ul style="list-style-type: none"> • Grain/ Fruit storage techniques • Crop/ Fruit processing after harvesting as per market requirements and to increase shelf life • Crop and fruit storage improvement
Improved sanitation and solid waste management	<ul style="list-style-type: none"> • Improved sanitation • Solid waste management
Promotion of wood alternatives	<ul style="list-style-type: none"> • Promotion of LPG • Energy efficiency cooking stoves
Market linkages and Value Addition	<ul style="list-style-type: none"> • Market linkages for the enterprises and crops • Product development and value addition • Microfinance and access to affordable credit • Community revolving funds
Extension and Training	<ul style="list-style-type: none"> • Improved knowledge on conservation and climate adaptation measures • Field testing and piloting • Extension services • Demonstrations

4.3.4 Site-Specific Assessment and Management Requirements

Based on the outcomes of the screening of investments, site-specific assessments and/or management plans may be required, including EIAs under national legislation. The assessment(s) will be conducted in a manner consistent with national regulations and the UNDP SES, and lead to the development of appropriately scaled management measures and plans to address the identified risks and impacts.

The UNDP SES and SESP require that in all cases relevant social and environmental assessments and adoption of appropriate mitigation and management measures be completed, disclosed, and discussed with stakeholders prior to implementation of any activities that may cause adverse social and environmental impacts. For projects with easily identified risk management measures, a simplified ESMP can be developed. An indicative template for ESMPs can be found in the UNDP (2020) Guidance Note Social and Environmental

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Standards Social and Environmental Assessment and Management:

https://info.undp.org/sites/bpps/SES_Toolkit/SES%20Document%20Library/Uploaded%20October%202016/UNDP%20SES%20Assessment%20and%20Management%20GN%20-%20Final%20Nov2020.pdf

5 STAKEHOLDER ENGAGEMENT AND INFORMATION DISCLOSURE PROCESS

5.1 STAKEHOLDER ENGAGEMENT

During the development of the project there were discussions with a wide range of stakeholders including relevant government departments, industry groups, NGOs, and individual community members. Summaries of stakeholder engagements to date have been provided in the annual Project Implementation Reports (PIRs).

A Stakeholder Engagement Plan, Communications Strategy (Annex 8 of ProDoc), two participatory frameworks (Annex 3 and 4 of ProDoc) and a Gender Action Plan (Annex 7 of ProDoc) have been prepared. These plans help ensure that stakeholders are engaged in project implementation.

The project is working with the following stakeholders:

- Governmental stakeholders. These will include the MONRE in charge of project execution as well as other ministries/administrations whose role will be crucial for the implementation of specific project components and establishment of regulation and norms relevant to the use of the BRs
- BR Management Boards responsible for providing information and identifying priority issues at each site, for ensuring stakeholder coordination and involvement, and for planning and implementation of day-to-day activities in their respective BRs (including core zones, buffer zones and transition zones).
- Local communities, ethnic minority groups and community-based organizations (CBOs)
- Research institutes
- Private sector – particularly with respect to tourism initiatives
- NGOs operating in the multiple dimensions of environment, communication, people mobilization, gender mainstreaming.
- National/local press and media, who will assist in public awareness.

The project engages the relevant stakeholders in different ways:

- The stakeholders who are eligible to take active part in the project (like local communities, enterprises and CBOs/NGOs) will be kept informed through direct contacts in workshops, awareness raising events and publication of information in the project website.
- The stakeholders who may have interest in project activity and which need to be informed because of potential positive or negative impact that the project will exert on them, will be mainly kept informed through communication tool aimed at reaching large audience, including TV broadcasting and newspapers.
- The stakeholders who have direct interest in understanding the project achievement and results, including regulatory, technological, scientific and methodological aspects, will be kept informed through regular publication of technical document and project report on the project website.

A mapping of the project engagement methodologies by target audience are reported in Table 7.

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Table 7 Mapping of stakeholder groups, their information needs and engagement methodologies

Stakeholder	Communication Needs	Interventions and tools
National level		
Government Agencies	<ul style="list-style-type: none"> • Improved regular and open communication among sectoral agencies, including mainstreaming of intersectoral interests in policies, planning and action. • Strengthened information flow on conservation aspects, sustainable livelihood initiatives from and to CBOs, NGOs, etc. • Visibility of the project activities and results at national level. 	<ul style="list-style-type: none"> • Improved documentation of best practice solutions. • Technical workshops and meetings • Training courses • Study tours • Web-based information portal
MAB National Committee	<ul style="list-style-type: none"> • Improve visibility of the BR network at national and provincial levels. • Strengthen engagement with policy makers, decision makers at all levels. • Expand information role on BR principles to wider community. • Ensure sharing of experiences and best practices. 	<ul style="list-style-type: none"> • Policy briefs and information meetings. • Media outreach campaigns. • BR network meetings • Web-based information portal
National media	<ul style="list-style-type: none"> • Use of broad set of media instruments – newspaper, TV, radio, internet, and social media – to advocate for sustainable development and biodiversity conservation in BRs. • Sufficient information to effectively and regularly inform the general public on the activities and outcomes of the project. 	<ul style="list-style-type: none"> • Programming support to TV, radio, print • Press tours and field visits • Press releases, press conferences
General public	<ul style="list-style-type: none"> • Have sufficient understanding on linkages between human activities and the state of ecology and the environment, and benefits from maintaining ecosystems services to society and individual wellbeing. • Be informed on project goals, implementation progress, actual and anticipated outcomes and benefits for society 	<ul style="list-style-type: none"> • Website, social media • Festivals • Exhibitions

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Science institutions	<ul style="list-style-type: none"> • . Coordination of relevant research topics, including complex, joint thematic ones. • Better engagement with local natural resources users on livelihood practices. • Increased capacity to communicate results and meaning of scientific research for society. 	<ul style="list-style-type: none"> • Regular science-policy workshops. • Communication training. • Information platform for publishing and sharing research results, peer-reviewed as relevant. • Science to the field: extension services, town hall meetings, demonstration sites.
National CBOs	<ul style="list-style-type: none"> • Up-to-date information on the status of ecology and environment in the BRs and the country. • Regular information on project initiatives and results attained 	<ul style="list-style-type: none"> • Knowledge products and policy briefs. • Workshop participation. • Web-based information portal
National NGOs	<ul style="list-style-type: none"> • Regular information on project initiatives and results attained. 	<ul style="list-style-type: none"> • Knowledge products and policy briefs. • Workshop participation. • Web-based information portal
BR site level		
Provincial state authorities	<ul style="list-style-type: none"> • Strengthened information, from traditional land use best practices as well as scientific research on effective conservation and its mainstreaming in provincial socio-economic and sectoral planning. • Capacity building on effective communication and involvement of stakeholders. • Better awareness materials, including best practice description, policy notes • More transparent stakeholder consultation and decision making processes for collective action. • Effective communication to engage communities, private sector and households, including youth, women, indigenous people and the poor. • Visibility of the project activities and results at provincial and BR level. 	<ul style="list-style-type: none"> • Knowledge products and policy briefs. • Training courses to strengthen technical capacities and communication skills, engagement with communities and media. • Focus group discussion within and between sectors. • Workshops, intersectoral meetings and science briefings • Study tours • Web-based information portal

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BR Management Boards	<ul style="list-style-type: none"> • Up-to-date information materials for use in campaigns, in visitor center • Sufficient technical and staff capacity for implementation of communication plan. 	<ul style="list-style-type: none"> • Staff training on communication, guide services, effective information management and visitor center operations, etc. • Outreach campaigns: public events; press releases, press field visits. • Information materials: brochures, leaflets, audio-visual products. • BR branding and visibility: billboards, logo, souvenir products. • Harmonized web-based information portal. • Information/visitor center for educational and tourism purposes.
Local communities	<ul style="list-style-type: none"> • Understand the significance of BRs to the wider community, and the role the project plays in this. • More practical information on acceptable and appropriate best practice sustainable alternatives for traditional land and natural resources use for livelihoods. • Improved two-way communication between communities and commune, district and provincial agencies. • Strengthened supply chains with access to processing and markets. • Fair benefit sharing mechanisms adopted. • Strengthened engagement and voice in stakeholder consultations and decision making • Strengthened role of women in stakeholder consultations, decision making 	<ul style="list-style-type: none"> • Meetings • Field demonstrations • Awareness events: exhibitions, street events, theatre plays, campaigns, etc. • Gender-targeted campaigns: women focal groups, social media, radio & TV, etc. • Hands-on training on alternative livelihoods in agriculture, NTFP, tourism

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Local media	<ul style="list-style-type: none"> • Understanding the project activities and results, as well as its significance. • Up-to-date information on BR principles, functioning, management decisions and implementation measures 	<ul style="list-style-type: none"> • Documentation (popularization) and dissemination of best practices at local level. • Harmonized web-based information portal • Press releases, press conferences • Field visits
Education institutions	<ul style="list-style-type: none"> • Improved knowledge on biology, ecology, environment conditions in BRs. • Better understanding of human impacts from economic development and local livelihoods on biodiversity, the value of ecosystem services for communities. • Up-to-date lecture and practical materials for use in dedicated courses. 	<ul style="list-style-type: none"> • Targeted (facultative) courses for different age groups, including teacher training, course materials. • Field visits • School command school camps • Eco-clubs

Source: Annex 8 ProDoc - Knowledge Management and Communications Strategy

5.2 MONITORING AND REPORTING

The PMB will monitor the impacts of stakeholder engagement activities. Stakeholder engagement will form a regular agenda item at PMB meetings. Issues and risks identified will be recorded in the project Risk Register for ongoing monitoring and/or actioning as appropriate.

A summary of all stakeholder engagement activities will be collated and made available to the public e.g., in Project Implementation Report. The summary will contain the following information as a minimum:

- Stakeholder engagement activities implemented
- Dates and venues of engagement activities
- Information shared with stakeholders
- Outputs including issues addressed.

Outcomes of sharing sessions, consultations or responses to issues raised will be reported back to communities as per the Communications Strategy e.g., via the project website, newsletters, radio program, visits, meetings, etc.

The Stakeholder Engagement Programme will be monitored, reviewed at least annually and updated as required.

5.3 DISCLOSURE

The UNDP SES requires that a public record of stakeholder engagement throughout the project cycle be maintained and disclosed. In cases where it may be necessary to safeguard the identities of stakeholders due to potential harm, statistical information should be recorded and disclosed (SES, Part C, para. 28).

As part of the stakeholder engagement process, UNDP's SES require that project stakeholders have access to relevant information. Specifically, the SES (SES, Part C, para. 28) stipulates that, among other disclosures specified by UNDP's policies and procedures, UNDP will ensure that the following information be made available:

- Information on a project's purpose, nature and scale, duration, and potential risks and impacts
- 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.

For Substantial risk projects, such as the BR Project, drafts of any prepared assessments and related management plans (eg SESP, ESIA, ESMF/ESMPs, SEP, IPPF/PPs) need to be disclosed and consulted on at least 60 days prior to project approval or initiation of relevant activities. When no separate assessment/management plan is needed, a summary of the analysis contained in the SESP together with the proposed management measures needs to be similarly shared with project-affected stakeholders. In addition, final assessments and management plans must also be disclosed.

To ensure the widest dissemination and disclosure of project information, including any details related to applicable environmental and social safeguards, local and accessible disclosure tools including audio-visual materials such as flyers, brochures, videos, and community radio broadcasts will be utilized in addition to other tools. Furthermore, particular attention will be paid to women, indigenous peoples, marginalized minority groups, illiterate or technologically illiterate people, and people with hearing or visual disabilities, people with limited or no access to internet and other groups with special needs. The

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dissemination of information among these groups will be carried out with the project counterparts and local actors such as municipalities, producers' associations, indigenous federations, organizations representing marginalized minority groups, women's organizations, government, and other regional actors

6 GRIEVANCE REDRESS MECHANISMS

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

The Grievance Redress Mechanism (GRM) is for people seeking satisfactory resolution of their complaints on the environmental and social performance of the BR Project.

Special attention will be placed on ensuring that grievances related to gender issues, such as harassment, will be catered for, and that the grievance process will be designed in such a way that it facilitates access for women.

The project GRM is detailed in Annex 2 of the Stakeholder Management Plan

In addition to the project-level and national grievance redress mechanisms, complainants have the option to access two additional independent grievance mechanisms:

- UNDP Stakeholder Response Mechanism - www.undp.org/secu-srm
- GEF Conflict Resolution Commissioner - www.thegef.org/projects-operations/conflict-resolution-commissioner

7 INSTITUTIONAL ARRANGEMENTS AND CAPACITY BUILDING

7.1 GENERAL MANAGEMENT STRUCTURE AND RESPONSIBILITIES

The project is being implemented following UNDP’s National Implementation Modality (Full NIM), according to the Standard Basic Assistance Agreement between UNDP and the Government of Vietnam, the Vietnam Government’s regulations for ODA project/program management (Decree 114/2021/ND-CP), and the Joint Harmonized Project/Program Management Guidelines of the UN and Government of Vietnam.

A high-level organisation structure is shown in Figure 2 **Error! Reference source not found.**. The key roles are discussed below, further details can be found in the ProDoc.

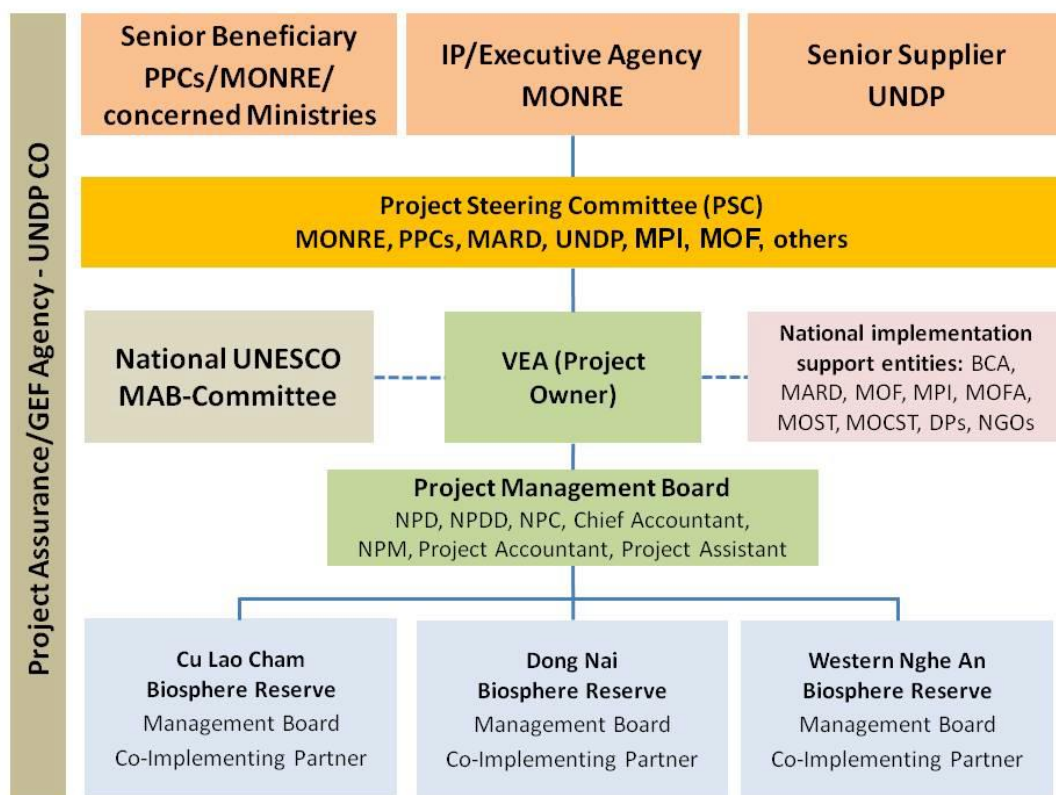


Figure 2 Project governance and management structure

The **Implementing Partner (IP)** for this project is the Ministry of Natural Resources and Environment. The IP is responsible and accountable for managing this project, including the monitoring and evaluation of project interventions, achieving project outcomes, and for the effective use of UNDP resources. The MONRE is also acting as the “Governing Body” of the project as regulated by the Decree 16/2016/ND-CP.

The **Project Owner** for this project is the Vietnam Environment Agency (VEA) of MONRE. The project owner is responsible and accountable for direct implementation and management of the project including planning, implementation, monitoring and evaluation of the project intervention, reporting, achieving project outcomes.

The **Co-implementing Partners (CIPs)** include the Management Boards of the three piloting BR sites Cu Lao Cham, Dong Nai, and Western Nghe An. The CIPs implement relevant interventions of the project component 2 as regulated in the Letter of Agreement signed with the VEA. For each of the three pilot BRs,

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under the direction of the BR MBs a Planning and Implementation Team (PIT) has been constituted to provide technical and planning inputs for implementation of project activities.

The **Project Steering Committee** (PSC) consisting of members from MONRE (VEA, Planning Department, Financial Department and International Cooperation Department), UNDP CO Vietnam, representatives of three PPCs (Dong Nai, Quang Nam, Nghe An provinces), representatives from other agencies such as Ministry of Agriculture and Rural Development (MARD), Ministry of Planning and Investment (MPI), Ministry of Finance (MOF). The PSC provides guidance on the annual work-plans and oversees the project implementation and progress to ensure that the project's resources made available, and the outputs produced meet the requirement of beneficiaries and the Government.

The **Project Management Board** (PMB) is the Governing Body that assists the Project Owner in managing the implementation of project. The PMB is responsible for resource mobilization, including human resources, planning and implementation of project activities, providing mechanisms and technical inputs necessary to integrate the results of various activities, ensuring satisfactory performance of the project members and contractors, and providing official reports to the PSC as needed.

7.1.1 Project Assurance

The 'project assurance' function of UNDP is to support the Project Board and Project Management Unit by carrying out objective and independent project oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed.

7.2 ROLES AND RESPONSIBILITIES FOR IMPLEMENTING THIS ESMF

The roles and responsibilities of project staff and associated agencies in the implementation of this ESMF are as follows. This ESMF does not cover the roles and responsibilities associated with implementation of the subsequent site or investment specific plans ESMPs and/or stand-alone management plans, if required.

7.2.1 Project Owner

The Project Owner is responsible for executing this project. Specific tasks include:

- Ensuring that the required assessment (screening of investments, scoped ESIA or targeted assessment) and any required management plan(s) (ESMPs and/or stand-alone management plans) are developed, disclosed for public consultation and approved, and management measures are adopted and integrated during project implementation.
- Project planning, coordination, management, monitoring, evaluation, and reporting.
- Reporting, fairly and accurately, on project progress against agreed work plans in accordance with the reporting schedule and required formats.
- Maintaining 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).
- Ensuring all requirements of UNDP's SES and national regulatory/policy frameworks and relevant international standards have been addressed (e.g. mitigation of identified adverse social and environmental impacts).
- Procurement of goods and services, including human resources required to ensure compliance with this ESMF.

7.2.2 Project Management Board:

- Assign specific responsibilities for implementation of this ESMF, including monitoring, and community consultations on the draft management plans to staff member(s) of the PMB.
- Ensure that sufficient safeguard resources (eg Safeguard Officers) are available to supervise and manage implementation of measures defined in this ESMF.
- Ensure that sub-projects are screened and appropriate assessments/mitigation plans are prepared and disclosed ahead of works commencing.
- 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 Project Owner, the Project Steering Committee, and UNDP CO on the implementation of the ESMF.
- Ensure that all service providers are informed of their responsibilities for the day-to-day compliance with the ESMF.

7.2.3 UNDP

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

- 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 adherence 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 this ESMF and administrative assistance in recruiting and contracting expert safeguards services (as required) and monitor adherence of each project to the ESMF and UNDP policies and procedures.

8 MONITORING AND EVALUATION ARRANGEMENTS

The project results, corresponding indicators, and mid-term and end-of-project targets in the project results framework will be monitored annually and evaluated periodically during project implementation. Project-level monitoring and evaluation will be undertaken in compliance with UNDP requirements. The UNDP Country Office is responsible for ensuring full compliance with all UNDP project monitoring, quality assurance, risk management, and evaluation requirements.

The ESMF monitoring and evaluation plan is outlined below in Table 8.

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Reporting on progress and issues in the implementation of this ESMF will be documented in the project progress reports and annual project implementation reports (PIRs). The PMB, with support from UNDP CO, will be responsible for compiling reports on the implementation of this ESMF, for reporting to the Project Steering Committee. Key issues will be presented to the Project Steering Committee during each committee meeting.

Implementation of the subsequent ESMPs and/or stand-alone management plans will be the responsibility for the individual project management teams, and other partners as agreed upon and described in those plans. Reports on implementation of ESMPs, sub-plans, and any issues that may arise are to be provided to PMB for inclusion in the project progress reports and PIRs.

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Table 8 ESMF Monitoring and Evaluation Plan

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 each Project Steering Committee on an annual basis	Quarterly	Required ESMF steps are completed in a timely manner.	Project Manager, with support from and Project Coordinator and Project Safeguards Specialists
Track application of advice related to regulation/legislative changes	Identify incorporation of advice given on into proposed new legislation and policies	Prior to implementing new laws or policies	Strategic assessment of implications of legislation/policies	MONRE with assistance from other Ministries as relevant
Confirm screening of sub-projects (investments), development of ESIA/ESMPs (as required)	Carried out in a participatory manner, in-depth analysis of potential social and environmental impacts, as well as identification / validation of mitigation measures.	To be completed prior to onground sub-project activities commencing	No high risk sub-projects accepted Risks and potential impacts are assessed and documented (SESP) Management actions identified and incorporated into project implementation strategies for each sub-project	Project Manager/PMB with support from Project Safeguards Specialists and Consultants
Implementation of mitigation measures and monitoring of potential impacts identified in targeted assessment(s)	Permanent and participatory implementation and monitoring of impacts and mitigation measures	Continuous	Monitoring of environmental and social risks, and corresponding management plans as relevant	PMB oversight by UNDP CO, PSC
Learning	Knowledge, good practices, and lessons learned regarding social and environmental risk management to be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project.	At least annually	Implementation of the Knowledge Management and Communications Strategy. Relevant lessons are captured by the project teams and used to inform management decisions.	Project Manager, in collaboration with UNDP CO
Annual project quality assurance	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, with support from Project Manager and NPD
Review and make course corrections	Internal review of data and evidence from all monitoring actions to inform decision making	At least annually	Performance data, risks, lessons and quality will be discussed by the project steering committee and used to make course corrections	Project Steering Committee

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Monitoring Activity & Relevant Projects	Description	Frequency / Timeframe	Expected Action	Roles and Responsibilities
Annual project implementation reports	As part of progress report to be presented to the Project Steering Committee and key stakeholders, analysis, updating and recommendations for risk management will be included	Annually	Updates on progress of ESMF/ESMP will be reported in the project's annual PIRs. A summary of the avoidance and mitigation of potential social and environmental impacts will be included in the program annual report, sharing best practices and lessons learned across the program.	UNDP CO, UNDP-GEF RTA, Project Manager
Project review	The Project Steering Committee will consider updated analysis of risks and recommended risk mitigation measures at all meetings	At least annually	Any risks and/ or impacts that are not adequately addressed by national mechanisms or project team will be discussed in project steering committee. Recommendations will be made, discussed and agreed upon.	Project Steering Committee, Project Manager

9 IMPLEMENTATION ACTION PLAN

The project has been under implementation since 2020, with the 2021 PIR being the first review and report on progress. The project has been implementing the plans documented in the ProDoc, so safeguard activities are already underway.

High-level safeguard actions include the following:

Activity	Responsible	2020			2021			2022			2023			2024		
Strategic review for new legislation/policies	UNDP, PMU															
Assessment and mapping of BR landscapes	UNDP, PMU, PIT															
Implement Gender Action Plan	UNDP, PMU, PIT															
Implement ESMF	UNDP, PMU, PIT															
Implement IPPF	UNDP, PMU, PIT															
Capacity Building for KM and communication plan implementation at provincial level	UNDP, PMU, PIT															
Implementation of Communication Action Plan	UNDP, PMU, PIT															
Awareness raising campaigns	UNDP, PMU, PIT															
Negotiation of a shared strategy for 3 BRs	UNDP, PMU, PIT															
Community orientation and mobilisation	UNDP, PMU, PIT															
Stakeholder negotiation and agreements on zonations/re-zonation of BRs	UNDP, PMU, PIT															
Participatory Commune Conservation Planning	UNDP, PMU, PIT															
Screening (and EIAs where required) for investment projects	UNDP, PMU, PIT															
Implementing and monitoring Commune Conservation Plans	PMU, PIT															
Conduct awareness assessment of communities on conservation	PMU, PIT															



Appendix – Revised SESP Screening

UNDP SOCIAL AND ENVIRONMENTAL SCREENING TEMPLATE (V. JULY 2022)

The completed template, which constitutes the Social and Environmental Screening Report, must be included as an annex to the Project Document at the design stage. Note: this template will be converted into an online tool. The online version will guide users through the process and will embed relevant guidance.

9.1.1 Project Information

Project Information	
1. Project Title	Mainstreaming Natural Resources Management and Biodiversity Conservation objectives into Socio-Economic Development Planning and Management of Biosphere Reserves in Vietnam
2. Project Number (i.e. Atlas project ID, PIMS+)	5659
3. Location (Global/Region/Country)	Vietnam
4. Project stage (Design or Implementation)	Implementation
5. Date	August 2023

Part A. Integrating Programming Principles to Strengthen Social and Environmental Sustainability

QUESTION 1: How Does the Project Integrate the Programming Principles in Order to Strengthen Social and Environmental Sustainability?

Briefly describe in the space below how the project mainstreams the human rights-based approach

The design of this project involved a wide range of stakeholders. Consultation workshops/ meetings have been conducted with a wide range of key stakeholders to evaluate ministries, cities/ provinces, communities and enterprises to explore their engagement during project implementation. The project has involved the ethnic minorities from the design phase to implementation phase through consultations for project activities during development of Commune Conservation Plans (CCPs) and livelihood improvement sub-projects. Ethnic minorities are not separate to the communes, but rather part of the cultural make-up of the communes. Such consultations, cooperation and coordination efforts generated stakeholder engagement for the project implementation phase. Such consultations also assure the interest of potentially marginalized individuals and groups are considered in the process of revision of legislations and enforcement.

The project upholds human rights principles, by ensuring inclusiveness and equitable distribution of development opportunities and benefits, including to women, ethnic and marginalized groups.

- The BR management boards will specifically promote greater participation and inclusion of multiple provincial and local stakeholders in development planning and natural resource management decisions. This will serve as a key forum for information sharing, engagement, consultation, planning and mobilization on the strategies and decision-making tools developed through the project to enhance support to provinces, districts and commune communities on these issues. Through this planning process, the project will ensure that there is meaningful and transparent process to facilitate full and informed participation of all segments of the population.
- The demonstration activities under Component 2 of the project promote greater participation and inclusion of local communities, sectors and other important stakeholders in management and restoration of biodiversity, forestry and fisheries resources, for example through community-based restoration of degraded areas, non-consumptive forest and marine resources use, sustainable natural resources management and livelihood activities and piloting of community partnerships for conservation, sustainable natural resources use and forest and marine resource restoration.
- The project interventions would ultimately sustain the livelihood of local communities that would result in poverty alleviation, improvement of living conditions of beneficiaries and sustainable development of natural resources. In this way it will improve the economic and social rights of the local communities and will also respect and consider the cultural values of the local communities.
- By reviewing, developing and strengthening regulations on forest and fisheries management and by strengthening the capacity of relevant provincial and commune institutions to enhance enforcement of these regulations and standards, the project also upholds principles of accountability and rule of law.
- The project strategy will ensure that women-headed households, lower income and minority groups are given prioritized access to support for demonstration activities in local communities, e.g. support to biodiversity friendly sustainable land, forest, fisheries and pasture resources management practices and thereby to uphold measures to promote equality and enhance the availability, accessibility and quality of benefits and services for potentially marginalized individuals and groups.
- To the extent necessary, interventions aimed at identifying the needs of ethnic and minority groups and women will be included in the commune conservation plans. Safeguard documents and processes, such as the ESMF, IPPF, SEP and Gender Plan provide the mechanisms to identify the needs of stakeholders, including ethnic, minority groups and women, and the measures to include these needs into the project's interventions.

Briefly describe in the space below how the project is likely to improve gender equality and women's empowerment

Vietnam has a gender mainstreaming policy vision and framework in place, with the country having developed several Gender Policy Concept Papers (such as Law on Gender Equality, Labour Law, Vocational Education Law) and a National Strategy to achieve gender equality. Therefore, no structural obstacles are expected to hinder the gender mainstreaming related project policies and activities.

During implementation, the project will address the priority concerns of vulnerable groups including female workers, Ethnic Minorities (EM) people, and the poor to assess and strengthen capacity to promote greater participation and inclusion in management and restoration of biodiversity, forestry and fisheries resources.

The project will ensure female participation in the related activities of training and capacity building. In addition, there will be overarching interventions – awareness rising and multi-stakeholder’s participation – that will contribute to ensuring the successful implementation of gender mainstreaming.

The project incorporates several measures to promote social inclusion and in particular to enhance gender equality and women's empowerment. Special mechanisms are envisaged under the project to promote the role of women in various activities (see Annex 7 of UNDP Project Document "Gender Analysis and Mainstreaming and Action Plan")

- Enhancing gender equality and women's empowerment through capacity building, outreach, communication and enhanced influence in decision making;
- In the development of commune conservation plans, special consideration will be taken to ensure the needs and roles of women are fully considered and accounted for. For example, commune conservation plans would consider the different ways in which men and women utilize natural resources within the 3 BRs to ensure that planned activities will not have disproportionate impact on women's social and economic needs. Data collected for project monitoring and evaluating will be disaggregated by gender.
- Enhancing and targeting benefits through specific investments that benefit women and marginalized groups. Community-based programs will take into account the role of women in forest product collection, agriculture, fisheries and tourism, etc. and ways for women to engage and benefit (particularly economically) from these programs will be devised; if necessary, women's groups will be developed specifically to guide these initiatives.
- Specialized training to staff and planning teams on methods, tools, and techniques to enhance participation of women and marginalized groups;
- Prioritization of women-headed households and lower income groups in project related investments and benefits;
- Recruitment of local women in planning and outreach teams to enhance participation of women and marginalized groups;
- Promotion of adequate representation and active participation of women in project specific committees, technical workshops, strategic planning events, etc. The project will seek to actively engage women throughout development and implementation of activities under each component: dedicated female staff at partner NGOs will be selected, and trained as needs, to engage with and collect data and information from community women to feed into planning, strategies, and decision-making; environmental education courses and resources developed through this project will be made available to men and women and will confer information relevant to developing conservation strategies for men and women.
- Applying a Gender and Socially Inclusive lens to all project outputs during development (e.g. Commune Conservation Plans)
- Support participation of Women's user groups, Women Unions, etc., in project activities
- Implementation of knowledge management and communication strategy (Annex 8 of UNDP Project Document) to include a specific gender focus and ensure a gender and socially inclusive lens to every meeting, plan and activity; and
- Ensuring that both women and men are offered equal training opportunities supported through this investment, as well as representation of both men and women in the coordination mechanisms and platforms established.

Briefly describe in the space below how the project mainstreams sustainability and resilience

The objective of the project is to mainstream natural resources management and biodiversity conservation into planning and management of BRs. This will be achieved through:

- Increasing awareness of public, provincial agencies, and local communities (including agriculturists, fishermen, forest users and other resource users on the need to reduce threats to biodiversity and reduced ecosystem services that have implications for human survival in these areas
- Increasing awareness of public, national and provincial entities, decision makers and private sector of the need for integration of biodiversity considerations into national, provincial and sector planning and programs to ensure that the biological wealth is safeguarded for ensured economic prosperity.
- Implementation of national environmental sustainability priorities identified in the UNDAF by strengthening national, provincial and local capacity for sustainable management of BR resources and to address risks to biodiversity. Specifically, the project directly contributes to the following of the UNDAF: Outcome 1. Strengthened national Institutional framework for mainstreaming biodiversity conservation into key sectors through improved governance and integrated planning and management of landscapes.
- Applying an integrated approach to planning and management of land resources in the country to ensure balanced and sustainable economic development in BRs in Vietnam
- Strengthening BR management boards and development-related protocols for improving coordination of investments within BRs to promote environmental sustainability and improved conservation

Demonstrating SLM and SFM technologies with local communities in the targeted communes and in areas in and adjacent to corridors and PAs to sustain ecosystem services

Briefly describe in the space below how the project strengthens accountability to stakeholders

The BR management boards will promote greater participation and inclusion of multiple provincial and local stakeholders in development planning and natural resource management decisions. Through this planning process, the project will ensure that there is meaningful and transparent process to facilitate full and informed participation of all segments of the population.

The project promotes accountability and transparency and includes a grievance redress process (SEP and GRM Plan) to address any conflicts in resource use and benefit sharing. The BR Planning and Implementation teams (PITS) will help negotiate any grievances at the local level, and if these are not resolved at this level, then the BR Management Board (with independent assistance from NGO partners) would negotiate resolutions. The project will institute specific procedures for grievance redress and publicity make these procedures available through the communication strategy.

By reviewing, developing and strengthening regulations on forest and fisheries management and by strengthening the capacity of relevant provincial and commune institutions to enhance enforcement of these regulations and standards, the project also upholds principles of accountability and rule of law.

UNDP's Information Disclosure Policy, which is guided by openness, with the underlying presumption that any information concerning UNDP programmes and operations is available to the public, will apply to the project.

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Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Complete SESP Attachment 1 before responding to Question 2.</i>	QUESTION 3: What is the level of significance of the potential social and environmental risks? <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 5</i>			QUESTION 6: Describe the assessment and management measures for each risk rated Moderate, Substantial or High
Risk Description <i>(broken down by event, cause, impact)</i>	Impact and Likelihood <i>(1-5)</i>	Significance <i>(Low, Moderate, Substantial, High)</i>	Comments (optional)	Description of assessment and management measures for risks rated as Moderate, Substantial or High
<p>Risk 1: Lack of capacity in government and communities to meet obligations related to project.</p> <p>Risk relates to: Human Rights: P2, P3</p>	<p>I = 2 L = 3</p>	<p>Low</p>		<p>Stakeholder Engagement Plan (SEP)</p> <p>Carry out needs assessment of government and local communities' capacity building.</p> <p>Tailor training activities to meet specific requirements of the different stakeholders and ensure that they have the skills to participate in relevant aspects of the project.</p> <p>Training for communities participating in sustainable natural resource management, forest restoration and livelihoods.</p> <p>Monitoring Plan (ProDoc Annex 12)</p>
<p>Risk 2: Policymakers and other key stakeholders do not understand the value of Biosphere Reserves or support their function as a framework for landscape level conservation and sustainable development</p> <p>Risk relates to: Human Rights: P2, P3 Standard 1 and Standard 2</p>	<p>I = 2 L = 2</p>	<p>Low</p>	<p>Example of this might be dams on the Dong Nai River: the Dong Nai dams no. 6 and 6a, were planned as part of a series of dams proposed for power production. These dams were subsequently cancelled following pressure from a wide range of stakeholders. If there had been greater awareness of the value of ecosystem services and their value, then it is likely that the dams would not have been planned/approved in the first place. Therefore, continued lack of knowledge/capacity represents a risk to the outcomes of the project.</p> <p>Ecosystem services provided by the Dong Nai BR should be properly considered in any future dam</p>	<p>Revise the Biodiversity Law to clarify roles and responsibilities of key sector and stakeholders, including formal legal status for BRs</p> <p>Stakeholder Engagement Plan (SEP)</p> <p>Framework for Participatory Landscape Planning and Management for BRs (ProDoc Annex 3)</p> <p>Framework for Planning, Implementation & Monitoring of Commune Conservation Plans (ProDoc Annex 4)</p> <p>(iii) awareness raising to generate political and public support by implementation of Knowledge Management and communication strategy and action plans;</p> <p>(iv) capacity building of stakeholders to enable them to understand and address landscape intervention approaches.</p>

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			development decision making.	
<p>Risk 3: Women may not be fully involved in the planning, implementation and monitoring of the project interventions and getting benefits from such initiatives, rather landowners and other influential persons may have more control on local level decision making.</p> <p>Risk relates to: Gender Equality and Women’s Empowerment: P9, P10, P11</p>	<p>I = 3 L = 2</p>	Moderate		<p>The Gender Action Plan (GAP) is addressing potential risks and included measures to mainstream gender in all project components</p> <p>A Stakeholder Engagement Plan (SEP) has been prepared to facilitate broad and inclusive communication with all project stakeholders.</p> <p>Grievance Redress Mechanism (GRM) outlines process for complaints to be received and resolved.</p> <p>ESMF outlines procedures for screening of sub-projects.</p>
<p>Risk 4: there is a risk of unintended adverse impacts because of the introduction of new legislation or policies.</p> <p>Risk relates to: P5, P13, P14, Standard 5</p>	<p>I = 3 L = 3</p>	Moderate	<p>Potential for stakeholders to not fully participate in decisions affecting them (ie legislative/policy changes)</p> <p>Potential for grievances or objections from potential affected stakeholders.</p>	<p>This risk will be mitigated by undertaking a targeted Strategic Review of the advice/recommendations made in Output 1 (particularly Activities 1.2 and 1.3) to assess the risk of unintended adverse impacts/maladaptation.</p> <p>A SEP and GRM has been developed to guide consultation activities and to provide a mechanism for stakeholder to raise and seek resolution of objections.</p>
<p>Risk 5: Project activities are proposed within and adjacent to critical habitats and/or environmentally sensitive areas, including national parks.</p> <p>Risk relates to: Standard 1 – Questions 1.2, 1.5, 1.6 and 1.7</p>	<p>I = 3 L = 5</p>	Substantial	<p>Project interventions in terms of best practices for biodiversity conservation, sustainable harvest of non-forest products, livelihood improvements and improved fisheries activities could occur within and adjacent to protected areas and critical habitats</p>	<p>ESMF outlines procedures for screening of sub-projects.</p> <p>SEP - use of the Participatory Framework for Planning, Implementation and Monitoring of Commune Conservation Activities (ProDoc Annex 4)</p> <p>Monitoring Plan (ProDoc Annex 12)</p>
<p>Risk 6: Creation of new set asides or protected areas and improved zoning of the BRs for multiple different uses, community rights of access may be restricted in specific areas. This could result in economic displacement.</p>	<p>I = 4 L = 3</p>	Substantial	<p>With the creation of new set asides or protected areas and improved zoning of the BRs for multiple different uses, community rights of access may be restricted in specific areas.</p>	<p>Strategic Review of advice/recommendations from Output 1 to ensure any changes in legislation/policy do not have unintended consequences.</p> <p>Stakeholder Engagement Plan and GRM</p>

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<p>Risk relates to:</p> <p>Principle 1, Question 1, 2, 3 and 4</p> <p>Principle 3, Standard 5 Question 5.2, 5.4, Standard 6 Question 6.1, 6.3, 6.4, 6.5, 6.6 and 6.9</p>			<p>The Government and UNDP will ensure that indigenous peoples and other traditional local communities' rights of access and tenure to natural resources is not negatively affected, even if they are situated in the core zone of the BRs.</p>	<ul style="list-style-type: none"> - Framework for Participatory Landscape Planning and Management (ProDoc Annex 3); - Participatory Framework for planning, implementation and monitoring of Commune Conservation Activities (ProDoc Annex 4) <p>Preparation of IPPF and subsequent IPPs if required.</p> <p>Alternative Livelihood Plans</p> <p>ESMF outlines procedures for screening potential investments</p>
<p>Risk 7: The project includes reforestation, harvesting non-timber products and aquatic species. Therefore, there is a risk that the harvesting of fish populations and other aquatic species could impact on the status and health of such populations.</p> <p>Risk relates to:</p> <p>Principle 3, Standard 1, Question 7</p>	<p>I = 4</p> <p>L = 3</p>	<p>Substantial</p>		<p>ESMF outlines procedures for screening potential investments</p> <p>SEP</p> <p>Alternative Livelihood Plans and Commune Conservation Plans would set harvests within acceptable sustainable limits and status of populations monitored throughout the project period (Implementation of Monitoring Plan (ProDoc Annex 12).</p>
<p>Risk 8: Long gestation periods for alternative livelihoods, and restoration of forest and marine resources can undermine community participation</p> <p>Risk relates to:</p> <p>Standard 1 Question 1.8 and 1.10</p> <p>Standard 5 – Question 5.2</p>	<p>I = 2</p> <p>L = 2</p>	<p>Low</p>		<p>Alternative Livelihood Plans</p> <p>ESMF outlines procedures for screening potential investments</p> <p>SEP</p> <p>Commune Conservation Plans to contain activities with both long and short-term gestation periods</p>
<p>Risk 9: The potential outcomes of the Project could be sensitive or vulnerable to impacts of climate change and natural disasters.</p> <p>Risk related to:</p> <p>Principle 3,</p> <p>Standard 2, Question 2.2</p>	<p>I = 3</p> <p>L = 2</p>	<p>Moderate</p>	<p>The project is designed to contribute to increasing the resilience of the target BRs to natural disasters and the impacts of climate change by supporting sustainable land and forest management to reduce land and natural resource degradation.</p>	<p>SEP, including implementation of participatory planning processes (ProDoc Annexes 3 and 4) and implementation of Knowledge Management and Communications Strategy (ProDoc Annex 8) to improve awareness of climate and ensuring measures to improve climate resilience.</p> <p>ESMF outlines procedures for screening potential investments</p>

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				Monitoring Plan (ProDoc Annex 12): The condition of the natural ecosystems would be monitored to ensure that activities do not damage these sensitive ecosystems so that it is in a better overall situation to manage climate changes.
Risk 10: Ethnic minorities are present within the areas proposed for Biosphere Reserves, therefore the project has the potential to impact upon them and their culture.	I = 4 L = 3	Substantial		Update IPPF and potential IPPs
QUESTION 4: What is the overall project risk categorization?				
Low Risk		<input type="checkbox"/>		
Moderate Risk		<input type="checkbox"/>		
Substantial Risk		<input checked="" type="checkbox"/>	<p>The screening has identified 10 risks related to this project, 3 categorized as Low, 4 as Moderate and 3 as Substantial.</p> <p>Hence, the overall risk categorization for this project is determined to be Substantial</p> <p>A series of Risk Mitigation/Avoidance Mechanism are proposed</p>	
High Risk		<input type="checkbox"/>		
QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are triggered? (check all that apply)				
Question only required for Moderate, Substantial and High-Risk projects				
<i>Is assessment required? (check if "yes")</i>		<input checked="" type="checkbox"/>		<i>Status? (completed, planned)</i>
<i>if yes, indicate overall type and status</i>		<input type="checkbox"/>	Targeted assessment(s)	
		<input type="checkbox"/>	ESIA (Environmental and Social Impact Assessment)	
		<input type="checkbox"/>	SESA (Strategic Environmental and Social Assessment)	
<i>Are management plans required? (check if "yes")</i>		<input checked="" type="checkbox"/>		
<i>if yes, indicate overall type</i>		<input checked="" type="checkbox"/>	Targeted management plans: - Gender Action Plan,	Completed Completed
				Completed

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				<ul style="list-style-type: none"> - Stakeholder Engagement Plan and Grievance Response Mechanism - Framework for Participatory Landscape Planning and Management (ProDoc Annex 3); - Participatory Framework for Planning, Implementation and Monitoring of Commune Conservation Activities (ProDoc Annex 4) - IPPF - Ecosystem Monitoring Plan (ProDoc Annex 12) - Knowledge Management and Communications Strategy (ProDoc Annex 8) - Alternative Livelihood Development plans 	<p>Completed</p> <p>Completed</p> <p>Completed</p> <p>Planned</p>
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		X	ESMP (Environmental and Social Management Plan which may include range of targeted plans)	Planned
		X	ESMF (Environmental and Social Management Framework)	Completed
	Based on identified risks, which Principles/Project-level Standards triggered?		Comments (not required)	
	Overarching Principle: Leave No One Behind			
	Human Rights	X		
	Gender Equality and Women's Empowerment	X		
	Accountability	X		
	1. Biodiversity Conservation and Sustainable Natural Resource Management	X		
	2. Climate Change and Disaster Risks	X		
	3. Community Health, Safety and Security	<input type="checkbox"/>		
	4. Cultural Heritage	<input type="checkbox"/>		
	5. Displacement and Resettlement	X		
	6. Indigenous Peoples	X		
	7. Labour and Working Conditions	<input type="checkbox"/>		
	8. Pollution Prevention and Resource Efficiency	<input type="checkbox"/>		

Final Sign Off

Final Screening at the design-stage is not complete until the following signatures are included

Signature	Date	Description
QA Assessor		UNDP staff member responsible for the project, typically a UNDP Programme Officer. Final signature confirms they have "checked" to ensure that the SESP is adequately conducted.
QA Approver		UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have "cleared" the SESP prior to submittal to the PAC.
PAC Chair		UNDP chair of the PAC. In some cases, PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.

9.1.1.1 *SESP Attachment 1. Social and Environmental Risk Screening Checklist*

Checklist Potential Social and Environmental Risks		
<p>INSTRUCTIONS: The risk screening checklist will assist in answering Questions 2-6 of the Screening Template. Answers to the checklist questions help to (1) identify potential risks, (2) determine the overall risk categorization of the project, and (3) determine required level of assessment and management measures. Refer to the SES toolkit for further guidance on addressing screening questions.</p>		
Overarching Principle: Leave No One Behind		Answer (Yes/No)
Human Rights		
P.1	Have local communities or individuals raised human rights concerns regarding the project (e.g. during the stakeholder engagement process, grievance processes, public statements)?	Yes
P.2	Is there a risk that duty-bearers (e.g. government agencies) do not have the capacity to meet their obligations in the project?	Yes
P.3	Is there a risk that rights-holders (e.g. project-affected persons) do not have the capacity to claim their rights?	Yes
<i>Would the project potentially involve or lead to:</i>		
P.4	adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	Yes
P.5	inequitable or discriminatory impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups, including persons with disabilities? ¹⁶	Yes
P.6	restrictions in availability, quality of and/or access to resources or basic services, in particular to marginalized individuals or groups, including persons with disabilities?	Yes
P.7	exacerbation of conflicts among and/or the risk of violence to project-affected communities and individuals?	No
Gender Equality and Women’s Empowerment		
P.8	Have women’s groups/leaders raised gender equality concerns regarding the project, (e.g. during the stakeholder engagement process, grievance processes, public statements)?	No
<i>Would the project potentially involve or lead to:</i>		
P.9	adverse impacts on gender equality and/or the situation of women and girls?	Yes
P.10	reproducing discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	Yes
P.11	limitations on women’s ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? <i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</i>	Yes
P.12	exacerbation of risks of gender-based violence? <i>For example, through the influx of workers to a community, changes in community and household power dynamics, increased exposure to unsafe public places and/or transport, etc.</i>	No

¹⁶ Prohibited grounds of discrimination include race, ethnicity, sex, age, language, disability, sexual orientation, gender identity, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to “women and men” or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender and transsexual people.

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Sustainability and Resilience: Screening questions regarding risks associated with sustainability and resilience are encompassed by the Standard-specific questions below		
Accountability		
<i>Would the project potentially involve or lead to:</i>		
P.13	exclusion of any potentially affected stakeholders, in particular marginalized groups and excluded individuals (including persons with disabilities), from fully participating in decisions that may affect them?	Yes
P.14	grievances or objections from potentially affected stakeholders?	Yes
P.15	risks of retaliation or reprisals against stakeholders who express concerns or grievances, or who seek to participate in or to obtain information on the project?	No
Project-Level Standards		
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management		
<i>Would the project potentially involve or lead to:</i>		
1.1	adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	No
1.2	activities within or adjacent to critical habitats and/or environmentally sensitive areas, including (but not limited to) legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	Yes
1.3	changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	Yes
1.4	risks to endangered species (e.g. reduction, encroachment on habitat)?	No
1.5	exacerbation of illegal wildlife trade?	No
1.6	introduction of invasive alien species?	Yes
1.7	adverse impacts on soils?	No
1.8	harvesting of natural forests, plantation development, or reforestation?	Yes
1.9	significant agricultural production?	No
1.10	animal husbandry or harvesting of fish populations or other aquatic species?	Yes
1.11	significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	No
1.12	handling or utilization of genetically modified organisms/living modified organisms? ¹⁷	No
1.13	utilization of genetic resources? (e.g. collection and/or harvesting, commercial development) ¹⁸	No
1.14	adverse transboundary or global environmental concerns?	No
Standard 2: Climate Change and Disaster Risks		
<i>Would the project potentially involve or lead to:</i>		

¹⁷ See the [Convention on Biological Diversity](#) and its [Cartagena Protocol on Biosafety](#).

¹⁸ See the [Convention on Biological Diversity](#) and its [Nagoya Protocol](#) on access and benefit sharing from use of genetic resources.

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2.1	areas subject to hazards such as earthquakes, floods, landslides, severe winds, storm surges, tsunami or volcanic eruptions?	No
2.2	outputs and outcomes sensitive or vulnerable to potential impacts of climate change or disasters? <i>For example, through increased precipitation, drought, temperature, salinity, extreme events, earthquakes</i>	Yes
2.3	increases in vulnerability to climate change impacts or disaster risks now or in the future (also known as maladaptive or negative coping practices)? <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	No
2.4	increases of greenhouse gas emissions, black carbon emissions or other drivers of climate change?	No
Standard 3: Community Health, Safety and Security		
<i>Would the project potentially involve or lead to:</i>		
3.1	construction and/or infrastructure development (e.g. roads, buildings, dams)? (Note: the GEF does not finance projects that would involve the construction or rehabilitation of large or complex dams)	No
3.2	air pollution, noise, vibration, traffic, injuries, physical hazards, poor surface water quality due to runoff, erosion, sanitation?	No
3.3	harm or losses due to failure of structural elements of the project (e.g. collapse of buildings or infrastructure)?	No
3.4	risks of water-borne or other vector-borne diseases (e.g. temporary breeding habitats), communicable and noncommunicable diseases, nutritional disorders, mental health?	No
3.5	transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	No
3.6	adverse impacts on ecosystems and ecosystem services relevant to communities' health (e.g. food, surface water purification, natural buffers from flooding)?	No
3.7	influx of project workers to project areas?	No
3.8	engagement of security personnel to protect facilities and property or to support project activities?	No
Standard 4: Cultural Heritage		
<i>Would the project potentially involve or lead to:</i>		
4.1	activities adjacent to or within a Cultural Heritage site?	No
4.2	significant excavations, demolitions, movement of earth, flooding or other environmental changes?	No
4.3	adverse impacts to sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	No
4.4	alterations to landscapes and natural features with cultural significance?	No
4.5	utilization of tangible and/or intangible forms (e.g. practices, traditional knowledge) of Cultural Heritage for commercial or other purposes?	Yes
Standard 5: Displacement and Resettlement		
<i>Would the project potentially involve or lead to:</i>		
5.1	temporary or permanent and full or partial physical displacement (including people without legally recognizable claims to land)?	No

5.2	economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	Yes
5.3	risk of forced evictions? ¹⁹	No
5.4	impacts on or changes to land tenure arrangements and/or community-based property rights/customary rights to land, territories and/or resources?	Yes
Standard 6: Indigenous Peoples		
<i>Would the project potentially involve or lead to:</i>		
6.1	areas where indigenous peoples are present (including project area of influence)?	Yes
6.2	activities located on lands and territories claimed by indigenous peoples?	No
6.3	impacts (positive or negative) to the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)? <i>If the answer to screening question 6.3 is “yes”, then Standard 6 requirements apply, and the potential significance of risks related to impacts on indigenous peoples must be Moderate or above. *</i>	Yes
6.4	the absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	Yes
6.5	the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	Yes
6.6	forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources? <i>Consider, and where appropriate ensure, consistency with the answers under Standard 5 above</i>	Yes
6.7	adverse impacts on the development priorities of indigenous peoples as defined by them?	Yes
6.8	risks to the physical and cultural survival of indigenous peoples?	No
6.9	impacts on the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices? <i>Consider, and where appropriate ensure, consistency with the answers under Standard 4 above.</i>	Yes
Standard 7: Labour and Working Conditions		
<i>Would the project potentially involve or lead to: (note: applies to project and contractor workers)</i>		
7.1	working conditions that do not meet national labour laws and international commitments?	No
7.2	working conditions that may deny freedom of association and collective bargaining?	No
7.3	use of child labour?	No
7.4	use of forced labour?	No
7.5	discriminatory working conditions and/or lack of equal opportunity?	No
7.6	occupational health and safety risks due to physical, chemical, biological and psychosocial hazards (including violence and harassment) throughout the project life-cycle?	No

¹⁹ Forced eviction is defined here as the permanent or temporary removal against their will of individuals, families or communities from the homes and/or land which they occupy, without the provision of, and access to, appropriate

* Note: revised July 2022 modifying presumption of risk significance from Substantial or higher to Moderate or higher.

forms of legal or other protection. Forced evictions constitute gross violations of a range of internationally recognized human rights.

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Standard 8: Pollution Prevention and Resource Efficiency		
<i>Would the project potentially involve or lead to:</i>		
8.1	the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	Yes
8.2	the generation of waste (both hazardous and non-hazardous)?	No
8.3	the manufacture, trade, release, and/or use of hazardous materials and/or chemicals?	No
8.4	the use of chemicals or materials subject to international bans or phase-outs? <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Montreal Protocol, Minamata Convention, Basel Convention, Rotterdam Convention, Stockholm Convention</i>	No
8.5	the application of pesticides that may have a negative effect on the environment or human health?	No
8.6	significant consumption of raw materials, energy, and/or water?	No