



Strengthening Climate Resilience of the Lao People's Democratic Republic (PDR) Health System

Annex 12: Environmental and Social Assessment and Residual Risk Management Plan

Accredited Entity: Save the Children Australia

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LIST OF ACRONYMS

Acronym	Description
AE	Accredited Entity
CCA	Climate Change Adaptation
ESS	Environmental and Social Safeguard
ESMS	Environmental and Social Management System
ESO	Environmental and Social Policy
EE	Executing Entities
HT	Human trafficking
GBV	Gender-based violence
GRM	Grievance Redress Mechanism
GCF	Green Climate Fund
GNI	The Gross National Income
LDC	Least Developed Country
MONRE	Ministry of Natural Resources and Environment
Naam Sat	MOH/Centre for Environmental Health and Water Supply
PS	Performance Standards
PAPs	Project affected people.
PSC	Project Steering Committee
PESSMS	Project Environmental and Social Sustainability Management System
PIU	Project Implementation Unit
SCA	Save the Children Australia
SCI Laos	Save the Children in Lao PDR
SEAH	Sexual exploitation, abuse, or harassment
SAP	Simplified Approval Process
TOR	Terms of Reference
VAC	Violence against children
WHO	The World Health Organization

1 Project Overview

1. Lao PDR is a landlocked Least Developed Country (LDC) in the Mekong region of Southeast Asia, bordered by Myanmar, the People's Republic of China, Viet Nam, Cambodia and Thailand. Over 65 percent of Lao PDR's 7.2 million residents live in rural regions, making it predominantly a rural nation. As the nation shifts from having a high to a low fertility rate, the population growth rate is decreasing. The gross national product (GNI) per person is USD 2520. Natural resources, particularly mining, lumber, and hydropower, are very important to the economy, which has expanded by an average of 8% over the last ten years. In terms of development and health outcomes, including extending life expectancy and lowering poverty, the nation has achieved notable strides. However, poverty and inequality still exist, with one in five people eating less than what is considered to be the basic nutritional requirement and nearly half of the population being categorized as "working poor." The majority of those who are employed in labour in agriculture hardly make enough money to survive. Remote and highland locations with limited access to power and sanitary facilities have particularly high rates of poverty. The nation is also patriarchal, with males controlling more resources in homes, communities, and the healthcare system. An overview of Lao PDR's national and local environmental and social laws relevant to the project, including international agreements to which LAO is a party to can be found in Annex 15 - Lao PDR Social and Environmental Legal Framework Section.
2. Geographically, Lao PDR has two main climate zones, the tropical zone as influenced by the Indian Ocean monsoon pattern – including the land along the Mekong River and its tributaries – and a temperate zone in the mountainous areas bordering Viet Nam and the People's Republic of China. The southeast monsoon drives the two distinct seasons experienced – the rainy and dry seasons – and as such, the country is susceptible to arising from natural hazards, particularly flooding, landslides and droughts.
3. The proposed Lao PDR Health Sector Resilience Project will advance the progress of national climate change and health priorities and address climate-related vulnerabilities in the health sector by: strengthening health system leadership and governance so it is climate-resilient; improving health information systems to be used in anticipating and mitigating the impacts of extreme weather; strengthening health service delivery in rural areas to manage climate-related disease burdens, including by upgrading health facilities' infrastructure to increase climate-resilience; and through engaging communities so they are informed and motivated to respond to early warnings, manage and mitigate risk, and seek care appropriately. In addition, the project will focus on specific climate-related diseases: dengue, diarrheal disease, malnutrition, and heat-related illness.
4. The project's paradigm shift goal is: **IF** the Lao PDR systems supporting health in rural provinces – inclusive of health and environment sector governance, health and climate information systems, health service delivery and community engagement for health – are strengthened **THEN** the negative impacts of climate change on the health of populations living in rural provinces will be reduced **BECAUSE** Lao PDR systems will be able to provide climate sensitive and climate resilient health services. The project will achieve this by supporting the GoLPDR to “develop climate resilient and sustainable infrastructure for rural health facilities, while strengthening while strengthening climate-resilient governance, increasing access to and usability of climate and EWS information, and building health workforce and community capacity to address climate change impacts”. Through four inter-related outcomes namely focused on:
 - Leadership and Governance of the Health system
 - Improvement of the health system to anticipate and mitigate impacts of extreme weather
 - Improvement of health service delivery in rural provinces to manage climate-related disease burdens and determinants of health
 - Engagement, information, and motivation of communities to respond to early warning signs, manage and mitigate risk and seek care appropriately.
5. To manage the burden of diseases connected to climate change, the interventions will improve the health system's climate resilience in rural regions. This would include making 180 healthcare

facilities in 62 of the most climatically susceptible regions of the nation more climate-resilient, as well as increasing community awareness of and ability to respond to the effects of climate change on their health. The World Health Organization (WHO), the Ministry of Natural Resources and Environment (MONRE), Save the Children Lao, and MOH/Centre for Environmental Health and Water Supply will serve as the Executing Entities (Naam Saat).

6. In line with the Lao PDR's Strategy on Climate Change and Health Adaptation and Action Plan, the project suggests a framework to start demonstrating and scaling up effective implementation tactics (2018). With the help of the GCF investment, model climate-resilient health facilities will be able to be built, which will allow provincial and district health offices and their partners to learn from them and duplicate them elsewhere. By assisting hospitals in creating short- and long-term plans, increasing the number of hospitals with climate-resilience infrastructure, enhancing the ability of multi-sectoral hospital teams to implement them, and assisting provincial and central authorities in supervising/monitoring progress, it will also contribute to scaling up the National Safe Clean Climate Resilient Green Hospitals initiative.
7. The planned initiative would assist about 62 rural regions that are most susceptible to climate change. Save the Children Lao (the executing entity) worked with members from MOH, the Ministry of Natural Resources and Environment's (MONRE) Department of Climate Change, and representatives from INGOs and colleges in Lao PDR to choose these areas. This group of stakeholders assessed vulnerable locations identified in a recent assessment completed by the Government of Lao PDR, considering each location's exposure to water shortages during dry seasons, previous damage by EWEs, the status of WASH services available, and poverty and malnutrition rates. Sixty-two people were suggested for project implementation.
8. The Project validates the Category C (low risk) assessment as a result of the Environmental and Social Screening, which included a project development discussion, stakeholder meetings, a desktop analysis of similar projects in the region, and a review of viable choices. The proposed project has little or no environmental or social risks or consequences. Furthermore, any minor risks or consequences discovered can be readily avoided by using basic management actions. An environmental and social assessment was needed under the Green Climate Fund (GCF) Revised Environmental and Social Policy (the ESP) (B.BM-2021/18) to appropriately screen and analyse potential environmental and social implications.
9. This Annex was created to guarantee that the GCF Environmental and Social Safeguards (ESS) and ESP are continuously integrated into the Project during the planning and execution of individual and community level activities. It specifies the procedures, activities, and institutional mechanisms to be used during the Project's execution to ensure that the Project stays low risk, and that any negative environmental and social consequences are mitigated or reduced to acceptable levels.

1.1 Integration of ESS Management

10. Save the Children Australia (SCA), as the Accredited Entity (AE), and Save the Children International (SCI) in Lao PDR (SC Laos), World Health Organization (WHO), Ministry of Natural Resource and Environment (MONRE), and MOH / Centre for Environmental Health and Water Supply (Nam Saat), as the Executing Entities (EE), are responsible for ensuring that the requirements of this Environmental and Social Assessment and Residual Risk Management Plan (ESAP) are fully integrated into the Project. It is the responsibility of the AE to ensure that suitable ESS processes and reporting are in place to guarantee that the Project is completed with little or no negative environmental or social effect.
11. SCA, SCI Laos, WHO, MONRE and MOH will:
 - Ensure that all relevant implementing parties are sensitized on aspects of the plan and received appropriate training to fulfil their individual environmental and social responsibilities;
 - Ensure that the necessary resources and skills are retained to successfully carry out all mitigation measures
 - Formally monitor and report on the environmental and social performances of all activities
 - Require that implementing parties manage their environmental and social performance in line with this ESAP.

12. The AE will also coordinate the Project Implementation Unit (PIU) to:

- Continually monitor and report as needed issues related to social and environmental risk
- Raise awareness amongst target communities on this ESAP and the project Grievance Redress Mechanism (GRM).

13. The ESAP shall form part of any procurement documentation or Terms of Reference (TOR), and it shall be the AE's responsibility to ensure that all procurement documents and contractual specifications are subject to review against this ESAP to ensure that all appropriate safeguard measures are captured at the bid stage and in all contracts.

14. It is further the responsibility of the AE to ensure that this ESAP is considered in review of any TOR for Technical Assistance developed for the Project. The safeguard requirements for any design or supervision of the Project will be fully integrated into TOR to ensure that all safeguard responsibilities allocated within the ESAP are realized at the tender stage.

15. In this way, the ESAP will be fully integrated within the Project so that the required measures will be fully appreciated by all responsible parties and successful implementation will be achieved.

1.2 Green Climate Fund Safeguard Requirements

16. The objectives of the GCF Revised Environmental and Social Policy (ESP) (B.BM-2021/18), are to:

- Avoid, and where avoidance is impossible, mitigate adverse impacts to people and the environment;
- Avoid, and where avoidance is impossible, mitigate the risks of SEAH to people impacted by GCF-financed activities,
- Enhance equitable access to development benefits; and
- Give due consideration to vulnerable and marginalised populations, groups, and individuals, local communities, indigenous peoples, and other marginalised groups of people and individuals that are affected or potentially affected by GCF-financed activities.

17. The ESP requires that all projects be screened for their environmental and social impacts, that those impacts be identified, and that the proposed project be categorised according to its potential environmental and social impacts. Regardless in which category a project is screened, all environmental and social risks shall be adequately identified and assessed by the AE in an open and transparent manner with appropriate consultation.

18. The scope of the environmental and social assessment shall be commensurate with the scope and severity of potential risks. The assessment should assess all potential environmental and social risks and include a proposed risk management plan, or in this case an Environmental and Social Assessment and Residual Risk Management Plan (ESAP).

19. All projects supported by the GCF shall be designed and implemented to meet the ESP Performance Standards (PS), although it is recognised that depending on the nature and scale of a project not all PS will be relevant to every project. The PS of the GCF and their objectives are listed below.

PS1 Assessment and management of environmental and social risks and impacts

- a) Identify the funding proposals environmental and social risks and impacts
- b) Adopt mitigation hierarchy: anticipate, avoid; minimize; compensate or offset
- c) Improve performance through an environmental and social management system

- d) Engagement with affected communities or other stakeholders throughout funding proposal cycle. This includes communications and grievance mechanisms

PS2 Labour and Working Conditions

- a) Fair treatment, non-discrimination, equal opportunity
- b) Good worker–management relationship
- c) Comply with national employment and labour laws
- d) Protect workers, those in vulnerable categories
- e) Promote safety and health
- f) Avoid use of forced labour or child labour

PS3 Resource Efficiency and Pollution Prevention

- a) Avoid, minimize, or reduce project-related pollution
- b) More sustainable use of resources, including energy and water
- c) Reduced project-related greenhouse gas emissions

PS4 Community Health, Safety and Security

- a) To anticipate and avoid adverse impacts on the health and safety of the affected community
- b) To safeguard personnel and property in accordance with relevant human rights principles

PS5 Land Acquisition and Involuntary Resettlement

- a) Avoid/minimize adverse social and economic impacts from land acquisition or restrictions on land use:
 - (i) Avoid/minimize displacement
 - (ii) Provide alternative project designs
 - (iii) Avoid forced eviction
- b) Improve or restore livelihoods and standards of living
- c) Improve living conditions among displaced persons by providing:
 - (i) Adequate housing
 - (ii) Security of Tenure

PS6 Biodiversity conservation and sustainable management of living natural resources

- a) Protection and conservation of biodiversity

- b) Maintenance of benefits from ecosystem services
- c) Promotion of sustainable management of living natural resources
- d) Integration of conservation needs and development priorities

PS7 Indigenous Peoples

- a) Ensure full respect for indigenous peoples
 - i) Human rights, dignity, aspirations
 - ii) Livelihoods
 - iii) Culture, knowledge, practices
- b) Avoid/minimize adverse impacts
- c) Sustainable and culturally appropriate development benefits and opportunities
- d) Free, prior and informed consent in certain circumstances

PS8 Cultural Heritage

- a) Protection and preservation of cultural heritage
- b) Promotion of equitable sharing of cultural heritage benefits

1.3 Disclosure

20. The PIU is required to publicly release this ESAP as part of the GCF ESP obligations. The PIU will guarantee that the ESAP is made available in physical copy and online, in a format that can be easily downloaded using existing network bandwidth and people's present internet connection. During dialogues, communities should be made aware of the disclosure. Similarly, the PIU will ensure that multiple copies of all developed safeguard instruments are available locally at the relevant Chiefdoms and are freely accessible to impacted groups and local non-governmental organizations (NGOs).

2 Environmental and Social Screening

2.1 Introduction

21. The eight PS of the GCF ESP were evaluated during project preparation. And none is assessed to have been activated in accordance with the Category C risk ranking.
22. As part of their AE status, SCA implements all projects in accordance with their own Environmental and Social Management System (ESMS), which formed the basis for their Category C GCF accreditation. The risk categorisation table within the SCA ESMS has been tailored to this project and includes expanded aspects of the applicable GCF PSs to ensure that all ongoing environmental and social screening of activities as they are further developed continue to capture all potential impacts that are outside the Category C rating. The GCF Simplified Approval Process (SAP) was utilized as the foundation for customizing the ESMS.
23. In addition to tailoring the PESSMS specifically to this project using the GCF SAP, this ESAP also includes a Gender Equity and Human Rights checklist (**Table 3**) as part of the screening. The GCF ESP requires every project, regardless of category, screens to ensure compliance with these standards.
24. SCA has zero tolerance for any abuse and exploitation committed by representatives against adults or children in the communities projects are implemented in. A key priority is safeguarding all children and adults who come into contact with our organisation from all forms of abuse and harm including sexual exploitation, abuse and harassment (SEAH). All projects implemented must complete a Safeguarding Risk Assessment (SRA) included with the over-all project risk assessment (PART – refer Annex 7a). The SRA ensures that safeguarding risks including SEAH are identified, and adequate controls are developed and monitored.

3 Screening Methodology

25. The SCA Project ESSMS has been expanded and tailored for this project and is used to screen the project activities described in the Illustrative climate-related infrastructure, electrical service and WASH service upgrade activities for target health facilities based on completed site assessments (Appendix 1).
26. Section 3.2 describes the GCF SAP ESS screening including the result.

3.1 ESS Screening

27. The proposed project has minimal or no adverse environmental or social risks or impacts. The overall project design, as well as the list of eligible activities at the health centre, district hospital and provincial hospital level, have been screened using the tailored Environmental and Social Management System (ESMS) screening tool of Save the Children. The screening tool indicates a low degree of concern, i.e., category C.
28. The project is confirmed to fit within the thresholds of Category C (low risk) because of the Environmental and Social screening which entailed a project development discussion, stakeholder meetings, a desktop study of similar projects in the region, and a review of potential options. Save the Children implements all projects according to the ESMS through a screening and management process based on their Category C GCF accreditation.
29. In undertaking this screening, the potential risks and impacts have been considered that include direct and indirect, induced, long-term and cumulative impacts and considered the proposed activities' area of influence, residual risks (if any) and mitigation measures toward these. There is a potential risk that some of the eligible activities at the health centre, district and provincial hospital level could lead to minimal negative environmental or social impacts, but these can be mitigated.

Risk category	Description of risks
Low	Activity is considered to have minimal or no adverse impact (direct or indirect) on the environment – unlikely to have a significant impact on the environment.
Medium	Activity might have a significant impact on the environment (direct or indirect), particularly in the absence of mitigation measures. Impacts are typically local and short-term and are not in environmentally sensitive areas. Activities where impacts are uncertain are likely to fit into this category.
High	Activity is likely to have a significant impact on the environment (direct or indirect), even if mitigation measures are successfully implemented. Impacts typically affect a large or sensitive geographic area or have permanent and long-lasting effects.

Figure 1: SCA PESSMS Risk Categorisation

30. Below is the full screening tool applied to the proposed suite of activities.
31. The SCA SRA tool is used to screen for safeguarding and SEAH risks caused by project activities, staff and representatives, including consultants, volunteers, partners and suppliers. Also safeguarding and SEAH risks in the project context and external environment. The full tool is attached as Appendix 2.
32. Please note that only Component 3, Output 3.2 Rural health facility infrastructure is climate-resilient and energy- efficient trigger the ESS checklist and specifically:
- Activity 3.2.2 Undertake structural improvements to increase resilience to EWEs, such as strengthening roof structures, raising critical services above flood level, installing insect screening in doors and windows, and improving natural ventilation,
- Activity 3.2.3 Install PV power generation and storage systems to secure power supply to health facilities and to support cold storage infrastructure for essential medicines, vaccines, and heat-susceptible material, and
- Activity 3.2.4 Upgrade WASH services within climate-vulnerable health facilities to be climate resilient
The field assessments identified the detailed interventions as they appear in Annex I of the feasibility study. The details of the interventions above are cross-referenced and presented in Appendix 1 of this ESAP.

3.1.3 ESS Screening Questions

Table 1: Exclusion Criteria List

No	General	YES	NO	Proposed Project Activity
1	Does this project involve, or will it encourage land clearing or other types of land-use change including the intensification of land use (e.g., removal of vegetation and bushland, cutting of trees, natural or man-made bush fires, reduction/drying of wetlands or swamps etc.)?		X	
2	Will the activities involve transboundary (between countries) impacts on shared natural resources (e.g., international waters or river basins shared by neighbouring countries)?		X	
3	Will the activities be located in or close to protected areas (e.g., national parks, wetlands, coastal zones, forests etc.) and areas important for biodiversity conservation?		X	
4	Will the activities adversely affect working conditions and the health and safety of workers (incl. cash-for-work, volunteers) or potentially make workers more vulnerable than they would have been without the activity?		X	
5	Will the planned project activities potentially lead to conflict with wildlife or be a risk for wildlife?		X	
6	Are there other actors (INGOs, CSOs, government) in the project location that are implementing activities with a climate or environmental component? (to ensure our activities are not overexploiting natural resources or putting pressure on the local environment)		X	
	WASH			
7	Does this project involve, or will it encourage construction of WASH infrastructure: includes: temporary and	X		A series of proposed interventions under Activity 3.2.2 <i>Undertake structural improvements</i>

	permanent, for household and community use, new construction and rehabilitation e.g., boreholes, ponds, dams, etc.?			<p><i>to increase resilience to EWEs, such as strengthening roof structures, raising critical services above flood level, installing insect screening in doors and windows, and improving natural ventilation and under</i></p> <p>Activity 3.2.4 Upgrade WASH services within climate-vulnerable health facilities to be climate resilient at the Provincial, District and Health Care Centre level such as:</p> <ul style="list-style-type: none"> - Repair or replace water pipes - Sewer line - Ground drainage system - Water filtration system, storage tanks and pumps - Septic tank(s), wastewater treatment facility, or rehabilitate leaching field - Drinking-water
8	Does the project involve trucking of water?		X	
9	Are the project activities close to an open surface water e.g., dam, perennial river, stream, lake, etc.?		X	<p>A number of recommendations under Activity 3.2.4 Upgrade WASH services within climate-vulnerable health facilities to be climate resilient</p> <p>Some of the facilities are near open water, however the interventions which could have pollution or contamination risks on the nearby surface water, and carried out within the facilities are captured in point 10 and mitigated by the actions in the ESAP table.</p> <p>Regarding Ground drainage system, it is recommended that these are connected to pre-existing guttering and downpipes.</p>
10	Will this project rehabilitate or construct latrines?	X		<p>A number of recommendations under Activity 3.2.4 Upgrade WASH services within climate-vulnerable health facilities to be</p>

				<p><i>climate resilient</i> Provincial, District and Health Care Centre level such as:</p> <ul style="list-style-type: none"> - Toilet facilities, sinks and shower - Sewage and septic tanks
Food Security & Livelihoods				
11	Does this project involve soil movement or relocation, e.g., top soil movement, swales, general earth work?		X	<p><i>Most top-soil movements works are related to the septic/sewage systems/toilet interventions, as please refer n. 7 and 10 of this checklist.</i></p> <p>Regarding 'install ground drainage systems' sub-activity, it is recommended that these earthworks will be minimal to a depth of 40 – 50cm with the insertion of performed drainage blocks. As such, it is not expected that these activities will involve significant earth works.</p>
12	Does this project involve or will it encourage construction of irrigation schemes or diversion of water, groundwater extraction/wells & boreholes (includes either new or increased volumes)		X	<p><i>Because the original question in the GCF template is about critical water infrastructure, we do not believe the proposed interventions will trigger the GCF checklist. No significant negative impacts are foreseen, as the proposed activities involve community-level facilities and services with no additional environmental footprint, in an already built-up area utilising village-level rural water supply and drainage without significant construction of irrigation schemes or water diversion.</i></p>
13	Does this project directly or indirectly lead to an increase of ruminant livestock (i.e., cattle, sheep, goat, camel)?		X	
14	Does the project use or supply fuel-powered agricultural machinery (e.g., tractors, pumps, generators, etc.)?		X	

15	Does the project involve the use of natural resources for livelihood activities (soil, sand, water, wood, etc.)?		X	
16	Does the project involve tree planting activities with exotic, non-indigenous species?		X	
Infrastructure				
17	Does this project involve, or will it encourage construction or demolition of any permanent building, for example: schools, hospitals or public buildings?		X	Following the site assessment, the technical specialists have considered the use of modular/all in one–pre-configured prefabricated clinics. Please see n.18 of this checklist.
18	Does this project involve, or will it encourage changes to the foundation, walls, or roof of a permanent building (I.e., structural renovation), for example schools, hospitals, or public buildings?	X		<p>A number of recommendations under Activity</p> <p>3.2.2 Undertake structural improvements to increase resilience to EWEs, such as strengthening roof structures, raising critical services above flood level, installing insect screening in doors and windows, and improving natural ventilation at the Provincial, District and Health Care Centre level such as:</p> <p>Roof and ceiling Following the site assessment, the technical specialists have considered the use of modular/all in one–pre-configured prefabricated clinic a possibly more adequate solution than repair.</p> <p>Any sites found to have a presence of asbestos-containing materials (ACM), following an assessment, will not be disturbed or demolished.</p>
19	Does this project involve, or will it encourage construction of paved roads or bridges?		X	
20	Will the activities involve the use of machinery for the construction, maintenance, and rehabilitation of critical infrastructure such as dams,		X	

	water impoundments, coastal or riverbank infrastructure?			
	Energy			
21	Does this project supply or make use of non-renewable energy sources (e.g., diesel generators, charcoal/firewood stoves)?		X	
	Waste			
22	Will the activities potentially generate, manage or use hazardous waste (e.g., medical, electric, batteries, chemical)?	X		<p>A series of proposed interventions under Activity 3.2.2 <i>Undertake structural improvements to increase resilience to EWEs, such as strengthening roof structures, raising critical services above flood level, installing insect screening in doors and windows, and improving natural ventilation,</i></p> <p>Activity 3.2.3 <i>Install PV power generation and storage systems to secure power supply to health facilities and to support cold storage infrastructure for essential medicines, vaccines, and heat-susceptible material and under</i></p> <p>Activity 3.2.4 <i>Upgrade WASH services within climate-vulnerable health facilities to be climate resilient at Provincial, District and Health Care Centre level such as:</i></p> <ul style="list-style-type: none"> - Termites - Solar energy and batteries <p>The chemicals used in the event of termite extermination will not be within the prohibited list of Lao and the international conventions and agreements or those which are subject to international phaseouts or bans.</p>
23	Will the activities potentially generate, manage or use pollutants of air, soil or water (e.g., CO2 emissions, lead, plastic packaging)?		X	
24	Will the activities potentially generate, manage or use pesticides and chemical fertilizers?		X	

Shelter				
25	Will the project involve the construction of new settlements?		X	
26	Will the project involve the extension of existing settlements?		X	
Communities				
27	Does the project involve the temporary or permanent dislocation, resettlement or dispossession of (non-indigenous) individuals or communities?		X	
28	Does the project negatively impact the availability of community services and resources of indigenous or non-indigenous communities??		X	
29	Does the project negatively affect the quality of life, safety (including the protection of children) or cultural/heritage of indigenous or non-indigenous communities?		X	To clarify, the land ownership of lands where the upgrading of existing structures will take place is government owned. As such there will be no changes that will impact community land, nor will the project cause “land acquisition and involuntary resettlement” or result in physical and/or economic displacement of local communities.
30	Does the project affect a heritage place or setting?		X	
31	Does the project involve land acquisition?		X	To clarify, the land ownership of lands where the upgrading of existing structures will take place is government owned. As such there will be no changes that will impact community land, nor will the project cause “land acquisition and involuntary resettlement” or result in physical and/or economic displacement of local communities.
32	Does the project involve the establishment of new protected zones or parks that restrict the access to lands and resources for people and communities?		X	

Gender Equity and Human Rights Checklist

Table 3: Gender Equity and Human Rights Check List Results

Gender Equity and Women's empowerment		Y/N/?	Concern	Comment
1	Is there a likelihood that the proposed project/programme would have adverse impacts on gender equality and/or the situation of women and girls?	N		
2	Would the project/programme potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	Y	In activity 4.1.1 when establishing the district level community health climate resilience action plan, there is a risk that the women participants will not be willing to speak up or attend.	Workshops and groups will be divided to ensure women are giving specific opportunities to provide inputs. The GESI advisor will review the activity plans and make suggestions
3	Have women's groups/leaders raised gender equality concerns regarding the project/programme during the stakeholder engagement process and has this been included in the overall project/programme proposal and in the risk assessment?	N		
4	Would the project/programme potentially limit 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?	N		
Access and equity and protection of human rights				
5	Could the project/programme lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	N		
6	Is there a likelihood that the project/programme would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups?	N		

7	Could the project/programme potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	N		
8	Is there a likelihood that the project/programme would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	N		
9	Are there measures or mechanisms in place to respond to local community grievances?	N		A compliant GRM has been developed, early notification of the GRM will be provided to communities. Please refer to the relevant section Grievance Redress Mechanism of this ESAP
10	Is there a risk that duty-bearers do not have the capacity to meet their obligations in the project/programme?	N		
11	Is there a risk that rights-holders do not have the capacity to claim their rights?	N		
12	Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	N		
13	Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project affected communities and individuals?	N		

4 Environmental and Social Action Plan

4.1 Introduction

33. This section includes guidelines for continuous environmental and social screening, including SEAH, of community-level interventions as they are chosen and created, as well as the necessary management measures for the Project's identified risks. The plan considers the environmental and social risks including SEAH, found during the screening, the importance of the risks, and the steps to be taken to manage and resolve the concerns.
34. In addition to this, the section provides some higher-level guidance to the AE and EE on how to ensure environmental and social safeguards are integrated into any technical advisory activities. This ensures that all contracts, TORs, policies, plans, frameworks, etc developed under this project are screened to ensure that the development process and the recommendations follow the principles of the GCF.

4.2 Management of Identified Residual Risks

35. This section contains the required ESAP and management measures for the identified suite of activities for the SC project as well as instructions for ongoing environmental and social screening of community-level interventions as they are selected and developed. The plan considers the environmental and social risks identified during the screening, the risk significance, and measures to manage to address the identified risks.
36. In addition to this, the section provides some higher-level guidance to the AE and EEs on how to ensure environmental and social safeguards are integrated into any technical advisory activities. This ensures that all contracts, Terms of Reference (TOR), policies, plans, frameworks, etc developed under this project are screened to ensure that the development process and the recommendations follow the principles of the GCF.
37. This plan makes reference to several specific international guidelines, where appropriate, to guide the proposed project activities where risks are identified; as a general rule in the proposed project activities, all workers involved will have their well-being assured in accordance with the World Bank General EHS Guidelines and will be treated justly and fairly in accordance with the International Labour Organisation guidelines. will be treated justly and fairly in accordance with the International Labour Organisation guidelines.

Table 4: Environmental and Social Action Plan

Environmental and Social Action/Management Plan (ESAP)						
Proposed project activity	Identified risks	Mitigation measures	Responsible party/person	Timing	Expected results	Cost implication
All construction-based activities	Low Risk: All construction activities associated with the risk of SEAH incidences due to a lack of worker sensitization.	All workers (including foreign nationals) will be sensitised on existing national, and local if applicable, legislation, ESAP and GCF policy related to SEAH. Monitoring of SEAH incidences will be included in the Grievance Redress Mechanism, as outlined in this document.	Project Implementation Unit (PIU)	Mitigation measures to be integrated into the planning/design of activity – within the project timeline	Workers are sensitised on national legislation, ESAP and GCF policy related to SEAH. General safety and care concerning SEAH is heightened. SEAH incidences are included in the Grievance Redress Mechanism.	
Activity 3.2.2 Undertake structural improvements to increase resilience to EWEs, such as strengthening roof structures, raising critical services above flood level,	1. Low Risk: Waste generation, changing natural drainage, due to the installation, construction, and repair work needed to raise important infrastructure above flood level (drains, guttering), improve interior/exterior	1.a) Save the Children will develop and implement a robust waste management plan, including site specific plans where appropriate, to enable safe handling and disposal of generated waste including e-waste and chemical waste. ¹ 1.b) Concrete will be prepared on bunded and covered hardstand surface. All wastewater from concrete production will be	Project Implementation Unit (PIU)	Mitigation measures to be integrated into the planning/design of activity – within the project timeline	Waste will be handled safely and sustainably. Fully contained concrete use and production with no environmental impacts, including none of the local sources for gravel/sand/aggregates	

Environmental and Social Action/Management Plan (ESAP)						
Proposed project activity	Identified risks	Mitigation measures	Responsible party/person	Timing	Expected results	Cost implication
installing insect screening in doors and windows, and improving natural ventilation.	<p>WASH, and build basic off-grid energy facilities. Small-scale production and use of concrete for health facility upgrades is also a slight risk.</p> <p>2. Low Risk: Occupational health and safety risks for workers involved in roofing (working at heights), chemical exposure due to termite extermination, and mechanical risks.</p> <p>3. Low Risk: Asbestos - as widely used in Lao in construction materials and in roofing - may be present in the structures and could be disturbed during the</p>	<p>collected to allow particulates to settle out before being discharged. Slurry from concrete production will be collected and allowed to harden. Solid and cured concrete waste is considered safe to be reused by the community for infrastructure maintenance.</p> <p>1.c) Existing infrastructure and natural drainage channels will be used as much as possible to avoid building new drains that would have a negative impact on the environment.³</p> <p>1.d) The site will be regularly monitored for signs of erosion and sedimentation and take appropriate action to correct any issues that are identified.</p> <p>2.a) Staff will receive the appropriate equipment for their activities, including specialised equipment as needed. Furthermore, staff will receive the necessary personal protective equipment (PPE) and training on appropriate use and wear.</p>			<p>The risk of altering natural drains and further intrusive activities on the environment is reduced by using pre-existing structures.</p> <p>Staff are effectively and appropriately trained on their roles and use of PPE.</p> <p>Risks are identified and managed early due to regular monitoring of intervention sites.</p> <p>The presence of asbestos is managed through a pre-work assessment and screening, and no ACM is used in the construction.</p>	

Environmental and Social Action/Management Plan (ESAP)						
Proposed project activity	Identified risks	Mitigation measures	Responsible party/person	Timing	Expected results	Cost implication
	<p>construction and improvement process.</p> <p>4. Low Risk: Sourcing sand/gravel/aggregates for construction purposes obtained with a negative impact for the source (local river or coastal area).</p>	<p>2.b) Only properly trained personnel will be tasked with specialised roles; staff will receive training in the correct conduct and behaviour to be taken with specialised work, and appropriate precautionary measures and checks will be taken in these situations.</p> <p>2. c) If working at heights - during roofing - forms part of the proposed project activities, the appropriate Occupational Health and Safety guidelines will be followed¹ (as indicated in paragraph 35) to manage risks.</p> <p>2. d) If chemical exposure due to termite extermination forms part of the proposed project activities, the appropriate Occupational Health and Safety guidelines will be followed² to manage the risks. No chemicals for termite extermination will be used which are within the prohibited list of Lao and international conventions and</p>				

¹ International Labour Organisation - ILO Code of Practice: Safety and health in construction.

² World Bank General EHS Guidelines – Occupational Health and Safety

Environmental and Social Action/Management Plan (ESAP)						
Proposed project activity	Identified risks	Mitigation measures	Responsible party/person	Timing	Expected results	Cost implication
		<p>agreements, or those which are subject to international phaseouts or bans.</p> <p>2. e) If mechanical risks form part of the proposed project activities, the appropriate Occupational Health and Safety guidelines will be followed to manage risks³</p> <p>2.f) All staff will be treated in accordance with just and fair labour and working conditions in accordance with the International Labour Organisation⁴.</p> <p>3.a) The site and facilities will be appropriately pre-assessed and screened for the presence of asbestos. Any sites found to have a presence of asbestos-containing materials (ACM), following an assessment, will not be disturbed, or demolished.</p> <p>3.b) Save the Children will manage procurement process risks through the procurement process.</p>				

³ International Labour Organisation - ILO Code of Practice: Safety and health in construction.

⁴ International Labour Organisation - ILO Code of Practice: Safety and health in construction.

Environmental and Social Action/Management Plan (ESAP)						
Proposed project activity	Identified risks	Mitigation measures	Responsible party/person	Timing	Expected results	Cost implication
		<p>Suppliers are assessed against set criteria and as Save the Children are committed to the sustainability of our supply chain, sustainability assessment criteria (including modern day slavery) are included in the supplier selection process. Whilst these criteria are broader than forced labour alone, they include criteria such as “diversity, inclusion and equal opportunity” of staff they hire; the health and safety and working conditions of staff; the commitment to source local labour from communities where possible (specifically for construction) and policies and practice on road safety training. In this instance, suppliers will be assessed by Save the Children to ensure that no ACM will be used in the proposed project activities.</p> <p>4. All sand/gravel/aggregate for construction will be acquired from approved sites.</p>				
Activity 3.2.3	1. Low Risk: E-waste and hazardous waste generation due to electrical	1. Save the children will develop a robust waste management plan to enable safe handling and disposal	Project Implementation Unit (PIU)	Mitigation measures to be integrated into	Waste will be handled safely and sustainably	

Environmental and Social Action/Management Plan (ESAP)						
Proposed project activity	Identified risks	Mitigation measures	Responsible party/person	Timing	Expected results	Cost implication
Install PV power generation and storage systems to secure power supply to health facilities and to support cold storage infrastructure for essential medicines, vaccines, and heat-susceptible material.	<p>repairs, and installation of PV power supplies and storage systems.</p> <p>2. Low Risk: Electrocution and mechanical risk for workers.</p> <p>3. Low Risk: Potential for the use of forced and child labour in the supply chain of these systems. This project includes the procurement of solar PV systems. Save the Children understands the risk of forced and child labour with procurement of these systems.</p>	<p>of generated waste including e-waste and hazardous waste.¹ Workers will receive adequate training on the use of technology and equipment, including the necessary equipment and the use of PPE.</p> <p>2. Only specially trained personnel will work with live electricity, and all workers will receive appropriate PPE and equipment for their role.</p> <p>3. a) Inclusion of sustainability assessment criteria (including modern-day slavery) in the supplier selection process.</p> <p>3. b) Save the Children will manage solar panel procurement process risks through the procurement process. Suppliers are assessed against set criteria and as Save the Children are committed to the sustainability of our supply chain, sustainability assessment criteria (including modern-day slavery) are included in the supplier selection process. Whilst these criteria are broader than forced labour alone, they</p>		<p>the planning/ design of activity – within the project timeline</p> <p>During procurement process</p>	<p>No PV panels that have been produced using forced or child labour</p> <p>Workers are trained in the correct use of the facilities, technology, and PPE.</p>	

Environmental and Social Action/Management Plan (ESAP)						
Proposed project activity	Identified risks	Mitigation measures	Responsible party/person	Timing	Expected results	Cost implication
		<p>include criteria such as “diversity, inclusion and equal opportunity” of staff they hire; the health and safety and working conditions of staff; the commitment to source local labour from communities where possible (specifically for construction) and policies and practice on road safety training.</p> <p>3. c) Save the Children will ensure that the procurement processes used include end-of-life treatment of PV panels. At this stage there are insufficient volumes of discarded panels to justify a recycling investment, this should address itself with vast increases in PV panels and eventual end-of-life volumes. While there is currently no specific national legislative document on e-waste management, the waste will be managed in accordance with</p>				

Environmental and Social Action/Management Plan (ESAP)						
Proposed project activity	Identified risks	Mitigation measures	Responsible party/person	Timing	Expected results	Cost implication
		several Lao national regulations relevant to e-waste management ⁵ .				
Activity 3.2.4 <i>Upgrade WASH services within climate-vulnerable health facilities to be climate resilient</i>	<p>1. Low Risk: Air pollution, surface water contamination, topsoil removal and diversion of water. Small-scale production and use of concrete for health facility upgrades is also a slight risk, due to the construction of sewage lines, drainage and pipe repairs, installation of ground drainage system</p> <p>2. Low Risk: Exposure to asbestos - due to a possible presence within the original water pipes that may be disturbed during the proposed activities - and exposure to chemicals</p>	<p>1.a) Save the Children will develop a robust waste management plan, including site specific plans where appropriate, to enable safe handling and disposal of waste⁶ including the safe management and disposal of expired medicines and vaccines. Staff will be sensitised and trained on this.</p> <p>1.b) Concrete will be prepared on bunded and covered hardstand surface. All wastewater from concrete production will be collected to allow particulates to settle out before being discharged. Slurry from concrete production will be collected and allowed to harden. Solid and cured concrete waste is considered safe to be reused by</p>	Project Implementation Unit (PIU)	Mitigation measures to be integrated into the planning/design of activity – within the project timeline	<p>The residual risks of topsoil disturbance are mitigated.</p> <p>Risk of leaching and surface water contamination is mitigated.</p> <p>Fully contained concrete use and production with no environmental impacts, including no sourcing and potentially damaging local areas for gravel/sand/aggregates.</p>	

⁵ Including the Ministerial Decision on landfill management, No. 521/PWT, Law on Environmental Protection, Ministerial Instruction on Hazardous Waste Mgt, Industrial Waste Discharge Regulation No. 180/MIH, the Decree on the Control of Import, Export and Consumption of Ozone Depleting Substances, No. 162/PMO and, the Regulation on Control of Import, Export and Consumption of Ozone Depleting Substances, No.2358/STEA-PMO

⁶ World Bank General EHS Guidelines – Environmental (Waste Management).

Environmental and Social Action/Management Plan (ESAP)						
Proposed project activity	Identified risks	Mitigation measures	Responsible party/person	Timing	Expected results	Cost implication
	<p>inherent in the water treatment process.</p> <p>3. Temporary and site-specific impacts related to construction activities, such as an increase in dust from excavations.</p> <p>4. Low Risk: Sourcing sand/gravel/aggregates for construction purposes obtained with a negative impact on the source (local river or coastal area).</p> <p>5. Low Risk: 'Ponding' near WaSH facilities as breeding grounds for disease-carrying vectors.</p> <p>6. Low Risk: Chance findings during the minimal ground drainage.</p>	<p>the community for infrastructure maintenance.</p> <p>1.c) The pipes will be fixed, and Save the Children will make sure there are no leaks. To stop leaching and leaks that can contaminate surface water, drains will be coated with suitable concrete linings, and septic tanks will be constructed of durable materials.</p> <p>1. d) Water quality will regularly be tested and monitored to ensure that it is within the limits of acceptable drinking water⁷.</p> <p>1.e) Preventive measure such as stockpiling of soil, regarding construction sites will be used to minimise the impact of topsoil removal and ensure long-term sustainability</p> <p>1. f) All water treatment chemicals will be stored in a locked facility; only properly trained personnel</p>			<p>Risks are identified and managed early due to regular monitoring of intervention sites.</p> <p>Workers are trained in proper use of PPE, dust suppression measures, and are protected both during and post-construction by appropriate PPE and dust suppression measures and are treated fairly.</p> <p>A management plan for chance findings is in place.</p> <p>The site is pre-assessed for the presence of asbestos.</p>	

⁷ World Bank EHS Guidelines - Community Health and Safety

Environmental and Social Action/Management Plan (ESAP)						
Proposed project activity	Identified risks	Mitigation measures	Responsible party/person	Timing	Expected results	Cost implication
	<p>7. Low Risk: The risk of topsoil removal due to installation of ground drainage systems is reduced as earthworks will be minimal to a depth of 40 – 50cm with the insertion of performed drainage blocks.</p> <p><i>Risk of leaching and surface water pollution is reduced as drainages will be connected to pre-existing guttering and downpipes.</i></p>	<p>staff will be permitted to access and use these chemicals.</p> <p>2. a) The site and facilities will be appropriately pre-assessed and screened for the presence of asbestos. Any sites found to have a presence of ACM, following an assessment, will not be disturbed or demolished. As a further protective measure, staff will receive appropriate PPE and be trained in the correct usage/application when handling pipes and water treatment chemicals and receive applicable first aid.</p> <p>3. Temporary and site-specific impacts - such as the minimal increase of dust from excavations - will be managed by ensuring the adoption of appropriate dust suppression measures⁸, in addition to all workers having the necessary PPE.</p>			Water quality is regularly tested.	

⁸ World Bank General EHS Guidelines – Occupational Health and Safety

Environmental and Social Action/Management Plan (ESAP)						
Proposed project activity	Identified risks	Mitigation measures	Responsible party/person	Timing	Expected results	Cost implication
		<p>4. All sand/gravel/aggregate for construction will be acquired from approved sites.</p> <p>5. The risks related to 'ponding' will be mitigated by monitoring the surrounding areas for evidence of disease-carrying vectors' breeding. In the event that evidence is found, action will follow an effective treatment plan, which will disallow and discourage the use of potentially hazardous chemicals, pesticides or other control measures.</p> <p>6. A chance findings procedure will be developed for chance findings as a result of the minimal ground drainage proposed, and the project's activities will either be halted, stopped or ongoing according to the nature of the finding and the event.</p> <p>7. Workers will receive training on the appropriate use of the required PPE and handling and disposal of wastes, including biological.</p>				

Environmental and Social Action/Management Plan (ESAP)						
Proposed project activity	Identified risks	Mitigation measures	Responsible party/person	Timing	Expected results	Cost implication
		<p>All staff will be treated in accordance with just and fair labour and working conditions in accordance with the International Labour Organisation⁹ (as indicated in paragraph 35).</p> <p>-The site will be regularly monitored for signs of erosion and sedimentation and take appropriate action to correct any issues that are identified⁹.</p>				

⁹ International Labour Organisation - ILO Code of Practice: Safety and health in construction.

¹⁰ World Bank General EHS [Guidelines](#) – Environmental (Waste Management)

⁷ World Bank General EHS [Guidelines](#) - Construction [Materials](#) Extraction

⁹Schultz, B., Zimmer, D., & Vlotman, W. F. (2007). Drainage under increasing and changing requirements. *Irrigation and Drainage: The journal of the International Commission on Irrigation and Drainage*, 56(S1), S3-S22.

4.3 Technical Assistance and Plan Development

4.4.1 Policy and Plan Development

38. Any activities which require the development of policies or plans will follow this ESAP and the GESI Action Plan to ensure that all affected parties are engaged in the process of development and that broader impacts on gender, environment, etc. are considered.

4.4.2 Gender Mainstreaming

39. The Project's design requires equitable and active involvement; yet, there is a risk that gender will not be mainstreamed into management plans established via this project. To ensure that these efforts adequately include the GCF Gender Policy, the PIU Gender Officer (along with the assistance of an international gender specialist as needed) shall conduct a gender-sensitive evaluation of any proposals. The specialist should refer to experiences and tools from previous Climate Change Adaptation (CCA) and Disaster Risk Management as well as the GESI Action Plan and the associated guidelines for this plan (Annex 4 of the FP). The findings from the review will be used to inform and strengthen the final outputs of these activities.

4.4.3 Consultants

40. Consultants may be required technical, governance and capacity-building activities. TORs for any consultants will require the consultant to comply with this ESAP, the GESI Action Plan and the PESSMS.
41. For all technical assistance consultants this ESAP will be included in the TOR and final contract.

4.4.4 Capacity Building and Materials Development

42. The Project will generate awareness materials and conduct awareness raising events aimed at the general population to raise knowledge about climate change. Gender balance will be considered throughout the events to ensure that women are represented equally.

4.5 Grievance Redress Mechanism

43. The Grievance Redress Mechanism (GRM) is included in the project ESAP.
44. Any parties wishing to raise grievances caused by or associated with the Project will be able to do so. In the first instance grievances will be managed by the PIU and the PIU will update the stakeholder(s) on the progress of addressing the grievance within one week. The PIU will inform the communities about this GRM early in the stakeholder engagement process and in an understandable format and in the relevant language. This notification will include details of where and how to direct complaints including how to access the GCFs Independent Redress Mechanism (IRM). Complaints will maintain the option to resort to legal redress. Legal redress is not considered as a last resort in the GRM process, complainants may resort to legal redress in parallel with the complaints procedure at the project- and AE-level GRM, as well as the GCF IRM.
45. A GRM is presented below to uphold the Project's social and environmental safeguards performance. The purpose of the GRM is to record and address any complaints that may arise during the implementation phase of the Project and/or any future operational issues that have the potential to be designed out during implementation phase. It should address concerns and complaints promptly and transparently with no impacts (cost, discrimination) for any reports made by project affected people (APs). The GRM works within existing legal and cultural frameworks, providing an additional opportunity to resolve grievances at the local, project level.
46. The key objectives of the GRM are:
- Record, categorize and prioritize the grievances;
 - Provide a survivor centred approach to instances of SEAH;
 - Provide a gender responsive approach to all grievances
 - Settle the grievances via consultation with all stakeholders (and inform those stakeholders of the solutions);
 - Forward any unresolved cases to the relevant authority.

47. The following process will be used to address the issues and concerns that an affected party (AP) may have. The key point of contact for the AP will be the PIU, who will receive and document all matters and issues of concern from the local community and forward copies of all grievances to the PSC.
48. Across all levels of the GRM there will be representation of ethnicities. To ensure the correct management of concerns and grievances related to Indigenous People, an Indigenous People focal point will be available within the GRM for any related concerns and grievances. Grievances, issues and concerns related to project-related workers and supply chain workers will be managed through this GRM process.
49. Grievances, issues and concerns related to SEAH will be managed through this GRM process but will be implemented with the additional survivor centred measures described in Section 4.5.1 below.
50. At all times it is the responsibility of the PIU to record, manage and close all grievances. Management of grievances may include issuing instructions to the relevant party to resolve the matter. If the PIU receives the grievance and can effectively resolve the matter to the satisfaction of the AP, the PIU will provide the PSC with the details who will then record the matter.
51. For concerns such as damage to non-land assets, etc., the AP will discuss this with the PIU, who will then raise the matter immediately with the offending party or their supervisors, if unresolved at the activity level. If the concern can be addressed without delay, and the outcome is satisfactory to the AP, the matter is closed. The PIU will provide a report to the PSC as soon as the complaint has been resolved.
52. For more extensive complaints such as impacts to livelihoods or land issues such as restrictions to access, the PIU will document and record the grievance and manage the response process. APs can submit these types of complaints through any number of channels including via the village council or other third party; directly to the consultant or project team; in writing; anonymously; verbally; etc. The complaint must be acknowledged within 24 hours of it being lodged. The timing and way it will be resolved will be conveyed to the AP within 48 hours. The delegated party will provide a corrective action report to the PIU as soon as the action has been taken.
53. Should the complainant remain unsatisfied with the response of the delegated party, the complaint will be referred by the PIU to Save the Children Australia.
54. All grievances received and handled will be reported by the EE to the AE via existing Save the Children reporting mechanisms or via periodic reporting on a quarterly basis, depending on their nature. The AE will review and support the handling of grievances to ensure they have been handled correctly.
55. The five-step grievance management process will be applied to the Project by the following process.

Table 5: Grievance Redress process in tabulated form

Step	Application/How	Responsibility
Publicise the process	Develop a procedure which explains how the grievance mechanism will work in the target community	SCA, EE
	Present the grievance mechanism (including SEAH process) at a public meeting to help with affected communities	PIU
Receive and register	Identify locations to receive grievances and ensure accessibility to all affected stakeholders	PIU

Step	Application/How	Responsibility
	Recognise that some grievances may be submitted in writing while others will be communicated verbally. All grievances are to be treated with the same level of seriousness and respect.	
	Log all complaints into a database	
Review and investigate grievances	Review and investigate grievances	PIU
	Explain the process and the timeframe for the GM process	
	Appoint an appropriate person to obtain information and investigate.	
Develop resolution options, response to grievances and closeout	Develop a proposed resolution process, involving communities where appropriate	PIU
	Implement the agreed solution	PIU and PSC
	Follow-up with complainant to ensure satisfaction	
	If unsatisfied: Discuss further options. Identify local partners who might be able to assist in finding solutions	
	If still unresolved, refer matter to third-party mediation or external review.	
Monitor and evaluate	Regularly monitor the number and type of grievances received, resolved and outstanding	EE, SCA
	Evaluate trends over time and stages of project development	
	Report all grievances to SAVE THE CHILDREN via relevant periodic reporting	EE

56. SCA will also maintain an email-based grievance redress mechanism, so that the public can also lodge grievances directly to SCA, should they wish to do so. Contact details for this GRM will be available to all project stakeholders and included on project websites and materials as appropriate.

57. The targets for each activity participants are that 50% are represented by women. At each level for the GRM the project will maintain a similar ratio when reviewing and responding to grievances. The project budget includes a GESI advisor who will review and ensure that women are represented and able to advise and make contributions for how grievances are addressed and resolved.

58. The GRM will include a focal point for women's concerns and grievances to ensure the correct management of related concerns.

59. The GRM does not prevent any affected person from accessing the GCF Independent Redress Mechanism. The project will make known the GCF Independent Redress Mechanism in the relevant project communications, including guidance on how stakeholders can access it.

4.6.1 *Grievances on Sexual Exploitation, Abuse and Harassment*

Gender-Responsive and Survivor-Centred Approach

60. In all situations involving complaints related to gender-based violence (GBV), sexual exploitation, abuse or harassment (SEAH), violence against children (VAC) and human trafficking (HT), the project will use a “*survivor-centred approach*”. In line with this approach, the following principles will be systemically applied through all steps and actions:

61. The rights, needs, and wishes of the survivor (or victim) is the foremost priority of everyone involved with the project.

62. The survivor has a right to:

- be treated with dignity and respect instead of being exposed to victim-blaming attitudes.
- choose the course of action in dealing with the violence instead of feeling powerless.
- privacy and confidentiality instead of exposure.
- non-discrimination instead of discrimination based on gender, age, race/ ethnicity, ability, sexual orientation, HIV status or any other characteristic.
- receive comprehensive information to help her make her own decision instead of being told what to do.

63. The safety of the survivor shall always be ensured. Potential risks to the survivor will be identified and action take to ensure the survivor's safety and to prevent further harm including ensuring that the alleged perpetrator does not have contact with the survivor. If the survivor is an employee, reasonable adjustments may be made to the survivor's work schedule and work environment to ensure their safety. As described above, Save the Children will work toward ensuring a gender-responsive approach in the GRM by ensuring that women are represented and able to advise and make contributions for how grievances are addressed and resolved.

64. All actions should reflect the choices of the survivor.

65. All information related to the case must be kept confidential and identities must be protected. Only those who have a role in the response to an allegation should receive case-level information, and then only for a clearly stated purpose and with the survivor's consent.

66. The survivor must provide informed consent to progress with each stage of the complaints process. Survivors may withdraw their consent at any time during the process.

5 ESAP Implementation

5.1 Monitoring

67. Monitoring and reporting on ESS implementation are required to be updated in annual performance reports, in the interim and final evaluation. Reporting will specify the activities' consistency with the ESS standards and the GCF ESP. A monitoring process will be available during project implementation; SCA and the NDA will have the overall responsibility for monitoring the project and reporting compliance with environmental and social provisions of the ESAP. It will include:

- Outcomes of any additional ESS screening or assessments
- Status of management measures of the ESAP and whether they are being implemented effectively
- Summary of any community consultations
- Summary of any grievances received in the GRM

68. Monitoring can take several different forms including:

- seeking advice from Program Partners,
- seeking advice from Technical Advisors,

- undertaking quarterly or annual reviews,
- undertaking mid-term reviews,
- holding coordination/review meetings, and
- producing regular GCF progress.

69. For monitoring the environmental and social performance of activities, SCA is required to undertake all necessary measures to ensure participatory monitoring through the involvement of communities, local stakeholders, indigenous peoples, and civil society organisations in all stages of the life cycle of activities.

70. If during program implementation, scope changes and/or unanticipated impacts or risks are identified it is important to repeat part 1 of the ESS Screening Tool.

5.2 Integration of ESAP into Project Management

71. This ESAP will be included in all bid document packages.

72. The safeguards requirements of this ESAP will be referenced in appropriate parts of agreements, technical specifications, contracts, or any TORs issued under the Project. The AE will be required to review all bid documents prior to approval.

73. Prior to project implementation, the PIU will be required to attend a safeguards workshop with the AE Safeguards Specialist to ensure that all parties understand their obligations under the requirements of the ESAP and the safeguard policy of the Green Climate Fund.

5.3 ESS Roles and Responsibilities

74. Details of the roles assigned to various agencies / organizations are summarised below

5.2.1 Steering Committee

75. The Project Steering Committee (PSC) is formed of representatives from the EEs (WHO, MONRE, SCI Laos, MOH) as well as other government ministries. The PSC will provide overall strategic oversight and high-level risk management by reviewing and providing feedback on performance reports which will include ESS monitoring, and any grievances raised by communities. The PSC will also endorse management improvement actions arising from audits and addressing serious implementation issues (including sensitive safeguards issues).

5.2.2 Accredited Entity

76. Save the Children Australia is the AE for this project and provides a support to the Executing Entities SCI Laos, WHO and MONRE. As the AE, SCA is fully responsible (legally and financially) for the implementation of this project including the safeguards standards required by the GCF. The AE:

- Acts as a focal point for communications with GCF on project related matters;
- Ensures compliance with GCF funding requirements, including safeguard compliance;
- Provide inputs into project scope and design;
- Provide additional technical capacity to PIU where required
- Updating the ESAP as necessary to reflect changes in the designs.

77. SCA is also responsible for ensuring that project designs use SCA's PESSMS as a guideline to:

- Ensure that GCF project activities are screened and assigned appropriate environmental and social risk categories and that the environmental and social risks and impacts are properly and sufficiently assessed.
- Ensure that measures to avoid, minimize or mitigate adverse impacts are planned and adequately supported in GCF project activities.

- Ensure that every GCF-funded project develops and implements an activity-, project- and organisation-level grievance redress mechanism.
- Ensure every GCF-funded project complies with the GCF Information Disclosure Policy.
- Conduct due diligence on all partner organisations, including Save the Children Members and Countries' offices, to ensure that they can and do comply with the GCF ESP included in each project design.
- Ensure that the GCF ESP for each project design supports meaningful and inclusive multi-stakeholder consultation and engagement throughout the lifecycle of activities.
- Ensure cooperation with GCF in its due diligence of the activities proposed for GCF funding.

5.2.3 *Project Implementation Unit*

78. A Project Implementation Unit (PIU) will be established by SCI Laos to manage day-to-day project operations. The PIU will be overseen by a high-level PSC. The PIU will manage project implementation, support implementing entities and be staffed by a team, including Project Director, Chief Technical Advisor, Environmental and Social Safeguards Specialist, Gender and Social Inclusion Specialist, Monitoring and Evaluation Specialist, Finance and Procurement Specialist, and support staff. The PIU will draw on technical expertise from executing and implementing entities. The PIU will be responsible for ensuring compliance with the ESAP and GCF and AE ESS policies and requirements at the project level.

5.2.4 *Technical Advisors / Consultants*

79. All technical advisors are required to comply with the ESAP and GCF Safeguards Policy more broadly in terms of the work methodologies and outputs. They will be required to work with the PIU to ensure meaningful community and stakeholder engagement in their work programme.

5.3 **ESS Training**

80. The PIU and other partners will require training to ensure effective implementation and oversight of the ESAP including ESS Screening.

81. Areas recommended for training include the following –

- GCF environmental and social safeguard policies, in particular areas identified during Part 2 screening
- Roles and responsibilities of different key agencies in safeguards implementation
- How to effectively integrate the ESAP into project management, implementation, monitoring and reporting
- Management of the GRM
- How to facilitate meaningful participatory-planning community consultations
- Integration of the ESAP and safeguard specific clauses into the contract and bid documentation.

82. On-going support will be provided to the PIU by the AE for the duration of the Project.

5.4 **Stakeholder Engagement**

83. The Project Implementation Unit (PIU) will be responsible for ensuring that relevant stakeholders who are part of the project implementation are consulted and part of the project development and ongoing activities planning and implementation.

84. The project will maintain a robust stakeholder engagement procedure and the PIU is responsible for ensuring its implementation, either directly or through delegation. The

Gender and Social Inclusion Advisor will ensure that gender and social inclusion sensitive approach is achieved throughout the implementation of this procedure and should ensure culturally appropriate strategies are used. To achieve this, application of methodologies such as focus group discussion (FGD), key informant through formal systems and socially established groups are conducted. Separate meetings for males and females or targeting females through women's groups including people with disabilities for input. Data generated required by this procedure (e.g., consultation, implementation and actions planning, etc.) are recorded and managed by the PIU.

85. The procedure includes six steps in the stakeholder engagement process to be employed by Save the Children during the project. This process is applicable to planned activities.

1. Inputs – Identification of relevant persons
2. Stakeholder Identification – use of a standardised stakeholder mapping method to compile a list of potentially relevant persons, including those involved in design consultations
3. Consultation Activities – vary engagement techniques to promote participation for all relevant stakeholders
4. Methodology considerations – Sufficiency of information will be ensured by using targeted information and language that is easily understood
5. Administration – Records generated during a consultation process will be saved in a stakeholder database and kept on file for the duration of the project.
6. Ongoing Consultation – Ongoing consultation provisions of updates on activity progress; closes out of communication commitments made during initial consultation; provides a platform to notify relevant persons of any deviations to the activity details originally provided during initial consultation and highlight if the plan is no longer appropriate or effective; and supports the development of open communication channels with key relevant persons.

86. Additional details on the Save the Children will continue to engage with all of the stakeholders described in Annex 13 – Stakeholder Consultations Report. Many of the same processes and methods used to engage with stakeholders during project design will continue throughout implementation.

Appendix 1: Illustrative climate-related infrastructure, electrical service and WASH service upgrade activities for target health facilities based on completed site assessments

87. The table below describes the type and breadth of infrastructure, electrical service and WASH service deficiencies observed on site visits. The menu of illustrative activities, including those described in the project logframe, will be validated with site assessments at each of the target health facilities as part of the project baseline assessment.

Category	Illustrative Upgrade Activity	Estimated # (%) of target HCFs to receive support (n=79)	Estimated # of supported HCF infrastructure requiring repair service
Exterior & interior Infrastructure upgrades	Roof rehabilitation/replacement	79 (100%)	7 (9%)
	drainage and flood controls upgrade to protect building foundation and mitigate flood damage to buildings/materials		
	shading enhancements (awnings/other shading improvements)		
	ventilation and natural lighting improvements		
Electrical service upgrades	Solar panel installation, to include independent power storage units and power storage shed fabrication (alternative power solutions where solar is not feasible)	79 (100%)	17 (21%)
	Upgrades to electrical wiring and climate resilience improvements. Connection to solar power supply		
	Fan installation		
	Air conditioning unit installation or repair		
Inbound (potable) water service upgrades	Rehabilitation of primary water point (typically borehole or tube well)	23 (29%)	6 (26%)
	Installation or repair of decentralized water filtration/treatment system		
	Replacement/extension of water piping throughout health facility		
	Water taps repair or replacement		
	Water pump station replacement or repair		
Secondary water supply services	Provision of secondary water supply for seasonally water-stressed locations – in the form of rainwater harvesting units	55 (70%)	10 (18%)
Sanitation facility upgrades	Toilet/urinal rehabilitation, to include toilet facilities and superstructure (doors, windows, etc.)	79 (100%)	10 (13%)

Sewerage service upgrades	Septic tank installation or rehabilitation (or alternative technology as site assessments require)	61 (77%)	9 (14%)
	Rehabilitation of leach field		
	Replacement of sewerage piping		

REFERENCES

1. World Bank General EHS Guidelines – Environmental (Waste Management)
2. World Bank General EHS Guidelines - Construction Materials Extraction
3. Schultz, B., Zimmer, D., & Vlotman, W. F. (2007). Drainage under increasing and changing requirements. *Irrigation and Drainage: The journal of the International Commission on Irrigation and Drainage*, 56(S1), S3-S22

Appendix 2: Safeguarding Risk Assessment



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