

Environment and Social Management Framework (ESMF)

Multi-Country Proposal for Early Warning
Systems for All (EW4All)

January 2025

Table of Contents

Table of Contents	2
ABBREVIATIONS AND ACRONYMS	6
Executive Summary	7
1 Introduction.....	8
2 Project Description	8
2.1 Project Outcomes.....	9
2.2 Country Context	10
2.2.1 Ethiopia	10
2.2.2 Somalia	11
2.2.3 Chad	12
2.2.4 Ecuador	13
2.2.5 Antigua and Barbuda	14
2.2.6 Fiji.....	15
2.2.7 Cambodia	16
2.3 Conflict and Fragility Approach Taken by the Project	17
2.4 Purpose and Scope of the ESMF	19
3 Relevant Legislation and Institutional Framework.....	20
3.1 Ethiopia	20
3.1.1 The National Constitution	20
3.1.2 Environmental Laws and Regulations	20
3.1.3 Disaster Preparedness Laws and Regulations.....	20
3.1.4 Labour and OHS Laws and Regulations.....	20
3.1.5 Gender Laws and Regulations.....	21
3.1.6 IP-related Laws and Regulations.....	21
3.2 Somalia.....	21
3.2.1 Provisional Constitution of the Federal Republic of Somalia (2012)	21
3.2.2 Environmental Laws and Regulations	21
3.2.3 Labour and OHS Laws and Regulations.....	22
3.2.4 Gender Laws and Regulations.....	22
3.2.5 IP-related Laws and Regulations.....	22
3.3 Chad	22
3.3.1 The Constitution of the Republic of Chad (1996, revised 2005)	22
3.3.2 Environmental Laws and Regulations	22
3.3.3 Disaster Preparedness Laws and Regulations.....	23
3.3.4 Labour and OHS Laws and Regulations.....	23
3.3.5 Gender Laws and Regulations.....	23
3.3.6 IP-related Laws and Regulations	24
3.4 Ecuador	24
3.4.1 Constitution of the Republic of Ecuador, 2008.....	24
3.4.2 Environmental Laws and Regulations	24
3.4.3 Disaster Preparedness Laws and Regulations.....	25
3.4.4 Labour and OHS Laws and Regulations.....	25
3.4.5 Gender Laws and Regulations.....	25
3.4.6 IP-related Laws and Regulations	26
3.5 Antigua and Barbuda.....	27
3.5.1 Constitution of Antigua and Barbuda, 1981	27

3.5.2	Environmental Laws and Regulations	27
3.5.3	Disaster Preparedness Laws and Regulations.....	27
3.5.4	Labour and OHS Laws and Regulations.....	28
3.5.5	Gender Laws and Regulations.....	28
3.6	Fiji	28
3.6.1	The Constitution, 2013	28
3.6.2	Environmental Laws and Regulations	29
3.6.3	Disaster Preparedness Laws and Regulations.....	29
3.6.4	Labour and OHS Laws and Regulations.....	29
3.6.5	Gender Laws and Regulations.....	29
3.6.6	IP-related Laws and Regulations.....	30
3.7	Cambodia	30
3.7.1	The Constitution of the Royal Kingdom of Cambodia, 1993.....	30
3.7.2	Environmental Laws and Regulations.....	30
3.7.3	Disaster Preparedness Laws and Regulations.....	30
3.7.4	Labour and OHS Laws and Regulations.....	31
3.7.5	Gender Laws and Regulations.....	31
3.7.6	IP-related Laws and Regulations.....	31
3.8	UNDP's Social and Environmental Standards.....	31
4	<i>Potential Environmental and Social Risk Impacts and Mitigation Measures</i>	33
5	<i>Procedures for Screening, Assessing and Managing Social and Environmental Impacts</i>	38
5.1	Screening for E&S risks	38
5.1.1	Exclusion Criteria	38
5.1.2	Completing the SESP	39
5.2	Gender-Based Violence (GBV) and Sexual Exploitation and Abuse and Harassment (SEAH)	41
6	<i>Stakeholder Engagement and Information Disclosure</i>	44
6.1	Stakeholder Engagement.....	44
6.2	Considerations for Indigenous Peoples	44
6.3	Information Disclosure	44
6.4	Grievance Redress.....	45
6.4.1	Project-level GRM	46
6.4.2	Project-level GRM SEAH Considerations.....	47
6.5	UNDP's Accountability Mechanism	49
6.5.1	Social and Environmental Compliance Unit (SECU)	49
6.5.2	Stakeholder Response Mechanism (SRM)	49
6.6	GCF's Independent Redress Mechanism.....	50
7	<i>Institutional Arrangements and Capacity Building.....</i>	51
7.1	Roles and responsibilities for implementing this ESMF	51
7.1.1	EW4All Global project.....	51
7.1.2	Country-Specifics under Output 2	51
7.1.3	UNDP.....	53
7.2	Capacity Building.....	53
8	<i>Monitoring and Evaluation</i>	54

9	<i>Timeline and Budget for ESMF Implementation</i>	55
	<i>ANNEX 1: Codes of Conduct</i>	27
	<i>ANNEX 2: Screening and Assessment Based on UNDP's SESP</i>	29
	Step 1: Exclusion Criteria	29
	Step 2: Social and Environment Screening Checklist	29
	Step 3: Impact and Significance of a Risk Based on Screening	34
	Step 4: Risk Level (based on Screening and Assessment)	34
	Step 5: UNDP Social and Environmental Screening Template (v. July 2022)	24
	Project Information	24
	<i>ANNEX 3: Environment and Social Codes of Practice</i>	1
	Introduction to the ESCOP	1
	Key Aspects of Risk Management from Small Works	1
	<i>Pre-Works</i>	1
	<i>During Small Works</i>	2
	<i>Closure and Operation</i>	7
	Specific ESCOPs Mitigation Measures to Apply in Small Infrastructure Projects	7
	<i>ANNEX 4: Sample form to Submit Grievances</i>	1
	<i>ANNEX 5: Sample Grievance Log</i>	2
	<i>ANNEX 6: Indigenous Peoples Planning Framework</i>	1
	Indigenous Peoples in the Project Area	1
	Indigenous Peoples in Cambodia	1
	Indigenous Peoples in Ecuador	2
	Indigenous Peoples in Chad	2
	Indigenous Peoples in Somalia	3
	Indigenous Peoples in Ethiopia	4
	Indigenous Peoples in Fiji	4
	Potential Project Impacts	5
	Procedures	5
	Meaningful Consultations	6
	Free, Prior and Informed Consent (FPIC)	6
	Preparation of an Indigenous Peoples Plan (IPP) and Monitoring	7
	Grievance Redress	7
	Institutional Arrangements	7
	<i>Annex 7: Indicative Outline of an Indigenous Peoples Plan (IPP)</i>	9
	<i>ANNEX 8: Chance Find Procedures</i>	10
	<i>Annex 9 Template for Country Level Conflict Sensitivity Assessment</i>	11

ABBREVIATIONS AND ACRONYMS

AE	Accredited Entity
CoC	Codes of Conduct
ESCOP	Environment and Social Codes of Practice
ESMF	Environment and Social Management Framework
ESMP	Environment and Social Management Plan
EWS	Early Warning Systems
EW4All	Early Warnings for All
FP	Funding Proposal
GAAP	Gender Analysis and Action Plan
GAP	Gender Action Plan
GBV	Gender-Based Violence
GCF	Green Climate Fund
GRM	Grievance Redress Mechanism
IFRC	International Federation of Red Cross
IPP	Indigenous Peoples Plan
ITU	International Telecommunication Union
MHEWS	Multi-Hazard Early Warning Systems
NAP	National Adaptation Plans
O&M	Operations and Maintenance
OHS	Occupational Health and Safety
PMU	Project Management Unit
SEP	Stakeholder Engagement Plan
SESP	Social and Environment Screening Procedure
UNDP	United Nations Development Programme
UNDRR	United Nations Office for Disaster Risk Reduction
WMO	World Meteorological Organization

Executive Summary

This Environment and Social Management Framework (ESMF) sets out the procedures for identifying and managing the environment and social risks and impacts for the Multi-Country Project (MCP) for Early Warning Systems for All (EW4All). The ESMF briefly describes the project and associated risks and impacts and details the process for screening and preparation of measures to mitigate environment and social impacts. The project is financed with funds from the Green Climate Fund (GCF), with the United Nations Development Programme (UNDP) as the Accredited Entity (AE). This ESMF applies UNDP's Social and Environmental Standards (SES) to all project activities.

Most of the project activities are focused on enhancing risk knowledge, upgrading information and forecasting systems, training, capacity building, technical assistance, disaster preparedness and planning and information dissemination in seven countries. Under Output 2, the project is also procuring some goods and equipment to upgrade and/or strengthen forecasting services in seven countries, which includes upgrading of installation of hydromet stations which have a minimal physical footprint. Since these activities are not fully known at this stage of project preparation, this ESMF has been developed. The proposed project has been rated by UNDP as having a low risk based on the UNDP Social and Environment Screening Procedure (SESP).

The ESMF describes the process for adequately assessing and managing project risks, including ways to assess the need for whether specific Indigenous Peoples Plans (IPPs) are needed. The ESMF also includes Codes of Conduct (CoC) and an Environment and Social Code of Practice (ESCP), with good practice on pollution, waste management, worker's rights and Occupational, Health and Safety (OHS) which shall apply for small works under the project.

The project adopts a two-tiered safeguards structure to ensure consistent management of environmental and social risks while remaining responsive to existing contextual differences across the geographic scope of the programme. At the global level, this Environmental and Social Management Framework (ESMF) provides overarching guidelines and principles applicable to all participating countries, outlining the safeguards actions required to manage potential risks associated with each Output. At the country level, for Output 2 countries, tailored safeguards instruments have been developed, including Social and Environmental Screening Procedures (SESPs), Gender Assessment and Action Plans (GAAPs), and Stakeholder Engagement Plans (SEPs), in recognition of country-specific risks, opportunities, and contextual factors. The project activities in each country, and all details about these interventions, are detailed in each country funding proposal. This structure will ensure consistency in the management of safeguards risks across the programme as a whole while allowing some flexibility to meet the unique needs of each participating country.

The ESMF was developed in line with UNDP's SES. It presents both the legislative requirements of all seven countries and UNDP requirements on environment and social matters. The ESMF also describes the institutional arrangements, monitoring parameters, the project Grievance Redress Mechanism (GRM), stakeholder consultations and the ESMF timeline and budget.

1 Introduction

This Environmental and Social Management Framework (ESMF) has been prepared in support of a project proposal for Multi-Country Project (MCP) for Early Warning Systems for All (EW4All) to the Green Climate Fund (GCF). As this project is supported by UNDP in its role as a GCF Accredited Entity, the project has been screened against UNDP's Social and Environmental Standards (SES) utilizing the UNDP Social and Environmental Screening Procedure (SESP) and deemed a Low Risk project.

Most of the project activities are focused on enhancing risk knowledge, upgrading information and forecasting systems, training, capacity building, technical assistance, disaster preparedness and planning and information dissemination in seven countries. Under Output 2, the project is also procuring some goods and equipment to upgrade and/or strengthen forecasting services, which includes upgrading of installation of hydromet stations which have a minimal physical footprint. Since these activities are not fully known at this stage of project preparation, this ESMF has been developed. As such, this ESMF has been prepared that sets out the principles, rules, guidelines and procedures for screening, assessing, and managing the potential social and environmental impacts of implementing the small works whose location has not been identified. The ESMF contains measures and plans to avoid, and where avoidance is not possible, to reduce, mitigate and/or offset adverse risks and impacts. The ESMF specifies the most likely applicable social and environmental policies and requirements and how those requirements will be met through procedures for the screening, assessment, approval, mitigation, monitoring and reporting of social and environmental risks and impacts associated with the activities to be supported. Only low risk (category C for the Green Climate Fund) activities will be supported by the project.

The project adopts a two-tiered safeguards structure to ensure consistent management of environmental and social risks while remaining responsive to existing contextual differences across the geographic scope of the programme. At the global level, this Environmental and Social Management Framework (ESMF) provides overarching guidelines and principles applicable to all participating countries, outlining the safeguards actions required to manage potential risks associated with each Output. At the country level, for Output 2 countries, tailored safeguards instruments have been developed, including Social and Environmental Screening Procedures (SESPs), Gender Assessment and Action Plans (GAAPs), and Stakeholder Engagement Plans (SEPs), in recognition of country-specific risks, opportunities, and contextual factors. The project activities in each country, and all details about these interventions, are detailed in each country funding proposal. This structure will ensure consistency in the management of safeguards risks across the programme as a whole while allowing some flexibility to meet the unique needs of each participating country.

2 Project Description

With global temperatures likely to cross the 1.5 °C threshold before 2030, climate change-related impacts are progressively pushing human and natural systems beyond their ability to adapt, with potentially irreversible impacts. Increases in the frequency and intensity of climate and weather extremes has reduced food and water security, hindering efforts to meet Sustainable Development Goals and has slowed down global agricultural productivity exposing millions of people to acute food insecurity. Between 3.3 to 3.6 billion people, approximately half of the global population, lives in conditions that are highly sensitive to climate change. The majority of these live in countries or regions that are not equipped with Multi-Hazard Early Warning Systems (MHEWS) and associated protocols which allow them to take anticipatory actions. The goal of Early Warning for All (EW4All) is to ensure every person on Earth is protected by early warning systems within five years. Early warning systems are a critical investment to enhance climate resilience at a national and community level, by providing critical information to guide risk management and make informed long-term decisions that can result in avoided losses.

Through two outputs, the multi-country project for EW4All (MCP) will target communities whose livelihoods depend on climate sensitive sectors, those with greater physical exposure to climate hazards, with clear emphasis on including women, poor and vulnerable groups within these communities. The project will lead to the enhanced production of actionable multi-hazard early warnings and impact-based forecasts to inform and trigger early and anticipatory actions, whilst strengthening multiple channels of communication to ensure timely and effective dissemination of these warnings and information to the last mile. The project will also prepare disaster management and supporting agencies at national and the sub-national level as well as communities to make effective use of these early warnings and advisories for early and anticipatory action which allows them to adapt to, avoid and facilitate recovery from climate change hazards.

The project design specifically addresses the importance of ensuring the most vulnerable groups in societies are consulted – including women, people with disabilities, Indigenous peoples and other marginalized groups – to ensure Early Warning Systems (EWS) are able to reach them, and this is detailed in country-specific Stakeholder Engagement Plans (SEP) and Gender Analysis and Action Plans (GAAPs). The project is therefore designed to be inclusive of all groups, so that information dissemination can use different channels and adapt to the different needs in each country, reaching citizens regardless of their gender, status, ethnicity or location.

2.1 Project Outcomes

Output 1 will promote regional and global coordination among various stakeholders, including government agencies, civil society organizations, academia, and the private sector. This Output aims to scale up and accelerate global and regional support for national efforts to increase MHEWS' capacity and coverage. This will be done by enhancing coordination and providing technical support for the implementation of EW4All; strengthening monitoring and evaluation (M&E) processes to support EW4All implementation; and reinforcing knowledge management and the dissemination of lessons learned. Activities under this Output will focus on coordination activities; developing guidance, tools and training materials; technical assistance; capacity building; knowledge management and dissemination, and peer-to-peer learning. This component will be led by the EW4All project lead agencies in each of the seven countries.

Output 2 will specifically focus on seven countries – Antigua and Barbuda, Cambodia, Chad, Ecuador, Ethiopia, Fiji, and Somalia – to roll out national level investment activities to address country and local level needs to achieve the EW4All target. This Output addresses barriers that prevent the implementation of a comprehensive, and end-to-end MHEWS in the seven initial target countries, including:

- 1) Gaps in policies, inter-agency coordination and lack of coherent strategies;
- 2) Inadequate technical and scientific capacities;
- 3) Missing observations; and
- 4) Barriers that prevent effective local actions.

The activities will mirror the four pillars of the EW4All Executive Action Plan (EAP), and will be implemented through the national governments with support from UNDP, the EW4All pillar leads and their in-country national offices and other partner agencies where relevant. The EW4All pillars and leads are:

- Pillar 1: Disaster risk knowledge – led by the United Nations Office for Disaster Risk Reduction (UNDRR);

- Pillar 2: Detection, observations, monitoring, analysis and forecasting of hazards, led by the World Meteorological Organization (WMO);
- Pillar 3: Warning dissemination and communication, led by the International Telecommunication Union (ITU);
- Pillar 4: Preparedness to respond, led by the International Federation of Red Cross and Red Crescent Societies (IFRC).

For all seven countries, activity 3.1 under this Output will mirror Pillar 1 and focus on strengthening governance and coordination, establishing clear functions, roles and responsibilities of agencies in the national warning dissemination process. Considerations of differential access to information and resources by women and vulnerable groups will be included in the dissemination strategy. This activity will also establish or strengthen existing local early warning committees or equivalent grassroots organisations with representatives from elected/traditional leaders, including women and vulnerable groups. Capacities of these local institutions, from district down to village level, will be enhanced through regular engagements and training programmes that strengthen institutional structures and procedures.

For all seven countries, activity 3.2 will mirror Pillar 2 and focus on disaster risk knowledge and observations in order to improve awareness about hazards, exposure populations, services, infrastructure, vulnerabilities of communities, and loss and damage accounting. There will be a focus on the strengthening and/or establishment of meteorological, hydrological and climate forecast and monitoring systems for each participating country. Depending on the country, the activity may also include limited installation or upgrading of hydromet stations, which carry a small physical footprint. This is further detailed in the country-level Funding Proposals and country-specific Social and Environmental Screening Procedures (SESPs), and this ESMF provides guidance for the siting of these works.

For all seven countries, activity 3.3 will mirror Pillars 3 and 4 and focus on Early Warning dissemination and preparedness. Early warning messages will be developed in a multitude of accessible formats and languages, including for persons with disabilities. Information will be disseminated in a manner which ensures that risks and warnings are understood, are clear and actionable by their target audience. The activity will support a spectrum of actions, including integrating clear protocols for early warning and early action in disaster management/ preparedness plans. Best practices for data privacy will be put in place. Assessments will be carried out to understand how best to reach communities at risk. There will also be training of local governments and first responders. Communities will be engaged in developing holistic plans for early warning and anticipatory action to respond to and to better manage local disasters reducing risks and to better adapt to climate change based on feasibility studies, climate information and local knowledge. Depending on the country, there may be limited upgrading or retrofitting of small infrastructure for emergencies such as installing water storage tanks, minor improvements to existing access paths, or installation of toilets. Specific attention will be given to the needs of women and vulnerable groups. Communities will be trained on Operations and Maintenance (O&M) of early warning devices such as water level recorders, rain-gauges and anemometers.

See the MCP Project Proposal for additional information.

2.2 Country Context

Below is a brief summary of the seven countries under Output 2 of the project. More detailed information can be found in the Country Project Proposals and Feasibility Studies.

2.2.1 Ethiopia

Ethiopia's diverse topography presents a contrast between the highlands of the northern and central regions and the lowlands of the East African Rift Valley, which traverses the country from northeast

to southwest. Elevations range from several hundred meters below sea level in the northeastern lowlands to over 4,000 meters above sea level in the northern highlands. With a population over 120 million, Ethiopia is the second most populous country in Africa. It is characterized by rich ethnic diversity, comprising over 80 ethnic groups, including the Oromo, Amhara, Somali, and Tigray. It has a youthful demographic profile, with a significant portion of the population under the age of 15.

Economically, Ethiopia remains a low-income country with a predominantly agrarian economy. Agriculture significantly contributes to GDP and employment. Despite impressive economic growth, poverty remains a challenge, particularly in rural areas. While strides have been made in infrastructure and social services, challenges persist in education, healthcare, and economic opportunities. While over recent years there have been an increase in incomes and reduced poverty, the country faces various challenges, including macroeconomic imbalances, limited private sector participation, and high levels of food insecurity. Additionally, climate change introduces further risks, with increasing temperature variability and uncertain precipitation patterns. Ethiopia also faces violent internal conflict situations: the Tigray war from 2020 to 2022 affected millions of people causing widespread displacement and humanitarian needs; while in 2024 the situation involving militia groups from the regions of Amhara and Oromia remains very volatile. Ethiopia hosts 4.4 million Internally Displaced Persons (IDPs) in both accessible and inaccessible locations. While the Tigray region in the North hosts the highest number of IDPs, due to conflict (69% of IDPs), drought in the Somali region is causing the highest number of displacements caused by climate-induced events (17% of IDPs), followed by floods, landslides and fires (9% of IDPs). Ethiopia also has one of the largest refugee situations in Africa, hosting nearly 900,000 refugees and asylum seekers predominantly from South Sudan, Somalia and Eritrea.

Ethiopia's climate varies significantly across its regions, classified into three primary zones based on seasonal rainfall patterns. The variability in Ethiopia's rainfall is influenced by large-scale climatic phenomena such as the El Niño-Southern Oscillation (ENSO) and sea surface temperatures (SSTs) in the Indian and Pacific oceans. Climate change poses a significant threat to Ethiopia's development, exacerbating existing vulnerabilities. The country faces high impacts from natural hazards and increasing climate variability, which threaten its development goals. Climate change impacts various sectors in Ethiopia, including water, agriculture, energy, transport, and urban development. The country faces significant water challenges, with variable and unpredictable rainfall affecting millions of people. Droughts particularly cause substantial economic damage, while flooding also has a severe impact on GDP. Additionally, heat stress results in significant losses due to its impact on labor productivity and livestock yields. Infrastructure damage, particularly to roads and bridges, can also suffer due to natural disasters.

2.2.2 Somalia

Somalia, located in the Horn of Africa, has a diverse geography that has significantly influenced its history, culture, and economy. The country is divided into three main regions: the northern plateau, the central plains, and the southern plateau, each varying in elevation, climate, and agricultural potential. Somalia has two major permanent rivers, the Jubba and the Shabelle, which flow from the Ethiopian highlands and provide crucial water resources for agriculture and livestock. Northern Somalia encompasses the autonomous region of Somaliland and Puntland.

Somalia faces significant challenges due to prolonged conflict and recurring humanitarian crises. Accurate demographic data is difficult to obtain due to ongoing conflict and displacement. Somalia's estimated population in 2023 was 18,143,378. Somali and Arabic are the official languages. Additionally, many Somalis are proficient in Italian and English, which are widely spoken as unofficial languages, reflecting Somalia's colonial history and its engagement with international institutions. Various Somali dialects are spoken across the country, reflecting regional variations and clan

affiliations, and the important ethnic and linguistic minorities that contribute to the country's diversity such as the Bantu, Arabs, and Bravanese. Islam is deeply ingrained in Somali society, with virtually the entire population adhering to Sunni Islam. Religious beliefs and practices significantly influence social norms, values, and legal frameworks. The traditional clan system is a central pillar of Somali society, influencing social organisation, resource allocation, and political dynamics.

Somalia has experienced decades of conflict and instability, resulting in widespread displacement, humanitarian crises, and weak governance. Poverty is widespread in Somalia, with most of the population relying on subsistence agriculture, livestock herding, and remittances for their livelihoods. At the same time, recurrent droughts and environmental degradation seriously threaten livelihoods and food security, exacerbating humanitarian needs. The population is also burdened by communicable diseases like malaria, tuberculosis, and acute respiratory infections, exacerbated by limited access to healthcare services and malnutrition¹. Life expectancy at birth for both genders is estimated at 58.3 years². A significant proportion of Somalia's population have been affected by disability, although the specific figures are difficult to pinpoint, with the lowest estimate being around 5% of the population. Agriculture is a crucial sector in Somalia, providing livelihoods to a significant portion of the population and is the backbone of Somalia's economy despite facing numerous challenges. Nomadic pastoralism is a traditional way of life for many Somalis, with camels, cattle, sheep, and goats being the main livestock reared. Approximately 65% of the population relies on livestock for their livelihoods.

Somalia's climate profile features semi-arid to arid conditions, erratic rainfall, and high temperatures that profoundly impact various sectors. The country's average temperatures are among the highest in the world, and rainfall is scarce and erratic. The harsh arid and semi-arid environment of Somalia, characterised by unpredictable rainfall and limited water resources, makes pastoralism a well-adapted livelihood strategy. Pastoralists move their herds in search of grazing and water, following traditional migration routes established over generations. These movements are carefully planned, considering factors such as seasonal rainfall patterns, vegetation availability, and access to water points. Yet, the increasing frequency and severity of droughts, coupled with changing rainfall patterns, make it more difficult for pastoralists to predict and adapt to environmental conditions. Decades of conflict and instability have also disrupted traditional migration routes, limited access to grazing lands, and led to the loss of livestock.

2.2.3 Chad

The Republic of Chad is a large, landlocked Central African country with a climate divided from north to south into an arid desert zone, an arid Sahelian zone and a tropical savannah zone. The flat landscape of Chad gives rise to a hydrographic network dominated by two main permanent rivers, the Chari (1,200 km) and its tributary the Logone (1,000 km), as well as Lake Chad.

Chad remains among the poorest and least developed countries in the world, as well as being the most exposed and least prepared to cope with climate change (ND-Gain index). It is considered to be at a substantial risk of a humanitarian crisis in case of natural or man-made disaster. Chad's 2022 Human Development Index ranking places Chad 189th out of 193 countries and territories. Food production, livelihood systems and the economy in Chad are highly vulnerable to the effects of climate change due to its dependence on agriculture, particularly rainfall patterns and distribution.

Chad has one of the fastest growing demographics in the world. The 2009 census estimated an average annual population growth rate of 3.6 percent, reaching over 17.4 million inhabitants in 2022. The

¹ WHO. (2023). Somalia: WHO Health Emergency Dashboard. World Health Organisation.

² FRS 2022, Somalia's First Biennial Update Report (BUR) to the United Nations Framework Convention on Climate Change, Federal Republic of Somalia, 2022 <https://unfccc.int/documents/627646>

population is predominantly rural (76.7 percent) and young, with an average age of 17 years, and life expectancy of 52.6 years for men and 55.4 years for women (National Adaptation Plan, NAP). Half of the population lives in the southernmost fifth of the country, and only 27 percent of Chadians live in cities. The population of the capital city N'Djamena was projected to be 1.77 million by 2022, or 10,2% of the population. Densities vary considerably: the desert is sporadically occupied by nomadic Teda and Daza peoples, the north is sparsely occupied by peoples identified as Arab and practising Islam, and those living in the densely populated fertile south are mainly Christian and animist. Chad's population is one of the least educated in the world, with literacy rates at 27% (26% for men, 19% for women) in 2022³.

Over one hundred languages and dialects are spoken in the country, while French and Arabic are the only official languages. This diversity is evidenced in the country's deep cultural and regional divisions, where language is often a marker of community identity, sometimes creating significant barriers, particularly for women in rural areas. As of April 2024, the country also hosts more than 1.2 million refugees from conflicts in neighbouring Sudan, the Central African Republic, Nigeria and Cameroon, including close to 600,000 newly arrived refugees from Sudan (UNHCR, May 2024). An estimated 910,000 people requiring humanitarian assistance have been identified (UNHCR, August 2024). Another 315,000 Chadians are internally displaced or have been forced to return, fleeing neighbouring conflicts⁴.

Chad features a hot, continental climate. Each year a tropical weather system known as the intertropical front, crosses Chad from south to north, bringing a wet season that lasts from May to October in the south and from June to September in the Sahel in the center. Rainfall increases from a few millimetres in the extreme north to over 1,200 millimetres in the extreme south, defining six bioclimatic regions. The food production and livelihood systems in Chad are highly dependent on climatic factors, particularly rainfall patterns and distribution. Extreme heat, heavy rainfall and flooding pose risks to crops, health, farmers' and herders' livelihoods, food security and farm workers' productivity. Rising temperatures lead to increased water requirements for vegetation, and impact human and animal health.

The main extreme climatic events in Chad are: droughts and floods, followed by violent storms, extreme temperatures, high winds and other related phenomena, such as locust invasions and bush fires. These disasters have very harmful consequences for the population, infrastructure and agro-pastoral activities. The effects of high temperatures are more acute for children, the elderly, and those with chronic diseases. Chad also faces severe environmental degradation, exemplified by the drying up of Lake Chad, increased desertification, declining fish stocks, the disappearance of certain animal and plant species, and soil degradation. Successive droughts in Chad have affected the food security and livelihoods of households across large swathes of the country, while floods (riverine and pluvial) have also people homeless and led to a rise in viral or bacterial disease epidemics.

2.2.4 Ecuador

Ecuador is geographically divided into three distinct regions: the Costa, Sierra, and Amazonia. The Costa region, situated on the western side of the Andes Mountain range, is characterised by a narrow coastal plain along the Pacific Ocean. This area is subject to tropical climates with distinct wet and dry seasons. The wet season, influenced by the warm El Niño current, typically lasts from December to May, bringing heavy rains and higher temperatures averaging 25°C to 31°C. The dry season sees lower

³ World Bank data: <https://genderdata.worldbank.org/en/indicator/se-adt>

⁴ <https://data.unhcr.org/fr/country/tcd>

temperatures and less precipitation. The area exhibits a range of coastal ecosystems and major urban centres such as Guayaquil are found in this region. The Sierra region comprises the central highlands, where the Andes Mountain range reaches its zenith in terms of elevation and there are two main seasons: a wet season from October to May and a dry season from June to September. This area includes numerous volcanic peaks, valleys, and plateaus. Quito, the capital city, is situated in this region. There are various Indigenous nationalities in the area including the Kichwa, Otavalo, Cañari, Saraguro, and Puruhá, each with their own languages, customs, and forms of social organization. To the east of the Andes lies the Oriente region, encompassing the Amazon Rainforest. This vast expanse is characterised by dense tropical vegetation, intricate river systems, and high levels of biodiversity. The Oriente is a crucial component of the Amazon Basin, housing diverse flora and fauna, including endemic species, with a humid tropical climate characterized by high temperatures averaging between 25°C to 30°C and significant rainfall throughout the year, often exceeding 3,000mm annually. The region is also home to Indigenous communities with unique cultural and environmental practices. Additionally, Ecuador's Galapagos Islands, situated in the Pacific Ocean, represent a distinct geographical feature. The archipelago consists of volcanic islands known for their unique ecosystems, endemic species and research significance in the field of evolutionary biology. Ecuador has a population of approximately 17 million people, characterised by ethnic diversity, including Mestizo (72%, mixed Indigenous and European ancestry), Indigenous peoples (7.7%), Afro-Ecuadorians (7.2%), and a small percentage of European descent.

Due to a combination of political, geographic, and social factors, Ecuador is recognized as vulnerable to climate change impacts, ranked 115th out of 185 countries in the 2021 ND-GAIN Index. Climate-related impacts such as droughts, floods and landslides undermine development and reduce the availability of natural resources, affecting most of the population. Floods are the most frequent hydro-meteorological disaster in Ecuador and the second in terms of the number of casualties, with landslides, storms and droughts also contributing significantly. Ecuador is also vulnerable to the effects of the El Niño-Southern Oscillation (ENSO), which significantly impacts its climate. The increase in the intensity and frequency of extreme climatic events has caused economic damages and losses in goods and services in recent years, with associated loss of life, impacts on health, human mobility, biodiversity, cultural heritage, and Indigenous knowledge. Vulnerable groups such as the rural and urban poor, small-scale farmers, women, Indigenous peoples and internally displaced persons are disproportionately affected due to unequal access to resources and decision-making processes.

In Ecuador, climate change is expected to affect the melting of glacier cover, lead to variations in sea surface temperature, produce changes in spatial and temporal precipitation regimes, increase flood-prone areas, intensify droughts, reduce water quantity and quality, expand the range of disease-transmitting vectors (dengue and malaria), and lead to a loss of biodiversity. The increased intensity and frequency of extreme and slow-onset climatic events is likely to cause economic and non-economic losses and damages to goods and services in the country. The agricultural sector, which contributes 11% to Ecuador's GDP and provides livelihoods for one-third of the population, is particularly at risk. Climate change threatens to disrupt agricultural productivity, leading to potential declines in income and increased food insecurity.

2.2.5 Antigua and Barbuda

Antigua and Barbuda is a small island developing state (SIDS) made up of two main inhabited islands: Antigua, which covers 280 km², and Barbuda, which spans 160 km², which are approximately 40 km apart. Both islands are generally flat and low-lying, built on a volcanic foundation covered with coral; both within an area of active seismic activity and subject to periodic tremors. Antigua features three main topographical areas: volcanic regions in the southwest, a central plain, and limestone areas in the north and east. Its coastline is irregular, with a mix of bays, sandy beaches, and rocky headlands. Barbuda is mostly very low-lying, with the majority of the island just 4 meters above sea level and

reaching about 60 meters in the east. It is predominantly limestone and sand, with large sand dunes and the Caribbean's largest saltwater lagoon, which is nearly enclosed by a narrow sand spit on its western side. Despite its small size, Antigua and Barbuda boasts a high level of biodiversity, especially in its coastal and marine environments. Key ecosystems include mangroves, coral reefs, and seagrass beds, which support sandy beaches, fisheries, and offer protection against tropical storms and hurricanes. Neither island has a notable network of streams⁵.

Antigua and Barbuda has distinct wet and dry seasons, which last from June to November and January to June, respectively. Rainfall averages 1,187mm per year and temperatures average 27 °C. Hurricane season — during which time potentially damaging and costly tropical storms and hurricanes are most likely to impact the country — occurs within the wet season from June to November, with the most active hurricane months being August and September. The islands generally experience low humidity and recurrent droughts. Droughts are considered the second priority climate hazard, with a meteorological drought in the country defined as receiving less than 826 mm annually. Like other small island nations, Antigua and Barbuda faces unique environmental issues created by its proximity to the ocean, and small size. These include pressures on drinking water resources, natural ecosystems, and deforestation. Rising sea levels pose a significant threat to the low-lying coastal areas, exacerbating the risk of saltwater intrusion into freshwater sources; extreme weather events, including hurricanes and tropical storms, are likely to become more intense and frequent, leading to heightened risks of flooding, landslides, and infrastructure damage impacting a number of key sectors; warming climate conditions may disrupt ecosystems and may exacerbate water scarcity issues.⁶

The total population of Antigua and Barbuda is 94,298, with the majority (97%) based on Antigua, and females outnumbering males (52:48)⁷. English is the official language and is dominantly spoken across both islands; however, there is a sizable Spanish-speaking population, largely a result of immigration from the Dominican Republic⁸, with estimates of between 15 and 25% of the total population. Antigua and Barbuda is heavily reliant on imports of basic supplies, including food, medicine and building materials, increasing vulnerability to disruptions to shipping routes and associated increases in insurance costs during and after extreme events. Fisherfolk are also particularly vulnerable given the limited availability of risk information and forecasts for ocean conditions or environmental impacts of climate change on reef fisheries. Although classified as high-income in terms of per capita GDP, the distribution of wealth is largely skewed by a few high-income persons who have moved to the country from abroad, with much of the local population having much lower income. Tourism, the country's main industry, is also highly susceptible to the impacts of climate change and particularly vulnerable to disasters such as hurricanes.

2.2.6 Fiji

Fiji is a tropical island country consisting of 332 islands spread across approximately 1.3 million km² of the South Pacific Ocean. The two largest islands, Viti Levu and Vanua Levu, make up 87% of the land area and are the main inhabited regions. These islands are primarily volcanic and characterized by steep mountainous terrain. Temperatures in Fiji remain relatively consistent throughout the year. In the dry season (May-October), the average temperature ranges from 23°C to 25°C, while in the wet season (November-April), it ranges from 26°C to 27°C. Precipitation in Fiji shows significant seasonal variation. In the wet season, the average rainfall per month is around 250-400 millimetres (mm), whereas in the dry season, it is around 80-150 mm per month.

Tropical cyclones are a prominent feature of Fiji's climate, occurring primarily from November to April. The El Niño Southern Oscillation (ENSO) is one of the main climate drivers for Fiji which can impact the

⁵ CCCRA 2012 - Climate Change Risk Profile for Antigua and Barbuda

⁶ DoE 2024. National Adaptation Plan (NAP) for Antigua and Barbuda 2023-2033

⁷ World Bank 2023

⁸ Farquhar 2022. The Spanish Language in Antigua and Barbuda: Implications for Language Planning and Language Research

intensity and location of tropical cyclones, as well as precipitation patterns, often leading to dry conditions or droughts.⁹ Another key climate driver in Fiji is the South Pacific Convergence Zone (SPCZ). The movement of the SPCZ, influenced by the presence of an ENSO, causing the seasonal variation.

Fiji is highly vulnerable to climate extremes such as drought and extreme rainfall. Increases in the frequency and intensity of these events could pose a major threat to livelihoods, infrastructure, and human wellbeing. Fiji is frequently affected by a wide range of meteorological and geophysical hazards, making it inherently prone to disasters. The probability of catastrophic damage and loss of life from tropical cyclones, storm surges, flooding, and landslides is very high.¹⁰ Additionally, Fiji is exposed to earthquakes, tsunamis, and landslides. With many communities located in low-lying coastal areas, there is a high risk of flooding from storm surges and sea-level rise. Furthermore, Fiji faces other severe climate impacts, such as floods, droughts, coastal erosion, ocean acidification, and coral bleaching. These hazards pose significant risks to Fijian communities, their economy, and infrastructure, potentially resulting in loss of life, displacement, asset damage, and disruption of livelihoods. Changing weather extremes not only threaten Fiji's sustainable development and the livelihoods of its people but also have the potential to reverse its current progress. Agriculture and tourism, both crucial to Fiji's economy, are highly sensitive to climate conditions.

Fiji has an estimated population of 941,306¹¹, with 59.4% living in urban areas. The country's GDP is approximately US\$4.98 billion (2022), with a per capita GDP of US\$5,356.2 (2022). The key sectors driving the economy are tourism and agriculture. Additionally, 91% of the population resides within 5km of the coastline.

2.2.7 Cambodia

Cambodia is a Southeast Asian country bordered by Thailand, Laos, and Vietnam. With a population of approximately 16.9 million people, the majority reside in rural areas. Cambodia comprises a total area of 181,035 sq km. Cambodia's landscape is characterised by a low-lying central plain that is surrounded by uplands and low mountains and includes the Tonle Sap Lake and the Mekong River. Cambodia's climate is tropical, with high temperatures, and two distinct seasons: a monsoon-driven rainy season (May-October) with south-westerly winds ushering in clouds and moisture that accounts for 80-90% of the country's annual precipitation, and a dry season (November-April), with cooler temperatures, particularly between November and January. Average temperatures are relatively uniform across the country, but are highest in the early summer months before the rainy season begins, when maximum temperatures often exceed 32°C. Temperatures remain between 25-27°C throughout the rest of the year. The wet season arrives with the summer monsoon, in May through November, bringing the heaviest rainfall to the southeast and northwest. The annual average rainfall is typically 1,400-2,000 mm with higher rates in the coastal and highland areas and lower rates in other inland regions. Inter-annual variations in climate result from the El Niño Southern Oscillation, which influences the nature of the monsoons in the region. El Niño events generally bring warmer and drier than average winter conditions across Southeast Asia, while La Niña episodes bring cooler than average conditions.

Cambodia faces a high level of disaster risk, ranking 58th out of 191 countries in the 2024 INFORM Risk Index.¹² The country is especially vulnerable to flood and drought events, with about 80% of its land in the Mekong River and Tonle Sap regions. Cambodia has two main types of floods: the Mekong River and flash floods. The country is subject to flash floods after heavy rainfall during tropical cyclone events and the monsoon and typhoon seasons. The Mekong River flood is caused by cumulative rainfall in the upper catchments, which results in a slow but steady rise in water levels. Moreover, underlying vulnerabilities such as economic and environmental challenges further heighten the risk for

⁹ World Bank 2008: Reducing Risk of Disasters and Climate Variability in the Pacific Islands, 2008

¹⁰ Government of Fiji, Draft National Disaster Risk Reduction Policy 2018-2030

¹¹ <https://www.worldometers.info/world-population/fiji-population/> - as of 25 March 2024

¹² European Commission (2024). Disaster Risk Management Knowledge Center. Result

disadvantaged populations. On the other hand, Cambodia is also vulnerable to two primary types of droughts: meteorological (associated with a precipitation deficit) and hydrological (linked to a deficit in surface and subsurface water flow, often originating from the region's river basins). Cambodia also faces exposure to cyclones and landslides and extreme heat.

Cambodia is highly vulnerable to the impact of climate change. According to the Global Climate Risk Index, in 2020, it was ranked as the 12th most climate risk-prone country globally. Climate change is projected to exacerbate flooding and drought risks and decrease Cambodia's GDP by as much as 10% by 2050.¹³ Agriculture, infrastructure, forestry, human health, and coastal areas are most affected by climate change.¹⁴ The observed impacts of climate change in Cambodia include more intense rains leading to floods, delayed rainy season affecting crops, longer dry seasons, El Niño-related droughts, unexpected dry periods during the rainy season, and untimely rains damaging crops. Due to damming and poor river management, climate change projections show increasing vulnerability, especially near waterways like the Mekong River. Other contributors to vulnerability include poorly planned urban development in low-lying areas and natural resource degradation.¹⁵ These findings underscore the urgent need for proactive measures to address and prepare for Cambodia's growing risks associated with climate change.

The EW4All project has selected the four target provinces (Kratie, Banteay Meanchey, Ratanakiri, and Stung Treng) to represent different regions of Cambodia. More information can be found in the project Feasibility Study.

2.3 Conflict and Fragility Approach Taken by the Project

The project, due to its multi country nature will work in various contexts, this includes countries that have been classified by the World Bank as in a "Fragile and Conflict State" (FACS). Amongst the project target areas, Somalia, Chad and Ethiopia have been classified as either "in conflict" or "fragile."

The two core components of FCAS can be defined as follow, recognising the various multiple dimensions of FCAS as a well as bifurcation between fragility and conflicts¹⁶:

- **Fragility** is defined as a systemic condition or situation characterized by an extremely low level of institutional and governance capacity which significantly impedes the state's ability to function effectively, maintain peace and foster economic and social development.
- **Conflict** is defined as a situation of acute insecurity driven by the use of deadly force by a group — including state forces, organized non-state groups, or other irregular entities — with a political purpose or motivation. Such force can be two-sided — involving engagement between multiple organized, armed sides, at times resulting in collateral civilian harm — or one-sided, in which a group specifically targets civilians.

¹³ UNDRR (2029). Disaster Risk Reduction in Cambodia. <https://www.undrr.org/publication/disaster-risk-reduction-cambodia>

¹⁴ European Commission and UNEP (2024). Interactive Country Fiches Climate Change in Cambodia

¹⁵ The Center for Excellence in Disaster Management (2022)

¹⁶ <https://thedocs.worldbank.org/en/doc/fb0f93e8e3375803bce211ab1218ef2a-0090082023/original/Classification-of-Fragility-and-Conflict-Situations-FY24.pdf>

The above criteria serve as a general guideline for the EW4All Project Framework to identify project areas identified as FCAS while taking into account the indicators used by the World Bank in its own annual assessment of FACS¹⁷. These include institutional and social fragility as well as violent conflict¹⁸.

UNDP prioritizes three areas in its “Crisis Offer¹⁹”:

- I. **Break the Cycle of Fragility - Transform Protracted and Fragile Contexts:** this is achieved through multidimensional risks analysis to promote transformative changes in protracted crises and fragile contexts through context-specific, systems-based development solutions that are ambitious, bespoke, principled and at scale.
- II. **Get Ahead of the Crisis Curve - Anticipate and Prevent Crisis:** mitigating risk and addressing drivers and root causes of conflicts, disasters, and other types of crises. Prevention is at the core of this priority anchored in reducing development deficits, fight inequalities, and foster inclusion.
- III. **Invest in Hope – From Jobs to Justice: Sustain Development Throughout Crisis:** this approach ensures sustained delivery of development throughout the occurrence of crises, from early assessments to recovery planning and financing, in full complementarity to humanitarian and peace actors. New tools include integrated cross-practice approaches to recovery assessments and programming.

While the EW4All proposal addresses all three areas, it is primarily focussed on “Get Ahead of the Crisis Curve - Anticipate and Prevent Crisis”. The auspice of the approach is to shift from reaction to one of prevention. Climate change is a key threat and can undermine efforts to secure peace and stability, with climate hazards not only directly impacting people and their livelihoods, but also indirectly exacerbating existing conflict and fragility, and in turn creating new conflicts. Climate change is also a major danger to efforts to maintain peace and stability. People's susceptibility to climate change can be increased and their capacity for adaptation can be limited by conflict and instability. For example, individuals frequently migrate to places that are more sensitive to climate threats, and the loss of livelihoods might make adaptation less affordable.

Challenges related to the establishment of an MHEWS in FACS may include the lack of accessibility to certain areas, limited capacities to establish and maintain MHEWS investments, as well as the exclusion of vulnerable populations (including migrating populations and minority groups) from receiving project benefits. In addition, the lack of a consistent national presence in all project intervention areas requires a careful study and analysis of stakeholders to reduce the risk of aggravating existing social dynamics. On the other hand, careful implementation provides an opportunity to enhance social cohesion through community early warning systems as well as by enhancing the capacity of the government to provide public goods and benefits ensuring that no one is left behind, as well as enhancing capacities to build inclusive public policies.

The project's approach for conflict sensitivity provides space to ensure that the project is able to have a wider perception and context of conflict and fragility while creating a basis to identify opportunities for long term resilience through peace positive approaches. Project interventions taking place within FCAS will develop a corresponding conflict sensitivity analysis informed by consultations to assess institutional needs and capacities so that interventions developed within are designed in a way that do not create or exacerbate conflicts and ideally contribute to peace. This will be detailed in country-specific Stakeholder Engagement Plans which will be the main instrument to guide consultations and outreach with stakeholders, and which will take into account the country context, including conflict, so that project engagement and Early Warning activities do not exacerbate any existing tensions.

¹⁷ <https://thedocs.worldbank.org/en/doc/b3c737c4687db176ec98f5c434d0de91-0090082024/original/FCListFY25.pdf>

¹⁸ <https://www.worldbank.org/en/topic/fragilityconflictviolence/brief/classification-of-fragile-and-conflict-affected-situations>

¹⁹ <https://www.undp.org/sites/g/files/zskgke326/files/2022-09/UNDP%20Crisis%20Offer%202022.pdf>

Country level conflict analysis will take as underlying assumption that no policy intervention is neutral and may have unintended consequences both positive and negative as well as direct or indirectly. Conflict sensitivity analysis will hence be developed to at minimum ensure that project interventions within FCAS avoid causing harm and at maximum contribute to peace. Conflict sensitivity analysis will thus look to identify existing causes of tension and how these interact with country level project implementation and delivery strategies.

Implementation of EW4All in Chad, Somalia and Ethiopia may pose implementation risks depending on the national or local situation. These specific considerations have been assessed in the Social and Environment Screening Procedure (SESP) and detailed at length within the Stakeholder Engagement Plans for Chad, Ethiopia and Somalia. In these countries, no small works will take place in areas where there is ongoing conflict or where works could exacerbate existing tensions. As per the project approach, small works will be contained mostly within existing locations, but FACS countries will also need to analyse the potential direct and indirect impacts of this. Guidance is provided in Section 5 of this ESMF. The country level analysis has informed the design of Funding Proposals for these countries.

2.4 Purpose and Scope of the ESMF

This ESMF is a 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). The ESMF will guide the E&S screening of all activities under Output 1 and 2, to ensure the environmental and social risks and impacts are fully assessed and management measures are in place prior to the implementation of the relevant project activities, including prior to the commencement of small works. The ESMF applies to all project activities, and should guide the screening, assessment and management of risks of all future project activities as they are defined. The ESMF is complimented by global and country-specific Stakeholder Engagement Plans (SEPs) and global and country-specific Gender Analysis and Action Plans (GAAP). Any changes to the ESMF during project implementation will need to be approved by UNDP and GCF. However, considering the framework approach and the ESS category C, any plans developed under Output 1 countries will be approved by UNDP. Compliance with ESMF, including ensuring that the subprojects are maintained as category C will be reported to GCF through Annual Performance Reports.

3 Relevant Legislation and Institutional Framework

This section provides a preliminary review of the applicable policy, legal and institutional framework in seven countries under Output 2. Environmental risks of activities in all these countries are low (please refer to each country's SESP). The overall project excludes from project support any activity requiring environmental clearance (ESIA/EIA preparation). As stated in the Exclusion Criteria of this ESMF (Table 2), activities requiring an ESIA, or considered Category A or B will not be considered for project support. Nevertheless, all activities will be required to apply any national regulatory permits that would apply to small works, as well as the GCF Indigenous Peoples Policy, in case these populations are involved. Please refer to Section 5 of this ESMF for more details. Further information about each country is included in each country's Funding Proposal and Feasibility Study and GAAP.

3.1 Ethiopia

3.1.1 The National Constitution

Adopted in 1995, the Ethiopian Constitution provides the framework for environmental protection and management in Ethiopia.

3.1.2 Environmental Laws and Regulations

3.1.2.1 *Environmental Policy of Ethiopia (1997)*

The environmental policy of Ethiopia is aimed at guiding sustainable social and economic development of the country through the conservation and sustainable utilization of the natural, man-made and cultural resources and the environment at large. The Environmental Policy provides a number of guiding principles that require adherence to the general principles of sustainable development.

3.1.2.2 *Environmental Impact Assessment Proclamation, No. 299/2002*

The Proclamation elaborates on considerations with respect to the assessment of positive and negative impacts and states that the impact of a project shall be assessed on the basis of the size, location, nature, cumulative effect with other concurrent impacts or phenomena, trans-regional context, duration, reversibility or irreversibility or other related effects of a project. Based on directives or guidelines pursuant to this proclamation, projects will be categorized as not likely to have negative impacts, and thus not requiring environmental impact assessment; and those likely to have negative impacts and thus requiring environmental impact assessment. The Proclamation is supported by the Environmental Impact Assessment Guideline (May 2000).

3.1.3 Disaster Preparedness Laws and Regulations

3.1.3.1 *National Policy and Strategy on Disaster Risk Management 2013*

The main objective of the Policy is to reduce disaster risks and potential damage caused by a disaster through establishing a comprehensive and coordinated disaster risk management system in the context of sustainable development.

3.1.4 Labour and OHS Laws and Regulations

3.1.4.1 *National Occupational Safety and Health (OSH) Policy and Strategy (2014)*

The overall objective of the national OSH Policy and strategy is to avoid, prevent or minimize occupational and health hazards by providing effective OSH services in all working places.

3.1.4.2 *Labour Proclamation 1156/2019*

This proclamation has recently been approved and repeals previous proclamations. The new proclamation sets up a Board to discuss the setting of minimum wages, increases the working age

from fourteen to fifteen years, sets maximum working hours including overtime, and offers more protection for workers including protections against discrimination and sexual harassment or assault.

3.1.5 Gender Laws and Regulations

The Constitution recognizes gender equality (Articles 25, 34, 35 and 40). The Constitution also accords women equal rights with men regarding the use, transfer, administration, and control over land (article 35 (7)). Article 35 states that women have the right to full consultation in the formulation of national development policies, the designing and execution of projects, and particularly in the case of projects affecting the interests of women. Moreover, the Constitution explicitly prohibits laws and customary practices that discriminate against women (article 35(4)).

3.1.5.1 *The National Policy on Ethiopian Women (1993)*

Focuses on improving the working and health conditions of women and protecting women from harmful traditional practices. It is also aimed at empowering women through enhanced access to education and land as well as other property rights and fostering the involvement in decision making.

3.1.6 IP-related Laws and Regulations

The Constitution recognizes the presence of different socio-cultural groups, including historically disadvantaged and underserved communities, pastoralists, and minorities, as well as their rights to socio-economic equity and justice. Article 39 of the Ethiopian Constitution recognizes the rights of groups identified as “Nations, Nationalities and Peoples”. They are defined as *“a group of people who have or share a large measure of common culture or similar customs, mutual intelligibility of language, belief in a common or related identity, a common psychological make-up, and who inhabit an identifiable, predominantly contiguous territory.”* The Constitution recognizes the rights of these Nations, Nationalities and Peoples to: self-determination, including the right to secession; speak, write and develop their own languages; express, develop and promote their cultures; preserve their history; and, self-government, which includes the right to establish institutions of government in the territory that they inhabit and equitable representation in state and Federal governments.

3.2 Somalia

The legislative framework in Somalia is still at a nascent stage and evolving; as such, there are limited laws and regulations.

3.2.1 Provisional Constitution of the Federal Republic of Somalia (2012)

The Constitution mandates equality for all citizens, regardless of sex, religion, social or economic status, political opinion, clan, disability, occupation, birth or dialect shall have equal rights and duties before the law. Article 14 stipulates that a person may not be subjected to slavery, servitude, trafficking, or forced labor for any purpose. Article 24 covers labour rights and states that every person has the right to fair labour relations; right to strike; form, join and participate in trade unions; and right to engage in collective bargaining on labour related issues. All workers, particularly women, have a special right of protection from sexual abuse, segregation and discrimination in the workplace. All labour laws and practices shall comply with gender equality in the workplace. Article 25 states that every Somali has the right to an environment that is not harmful to their health and wellbeing, and to be protected from pollution and harmful materials.

3.2.2 Environmental Laws and Regulations

3.2.2.1 *National Environmental Policy (2020)*

The National Environmental Policy has the stated goal of improving the health and quality of life of the Somali people and promotes the use of appropriate environmental assessment instruments.

3.2.3 Labour and OHS Laws and Regulations

3.2.3.1 *The Labour Code of 1972*

The Code includes guidance on work contracts, hours of work, procedures for termination, wages, grievances, freedom of association, etc. With regards to OHS, the employer is obligated to provide adequate measures for health and safety for protecting staff against related risks, including the provisions of a safe and clean work environment and of well-equipped, constructed and managed workplaces that provide sanitary facilities, water and other basic tools and appliances ensuring workers' health and safety. The Labor Code further forbids work for children below the age of 15 but allows employment of children between the age of 12-15 on the condition that the work is compatible with proper protection, health and the moral of children and in case where it is necessitated by special local conditions and technical requirements of the work. The Labor code forbids the employment of young persons below the age of 16 in work done on flying scaffolds or portable ladders in connection with construction activities. The Labor Code stipulates the right to equal pay for women and men.

3.2.4 Gender Laws and Regulations

3.2.4.1 *Somalia National Gender Policy (2016)*

Includes strategies to eradicate harmful traditional practices such as female genital mutilation and child marriage and to improve services for the management of GBV cases.

3.2.5 IP-related Laws and Regulations

In Somalia, the situation for Indigenous peoples and minority groups is complex. The country has a diverse social structure with various clans and minority groups, but there isn't a specific national policy for the development of Indigenous Peoples. Minority groups like the Bantu, Bravenese, Boon, Rerhamar, Bajuni, Eyle, Galgala, Tumul, Yibir, and Gaboye often face significant social, economic, and political marginalization. Somalia operates under a system of legal pluralism, where customary law (Xeer), religious law (Sharia), and secular law coexist. The rights of Indigenous peoples to their traditional lands, culture, and traditions are not formally recognized. Instead, these rights are governed by customary laws and practices, which vary between regions and communities. This can lead to disputes and marginalization of minority groups. Additionally, minority groups face numerous human rights challenges, including discrimination, exclusion, and lack of access to resources and services, worsened by ongoing conflict and instability.

3.3 Chad

3.3.1 *The Constitution of the Republic of Chad (1996, revised 2005)*

The Constitution stipulates that everyone has the right to a healthy environment (article 47) and that the State and communities must ensure the protection of the environment (article 48). The Constitution recognizes the promotion of gender and youth as a factor for achieving equality between men and women and the imperative of its consideration for sustainable human development.

3.3.2 Environmental Laws and Regulations

3.3.2.1 *National Environmental Action Plan (PNAE, 2005)*

Chad's environmental policy is implemented mainly through the PNAE, which defines the strategy of national environmental policy towards sustainable development. The PNAE is broken down into action programs, including the National Climate Change Adaptation Program (PNACC).

3.3.2.2 *Law on Environmental Protection Law 14 / PR / 98 of August 17, 1998*

This law defines the general principles of environmental protection in Chad. It includes 107 articles divided into 8 chapters. Its main objective is to establish the principles for the sustainable

management of the environment and its protection against all forms of degradation, in order to safeguard, enhance natural resources and improve the living conditions of the population. The law covers several aspects, including sustainable management and environmental protection; environmental education; protection of human settlements; protection of cultural and historical heritage and the biophysical environment; pollution and nuisances (waste and effluent, etc.), and environmental assessment and emergency plans.

In relation to the environmental assessment under Title VI of the Act, section 80 states that: *“Where, because of their size or their impact on the natural environment, there is a risk that any development, work or project may adversely affect the environment, the authority may require the petitioner or the contracting authority, the establishment of a preliminary impact assessment to assess their compatibility with environmental protection requirements.”*

[3.3.2.3 Decree 630/PR/PM/MEERH/2010](#)

This Decree regulates environmental impact assessments. The decree defines the categorization of projects as follows: A: projects that may have various and significant effects on the environment, requiring detailed investigations; these projects are subject to an Environmental Impact Assessment (EIA); B: projects which may have easily identifiable and limited effects on the environment and whose means of mitigation are generally known; these projects are subject to an Environmental Impact Notice; C: Projects with no significant environmental effects, for which neither an EIA nor an Impact Statement is required. There are two Orders connected to this Decree which provide a general guide for the implementation of an EIA and indicate the procedure to be followed for carrying out related consultations.

[3.3.3 Disaster Preparedness Laws and Regulations](#)

[3.3.3.1 National Strategy to Combat Climate Change in Chad \(2017\)](#)

Chad's priorities include:

- Inform, educate and communicate on climate risks and adaptation technologies.
- Support institutions to define adaptation priorities according to socio-economic sectors according to the needs of the population and promote inter-sectoral coherence, particularly during the development of the *National Adaptation Plan*.
- Development of a national awareness, information and training program on the climate change or support for existing programs.
- Need to inform and train the leaders and facilitators of provincial, local and communities on themes related to the adaptation of vulnerable groups to climatic changes.

[3.3.4 Labour and OHS Laws and Regulations](#)

[3.3.4.1 Law No. 038/PR/96 of 11 December 1996 on the Labour Code](#)

In Articles 48 to 51, this law makes the employment contract compulsory for any employee recruited, and Article 52 prohibits all work for children under the age of fourteen. Articles 231 and 232 make it compulsory to set up a health and safety committee for undertakings employing at least 50 employees.

[3.3.5 Gender Laws and Regulations](#)

[3.3.5.1 National Gender Policy: Decree No. 2035/PR/PM/MFPESN/2017](#)

The National Gender Policy vision is that from here to 2063, Chad will be a country free of all forms of gender inequality and inequities, all forms of violence where men and women have the same opportunity to access and control resources and participate equitably in decision-making bodies with a view to sustainable development. The country started the elaboration of the five-year action plan

2019-2023, which will be the translation of this policy in the medium term, and elaborated the National Strategy of Fight Against Gender-Based Violence (SNVBG).

3.3.6 IP-related Laws and Regulations

The Chadian government recognizes nomadic and transhumant pastoralists, particularly Arabs, Toubous, Daza and Peuls Mbororo, as "marginalized groups" and identifies them as such in the National Adaptation Plan and the National Gender and Climate Change Strategy. The National Livestock Development Plan (PNDE, 2009-2016) and the National Pastoral Development Strategy (SNPD, 2016) have produced a converging strategic and spatial planning framework, integrating pastoral hydraulics, climate change adaptation, pastoral development and environmental protection, in order to increase the livestock sector's contribution to national economic growth, poverty reduction and food security. This framework is also a roadmap for tackling the issues associated with these groups, whose way of life is on the margins of modern society. It is therefore important to emphasize the preservation of their languages, cultures, traditions and unique ways of life, while ensuring their integration into socio-economic development, for example by seeking to establish procedures for the legal recognition of the way of life of these communities, giving them legal rights, particularly with regard to land, basic social services and the management of natural resources, which are essential for their subsistence and the preservation of their cultural practices. However, there is no legal document that details rights of nomadic and transhuman pastoralists. Nomadic land issues are regulated by *Law 004* of 1959 (enacted during colonisation), which governs "pastoral lands". This was updated by a *Pastoral Code* in 2014.

3.4 Ecuador

3.4.1 Constitution of the Republic of Ecuador, 2008

Article 14 recognizes the rights of the population to live in a healthy and ecologically balanced environment that guarantees sustainability and the good way of living (*sumak kawsay*). Environmental conservation, the protection of ecosystems, biodiversity and the integrity of the country's genetic assets, the prevention of environmental damage, and the recovery of degraded natural spaces are declared matters of public interest.

Article 16 establishes the rights of all persons, individually or collectively, to free, intercultural, inclusive, diverse and participatory communication in all spheres of social interaction, by any means or form, in their own language and with their own symbols, as well as universal access to information and communication technologies.

Article 35 establishes the rights of priority persons and groups, which include elderly persons, girls, children and adolescents, pregnant women, persons with disabilities, persons in prison and those who suffer from disastrous or highly complex diseases. Victims of domestic and sexual violence, child mistreatment, natural or manmade disasters are also given priority. Article 47 ensures equal opportunities for persons with disabilities and their social integration.

Article 389, mandates the State to protect people from natural and man-made disasters, ensuring that risk management is integrated into the country's development plans.

3.4.2 Environmental Laws and Regulations

3.4.2.1 *Organic Environment Code (2017) and Regulation (2019)*

Regulates the environmental rights, duties and guarantees that are established in the Constitution. The Code establishes the environmental principles and regulations that will be followed in the country, and regulates the activities that could generate environmental impact or damage through norms that

promote respect for nature, cultural diversity and rights for current and future generations, as well as guaranteeing the equitable participation of people in conservation, protection and rehabilitation of nature, as well as its benefits. Article 23 establishes the Ministry of Environment as the country's environment responsible for planning, regulation, and control in this matter.

3.4.3 Disaster Preparedness Laws and Regulations

3.4.3.1 *Organic Law for the Comprehensive Management of Disaster Risk (2024)*

It regulates the processes for planning, organizing, and articulating policies and services for knowledge, forecasting, prevention, and mitigation; response and recovery in the face of emergencies, disasters, catastrophes, endemics, and pandemics; and regulates the functioning of the National Decentralized System for Comprehensive Disaster Risk Management, ensuring the safety and protection of people, communities, and nature against threats of natural and anthropogenic origin, with the objective of reducing disaster risk. Based on the Constitution, it will guarantee the direct exercise of the rights of individuals, peoples, and nationalities, especially priority attention groups, to whom preferential care will be provided.

3.4.3.2 *Organic Code of Territorial Organization, Autonomy, and Decentralisation*

This Code details the role and responsibilities of Local Governments. While it does not specify actions related to early warning systems, it does assign responsibilities related to disaster risk management

3.4.3.3 *Strategic Guidelines for Risk Reduction in Ecuador (2021)*

Provide a comprehensive framework for addressing the country's risk landscape. These guidelines are developed to effectively reduce vulnerabilities and enhance resilience across various sectors and territorial levels.

3.4.4 Labour and OHS Laws and Regulations

The Constitution protects workers' rights, including Articles 66 (prohibition of forced labor) and 326 (freedom of organization), 327, 328 (decent wages that cover at least the basic needs of the worker and their family, workers' participation in profits), and 329 (adoption of specific measures to eliminate discrimination affecting communities, peoples, and nationalities).

3.4.4.1 *The Labour Code (2005)*

The Code regulates the relationship between workers and employers. It establishes equal pay (Art. 79), prohibits children under 15 from working, and sets strict rules for the employment of minors (Chapter 7). It also mandates that employers ensure working conditions do not pose risks to the health or life of their workers and includes other safety and occupational health regulations (Art. 348 to 362).

Additionally, there is the Organic Law for Labor Justice and Recognition of Domestic Work (2015) and the Organic Law for the Promotion of Youth Employment, Exceptional Regulation of Working Hours, Severance, and Unemployment Insurance. These laws regulate youth employment and social security.

3.4.5 Gender Laws and Regulations

3.4.5.1 *Comprehensive Organic Law to Prevent and Eradicate Violence against Women (2018)*

Based on the Constitution, which guarantees women the adoption of measures to eliminate inequalities and discrimination, several regulations are identified. The topic of guarantees begins with the approval of the Organic Law of the National Equality Councils (2014), which includes the National Council for Gender Equality. This law establishes the institutional and regulatory framework, regulating the objectives, nature, principles, integration, and functions.

The Law establishes measures to prevent, punish, and eradicate violence against women in its various forms. Additionally, there are three recent laws aimed at addressing gender inequalities: *the Organic Law for Voluntary Termination of Pregnancy in Cases of Rape (2022)*, *the Organic Law for the Promotion of the Violet Economy (2023)*, and *the Organic Law on the Right to Human Care (2023)*. Other complementary legislations include *the Law for the Prevention of Workplace Harassment (2017)*, *the Human Mobility Law (2017)*, and *Executive Decree 696 (2019)*, which establishes the Bonus for Children and Adolescents in Situations of Orphanhood due to Femicide.

3.4.6 IP-related Laws and Regulations

Article 57 of the Constitution recognizes Indigenous peoples and outlines their rights. The Constitution recognizes the land and territory, ancestral possession, ancestral medicine, collective intellectual property, protection of ancestral knowledge, rights and the cultural heritage of Indigenous Peoples. As detailed in Article 57, Indigenous communes, communities, peoples and nations are recognized and guaranteed collective rights including their identity, feeling of belonging, ancestral traditions and forms of social organization; recognition and compensation for community groups affected by racism or other forms of intolerance and discrimination; ownership of their community lands; to free prior informed consultation on the plans and programs for prospecting, producing and marketing non-renewable resources located on their lands and which could have an environmental or cultural impact on them; to develop, apply and practice their own legal system or common law; to not be displaced from their ancestral lands; to uphold, protect and develop collective knowledge and preserve their cultural and historical heritage; to develop and strengthen the intercultural bilingual education system; to uphold organizations that represent them; to participate by means of their representatives in the official organizations established by law to draw up public policies concerning them, as well as design and decide their priorities in the plans and projects of the State, and to be consulted before the adoption of a legislative measure that might affect any of their collective rights, among other rights. Furthermore, the territories of peoples living in voluntary isolation are protected from all forms of extractive activities. The State shall adopt measures to guarantee their lives, enforce respect for self-determination and the will to remain in isolation and to ensure observance of their rights. The State shall guarantee the enforcement of these collective rights without any discrimination, in conditions of equality and equity between men and women.

3.4.6.1 *Organic Law of the National Equality Councils (2014)*

The Organic Law of the National Equality Councils includes the National Council for the Equality of Peoples and Nationalities, establishing the institutional and regulatory framework, regulating the objectives, nature, principles, integration, and functions. Additionally, there is the *Organic Law of Rural Lands and Ancestral Territories (2016)*, which recognizes and guarantees the rights, values, traditions, production methods, and cultural practices, both individual and collective, of indigenous communities, communes, peoples, and nationalities. It also recognizes the right to property and the conservation of community property, and the possession of their lands and ancestral territories.

3.4.6.2 *Intellectual Property Law, 2006*

This law recognizes, regulates, and guarantees intellectual property acquired through copyrights and related rights, industrial property, technological knowledge of cultural and productive sectors, and related matters, as well as plant varieties. This law does not limit or obstruct the rights enshrined by the Convention on Biological Diversity.

3.5 Antigua and Barbuda

3.5.1 Constitution of Antigua and Barbuda, 1981

The Constitution of Antigua and Barbuda states that everyone in the country is entitled to the fundamental freedoms and rights of the individual and prohibits discrimination on the grounds of race, place of origin, political opinions or affiliations, colour, creed, or sex.

3.5.2 Environmental Laws and Regulations

3.5.2.1 *Environmental Protection and Management Act (2019)*

The EPMA serves as the principal guiding policy for the Department of the Environment. It governs sustainable environmental protection and management to establish effective allocation of administrative responsibilities for environment management, coordination of environmental management, and the incorporation of international treaty obligations with respect to the environment into national and law related matters. The Act mandates pollution control and management, as well as the implementation of Environmental Impact Assessments.

The Department of Environment is mandated to coordinate government policies and activities related to sustainable development, climate change, and natural resources management. This includes a National Environmental Policy Framework, which incorporates assessments of climate change vulnerabilities and risks, along with considerations for social, human health, economic, and ecological aspects, including preserving biodiversity, and combating desertification.

3.5.2.2 *Physical Planning Act (2003)*

The Physical Planning Act serves as a regulatory framework for guiding physical development endeavours in Antigua and Barbuda, with the overarching goal of enhancing the quality of the physical environment. Through this legislation, the Development Control Authority is established as the governing body responsible for overseeing planning activities. The Act is designed to facilitate the systematic, efficient, and fair allocation and development of resources, considering social, economic, and environmental considerations to ensure the sustainable utilization of land. The Act plays a crucial role in promoting a balanced and resilient built environment that can withstand and mitigate the impacts of natural hazards.

3.5.2.3 *Sustainable Island Resource Management Zoning Plan (2011)*

This plan functions as a navigational tool for steering Antigua and Barbuda towards sustainable physical development by outlining measures to safeguard critical ecosystem services, thus mitigating environmental risks. Moreover, it advocates for the sustainable advancement of various sectors to bolster economic growth.

3.5.2.4 *National Solid Waste Management Act (1995)*

The National Solid Waste Management Act establishes the National Solid Waste Management Authority. The linkages with disaster risk management are evident within the responsibilities of the National Solid Waste Management Authority as outlined within the Act, which includes treatment and disposal of hazardous waste; and to prepare plans and programmes to address the problems of solid waste management.

3.5.3 Disaster Preparedness Laws and Regulations

3.5.3.1 *Disaster Management Act (2002)*

This legislation embraces a comprehensive approach by providing the necessary legal underpinning for the institutional framework governing disaster management. Key provisions of the Act include the

establishment of the National Disaster Preparedness and Response Advisory Committee, along with the framework for its subcommittees.

3.5.3.2 Emergency Powers (Hurricane, Earthquake, Fire or Flood) Act

This Act authorizes the Cabinet to declare a state of emergency following the occurrence of a hurricane, earthquake, fire or flood in Antigua and Barbuda. The Act further authorizes the Cabinet to make orders, such the acquisition and distribution of vital supplies, and the demolition of dangerous structures.

3.5.4 Labour and OHS Laws and Regulations

3.5.4.1 Antigua and Barbuda Labour Code

The Act stipulates that no employer shall discriminate with respect to any person's hire, tenure, wages, hours, or any other condition of work, by reason of race, colour, creed, sex, age or political beliefs. The Code establishes a minimum working age of 14 years and stipulates conditions for the employment of children between the ages of 14-18. The Code stipulates equal pay for both men and women and includes provisions to ensure the health and safety of workers.

3.5.4.2 Childcare and Protection Act 2004

The Act establishes a Child Protection Agency in Antigua and Barbuda and provides safety, care and protection for all children. It also ensures that child labour is not allowed.

3.5.4.3 Disabilities and Equal Opportunities Bill 2017

An Act to make provision for the protection of the rights of persons with disabilities and for connected matters. The objectives of the Act include improving the general standard of living for persons with disabilities; providing a clear national mandate to elimination discrimination; promoting equal fundamental rights for persons with a disability, and ensuring full and effective participation in all aspects of society.

3.5.5 Gender Laws and Regulations

The legal framework which protects women and girls from Gender-Based Violence in Antigua and Barbuda includes the Constitution, Acts of Parliament and rules from the common law. The domestic violence legislation provides protection from physical and sexual violence. However, there is no legislation which specifically deals with sexual harassment. However, the common law can be used to provide remedies to persons who are victims of sexual harassment in the workplace by reliance on the law of torts (duty of care) and the law of contract (breach of implied trust/constructive dismissal).

3.5.5.1 Domestic Violence Act 1999

This law governs domestic violence in Antigua and Barbuda. The Act seeks to reduce the incidences of domestic violence.

3.5.5.2 Sexual Offences Act 1995, amended 2004

The Act recognizes a wide range of offences and has provisions geared at offering greater protection to children and persons with mental disorders.

3.6 Fiji

3.6.1 The Constitution, 2013

The Constitution is the supreme law of the country (Article 2) and establishes Fiji as a secular, sovereign democratic State (Articles 1 and 4). The Constitution includes specific provisions recognizing the Indigenous people of Fiji and their ownership of customary land and relating to protection of the

environment. Article 40(1) provides that *“every person has the right to a clean and healthy environment, which includes the right to have the natural world protected for the benefit of present and future generations through legislative and other measures”*.

3.6.2 Environmental Laws and Regulations

3.6.2.1 *Environment Act, 2005*

Environmental management in Fiji is provided through the Environment Act and the accompanying regulatory instrument, the Environment Regulations (2007). Both are administered by the Department of Environment DOE within the Ministry of Local Government, Urban Development, Housing and Environment. The Environment Act provides for an integrated system of development control, environmental assessment, and pollution control. Section 4 of the Act requires that any proposed development activity that is likely to cause significant impact on the environment must undergo an environmental impact assessment (EIA) process which includes screening, scoping, preparation, reviewing and decision-making.

3.6.3 Disaster Preparedness Laws and Regulations

3.6.3.1 *National Disaster Risk Reduction and Management Act*

This legislation establishes a legal framework for disaster risk reduction and management in Fiji. It underscores the importance of early warning systems and outlines the responsibilities of relevant government agencies, communities, and individuals in disaster preparedness and response.

3.6.4 Labour and OHS Laws and Regulations

3.6.4.1 *Employment Relations Act 2007*

The Act includes the fundamental rights of all workers, including no discrimination on the grounds of ethnicity, colour, gender, religion, political opinion, national extraction, sexual orientation, age, social origin, marital status, pregnancy, family responsibilities, state of health including real or perceived HIV status, trade union membership or activity, or disability. The Act governs the terms and conditions of employment such as working hours, holidays, rest periods, wages, overtime, leave and termination of employment, etc. Based on the Act, there shall be equal pay for men and women for work of equal value. The minimum age of employment is 15 years, and there are specific provisions for workers age 15-18. The worst forms of child labour, including sale and trafficking of children are prohibited under this Act. Part 9 s76 details that all employers are required to develop and maintain a policy to prevent Sexual Harassment in the workplace.

3.6.4.2 *Health and Safety at Work Act 1996*

The Act provides clear objectives, obligations and functions which cover every workplace and sets out the roles of employers and workers regarding the occupational health and safety of workers.

3.6.5 Gender Laws and Regulations

3.6.5.1 *Domestic Violence Act 2009*

The Act aims to eliminate, reduce, and prevent domestic violence and to ensure the protection, safety and wellbeing of victims. It applies to domestic violence committed both in Fiji and overseas.

3.6.5.2 *National Policy on Sexual Harassment in the Workplace (2007)*

This Policy requires that each workplace establish a Sexual Harassment Monitoring and Evaluation System. The National Policy defines SH, employers' responsibilities, workers' responsibilities, complainants' statutory rights under the Human Rights Act 1999; the Penal Code (section 154); and the personal grievance procedure under the Employment Relations Promulgation 2007.

3.6.6 IP-related Laws and Regulations

The Constitution recognizes the Indigenous people or the iTaukei, their ownership of iTaukei lands, their unique culture, customs, traditions and language, as well as the Indigenous people or the Rotuman from the island of Rotuma, and their ownership of Rotuman lands, unique culture, customs, traditions and language. The Constitution includes a bill of rights, which includes rights of ownership and protection of iTaukei, Rotuman and Banaban lands (Article 28), a right to the protection of ownership and interests in land (Article 29) and environmental rights (Article 40). A number of statutes have been passed to support the iTaukei system of law, including the *iTaukei Affairs Act* (otherwise known as the Fijian Affairs Act); The *iTaukei Lands Act*; the *iTaukei Lands Trust Act* (otherwise known as the Native Land Trust Act 1940), and the *iTaukei Trust Fund Act 2004* (otherwise known as the Fijians Trust Fund Act).

3.7 Cambodia

3.7.1 The Constitution of the Royal Kingdom of Cambodia, 1993

The Constitution is the overarching legal framework for the country and guarantees all Khmer citizens the same rights regardless of race, color, language and religious belief. The constitution includes protections for social, Indigenous, gender rights and equality (articles, 36, 45). It also includes provisions for the protection of workers (article 75) and worker's rights to establish associations (article 42) and representative unions (article 36). It specifically prohibits all forms of discrimination against women (article 45). On environment, article 59 requires the State to protect the environment and balance of abundant natural resources and establish a precise plan of management of land, water, air, wind, geology, ecological system, mines, energy, petrol and gas, rock and sand, gems, forests and forestry products, wildlife, fish and aquatic resources and it is within this constitutional context that the Ministry of Environment (MOE) was established.

3.7.1.1 *Law on the Protection and Promotion of the Rights of Persons with Disabilities 2009 (Royal Kram NS/RKM/ 0709/010)*

The goal of the law is to protect and promote the rights of persons with disabilities in the country, and prevent, reduce and eliminate discrimination against persons with disabilities. The law also seeks to ensure that persons with disabilities are able to participate fully and equally in activities within society and provide equal opportunities for employment.

3.7.2 Environmental Laws and Regulations

3.7.2.1 *Law on Environmental Protection and Natural Resources Management, 1996*

The law requires the government to prepare national and regional environmental plans and sub-decrees concerning a wide range of environmental issues, including EIAs, pollution prevention and control, public participation, and access to information.

3.7.2.2 *Sub-Decree on Environmental Impact Assessment Process #72 ANRK.BK (1999)*

This Sub-decree sets out the current statutory requirements for Environmental Impact Assessment (EIA) process for private or public projects, including providing avenues for public participation (in particular Prakas on Public Participation in the EIA Process 2017). It sets out the minimum requirements for the nature and size of projects and activities (both existing and proposed) that shall be subject to EIAs.

3.7.3 Disaster Preparedness Laws and Regulations

Cambodia has a legal framework to regulate and govern emergency preparedness and response action, specifically the Law on Disaster Management (DM). This law entrusts the National Committee for Disaster Management (NCDM) with the leadership and coordination of all disaster management

activities and allocating resources to various institutions in the country at the national level. According to the DM Law, the subnational disaster management committee is responsible if a disaster occurs within its territory. The NCDM will intervene when support is requested and if the subnational committee cannot manage the disaster.

3.7.4 Labour and OHS Laws and Regulations

3.7.4.1 *Labour Law*

This is the overarching legal instrument that regulates and protects workers in Cambodia. The law governs relations between employers and workers. The law prohibits discrimination in any form, including by sex, religion, social origin, or ethnicity (art 12). Employers are required to make available a copy of the Law to workers at all business locations/ operations (art 15) and forced compulsory or the hiring of workers to pay off debts is prohibited (art 16). Article 106 reaffirms equal conditions and wage for all work regardless of origin, age and sex for the same types of work.

The allowable minimum age for wage employment is set at 15 years (art 177). Children from 12-15 years of age can be hired under specific provisions only. Chapter eight of the Labor Law covers the health and safety of workers and requires maintaining standards of hygiene and sanitation in working environments and requirements for individual protective instrument and work clothes, lighting and noise levels (art.229).

3.7.4.2 *Prakas on the Prohibition of Hazardous Child Labour (MoSALVY #106, April 28, 2004)*

The Prakas prohibits the employment of anyone under the age of 18 in any of the 38 scheduled hazardous works / activities listed in the Prakas.

3.7.5 Gender Laws and Regulations

3.7.5.1 *Law on the Prevention of Domestic Violence and Protection of Victims, 2005*

This law aims to protect women's rights and promote gender equality by addressing and preventing domestic violence.

3.7.6 IP-related Laws and Regulations

3.7.6.1 *National Policy on the Development of Indigenous Peoples (2009)*

The Policy sets out government policies related to Indigenous peoples in the fields of culture, education, vocational training, health, environment, land, agriculture, water resources, infrastructure, justice, tourism, industry and mines and energy. It is an umbrella document that defines principles for formal registration of indigenous communities as legal entities with their own bylaws and enables their participation in economic development that affects their lives and cultures. The Policy calls for the conduct of impact assessments for all infrastructure projects affecting indigenous peoples.

3.7.6.2 *Policy on Registration and Right to Use of Indigenous Communities (2009)*

This policy takes as its basis the recognition in the Land Law of 2001, of the right of indigenous communities to possess and use land as their collective ownership.

3.8 UNDP's Social and Environmental Standards

The project will comply with UNDP's [Social and Environmental Standards](#) (SES), which came into effect in January 2015. The SES underpin UNDP's commitment to mainstream social and environmental sustainability in its Programmes and Projects to support sustainable development. The objectives of the standards 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
- Ensure full and effective stakeholder engagement, including through a mechanism to respond to complaints from project-affected people

The SES are an integral component of UNDP's quality assurance and risk management approach to programming. This includes the [Social and Environmental Screening Procedure](#) (see the completed SESP for the project in Annex 6a of the global project proposal).

The SESP was finalised during project preparation, as required by UNDP's Social and Environmental Standards (SES). The overall SESP risk categorization for the project is Low. Through the GCF Accreditation Process, the SES are acknowledged to be consistent with the GCF's Environment and Social Standards.

4 Potential Environmental and Social Risk Impacts and Mitigation Measures

UNDP uses its Social and Environmental Screening Procedure (SESP) to identify potential social and environmental risks and opportunities associated with proposed projects. The SESP for the project (see Annex 6a of the global project proposal) details the specific environmental and social risks that apply. Based on the significance of the individual risks, the project has been allocated an overall SESP risk categorization rating of Low. Low risk is defined by UNDP's SES²⁰ as *"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.

The identification of risks has been done following UNDP procedures (explained in detail in Section 5) and with the following guidance in mind:

- **Do Not Assume Away Risks** - Impact and probability have been rated as if mitigation measures will not be applied, thinking *"worst case scenario"*.
- **Rate Risks Appropriately** - Risk significance levels have not been under-estimated – to be accurate, the most likely risk levels have been identified.
- **Categorize Based on Highest Risk** - The overall categorization has been accurately assigned by using the highest individual risk rating.

As can be seen in Table 1, the rationale for the low risk rating is based on the fact that the project is primarily focused on establishing the necessary frameworks to disseminate Early Warnings effectively. Some minor small works activities have also been identified in Output 2 countries, though specific locations have not been identified and this ESMF will thus guide that process (see Section 5). Small works are envisioned to be small-scale infrastructure, such as small hydrometeorological observation stations that carry small footprints that will need to be sited, small bore-holes to be used for water monitoring (not extraction), or repairs or small upgrades to buildings, such as waterproofing and installing toilets. The repairs/upgrade/installation or set up of these would be site-specific and contained, with small and lead limited, predictable, site-specific impacts that can be readily addressed through standard mitigation measures. These impacts would mainly include limited pollution, waste and, risks of Occupational Health and Safety (OHS). The project excludes activities from project financing which require an ESIA/ESMP or which would have a GCF Category A or B rating and this is noted in the Exclusion List (Table 2). This ESMF includes an assessment of all these risks and proposes mitigation measures, including through an Environment and Social Code of Practice (ESCOP) which would guide the implementation of small works. There will be no displacement of people or their livelihoods as a result of project interventions. No installation or works will be done in sites of cultural, historical or environmental importance and as such no biodiversity impacts are expected. New installations will be sited on government property or public areas free of encumbrances, with existing access so that O&M operations do not require crossing private lands, biodiversity areas or other zones that would pose any impact to the environment, workers or communities (including zones where there are ongoing conflicts). As a result of limited numbers of staff, consultants and workers implementing project activities, there could also be some potential, as well as potential risks (expected to be low risks) of Gender Based Violence (GBV)/Sexual Harassment (SH). Preventing SEAH guidance has been provided in the ESMF (Section 5).

²⁰ UNDP Social and Environment Standards, Updated Procedure 2019 (effective from Jan 1, 2021), page 57.

Table 1. Summary of current identified project-wide risks and proposed mitigation measures as identified in the SESP

Risk	Triggered by	Rating	Relevant SES Principle or Standard	Mitigation Measure
<p>Risk 1: The project does not consider the needs of all communities, including marginalized groups and people with disabilities, or situations of conflict, leading to the exclusion of these groups.</p>	<p>All project activities, in particular dissemination strategies for EWs, trainings of local authorities and grassroots organizations, small works (Output 2), and knowledge sharing (Output 1).</p>	<p>Low</p>	<p>Leave No one Behind</p> <p>Human Rights</p> <p>Accountability</p>	<p>The project mainstreams the need to target vulnerable and marginalised groups in all Outputs.</p> <p>Project-wide Stakeholder Engagement Plan (SEP)</p> <p>Country-level SEPs under Output 2 that specifically identify vulnerable groups and ways to engage with them, including situations of conflict.</p> <p>Project-wide GRM with accessibility considerations described in this ESMF and the global SEP. Country-level GRMs under Output 2 described in the country-level SEPs.</p> <p>SES staff hired during project preparation and implementation at the global and country level.</p>
<p>Risk 2: The project does not consider specific gender vulnerabilities leading to a lack of understanding of how early warnings and disasters are experienced by different groups, and a lack of gender equity in the project's activities.</p>	<p>All project activities, in particular dissemination strategies for EWs, trainings of local authorities and grassroots organizations, small works (Output 2), and knowledge sharing (Output 1).</p>	<p>Low</p>	<p>Gender Equality and Women's Empowerment</p>	<p>The project is cognizant that women frequently bear the brunt of disasters, and that early-warning systems should address the full range of hazards faced by communities, including women.</p> <p>Project-wide Gender Analysis and Action Plan (GAAP).</p> <p>Each country under Output 2 has developed a Gender Analysis and Action Plan (GAAP) outlining gender norms, legislation, barriers and opportunities in each country, including with a specific focus on early warnings and disasters. An action plan with detailed gender targets, based on the gender analysis and the specific country activities, also forms part of the GAAP.</p> <p>Consultations during project design have included a specific focus on gender and ensuring that women's groups are</p>

				consulted to better understand challenges and opportunities.
Risk 3: Duty-bearers do not have the capacity to meet their obligations in the Project, leading to safeguards measures not being properly implemented.	All project activities	Low	Sustainability and Resilience Accountability	Addressed through project design, including robust technical assistance. SES and Gender staff hired during project preparation and implementation at both the global and country level. More specific details in country-level SESP as risk vary by country.
Risk 4: Climate change and potential disasters could create challenges for project implementation, including the operations and maintenance of EWS hardware.	All project activities, in particularly any small works under Output 2.	Low	Standard 2	Addressed through project design. ESMF and ESCOP include guidance on how to assess and manage OHS risks for construction and O&M activities.
Risk 5: Lack of OHS and other safety measures during small infrastructure works and/or O&M could lead to injuries of workers or the community carrying out O&M.	Small works under Output 2	Low	Standard 3 Standard 7	ESMF and ESCOP include guidance on how to assess and manage OHS risks for construction and O&M activities. More specific details in country-level SESP as relevant to context.
Risk 6: Consultants and/or other workers may pose a low risk of Gender Based Violence/Sexual Harassment during project outreach activities or when installing/repairing small infrastructure.	Activities including trainings, conduct of assessments, consultations, small works under all Outputs. Labor influx (i.e. outsiders – whether project staff, consultants or workers – coming in to villages and small towns) will be extremely low.	Low	Standard 3 Gender Equality and Women's Empowerment	SEAH framework implemented for all project Outputs (see Section 5.4) Codes of Conduct of appropriate behaviour (Annex 1) included in all contracts of project workers. Induction training on GBV/SH for all workers. GBV/SH sensitive GRM at the global and country level
Risk 7: Project activities related to the collection, archiving, processing, management and delivery of data may include the	Information dissemination in all Outputs, in particular EW messages	Low	Standard 3	Addressed through project design, including implementing best practice on data privacy.

handling of personal information, leading to data privacy risks.				
Risk 8: Project EWS hardware may involve land requirements, which could lead to the involuntary acquisition of land and negative impacts for affected people.	Small works under Output 2	Low	Standard 5	<p>There will be no involuntary land acquisition in the project.</p> <p>ESMF includes guidance on location of hardware so that it is done in locations that are considered public land without encumbrances and there are no affected people (regardless of their land rights).</p> <p>ESMF also includes clear ineligibility criteria that would exclude any location that would impact people's land use (regardless of land rights).</p> <p>E&S screening form and detailed guidance is included in the ESMF.</p>
Risk 9: The project does not consider specific the needs and vulnerabilities of Indigenous leading to the exclusion of these groups from the project's benefits.	All project activities	Low	Standard 6	<p>The project has been sensitively designed to ensure the needs of Indigenous peoples are considered and integrated.</p> <p>While Indigenous peoples have been identified in some of the seven countries under Output 2, no negative impacts to IPs have been identified and therefore stand-alone Indigenous Peoples Plan (IPP) have not been prepared, but considerations for meaningful consultation have been included in the relevant country-level SEPs.</p> <p>The country-level SEPs include information about Indigenous peoples and how to include them in stakeholder engagement activities in each particular country, including through their representatives.</p> <p>During project implementation, if adverse or beneficial impacts to IPs are identified, IPP plans will need to be prepared following guidance in the IPPF.</p>

				<p>Accessible global and country-level GRMs.</p> <p>SES staff at the global and country-level.</p>
Risk 10: Use of child or forced labor in the small infrastructure activities.	Small works under Output 2	Low	Standard 7	Follow ESMF guidance and implement ESCOP which covers minimum age for workers of 18 years and sound labour rights for all workers and prohibition of child or forced labour.
Risk 11: Project EWS hardware may involve small scale and limited infrastructure such as upgrading or installation of hydrologic monitoring equipment, water storage tanks, small improvements to existing buildings (such as waterproofing or installing toilets), which could lead to dust, noise or improper waste management.	Small works, with very limited physical footprint, under Output 2	Low	<p>Standard 8</p> <p>Standard 1</p>	<p>An Environment and Social Code of Practice (ESCOP) including waste management guidelines, has been developed and shall be followed for all goods and equipment procured, as well as for all small works. Best practice will be followed in marine areas as specified in country-specific SESP as applicable.</p> <p>ESMF includes guidance on how to assess impacts of potential activities.</p> <p>ESMF includes exclusion criteria to rule out activities that would be carry risks that would require the preparation of an ESIA, ESMP or require environmental permits.</p>

5 Procedures for Screening, Assessing and Managing Social and Environmental Impacts

As mandated by UNDP's SES, the project will adopt a mitigation hierarchy to:

- a) Anticipate and avoid risks and impacts;
- b) Where avoidance is not possible, minimize or reduce risks and impacts;
- c) Once impacts have been minimized or reduced, mitigating them,
- d) Where residual adverse impacts remain, compensating for or offsetting them where feasible.

The project is focused on Early Warnings and as such E&S impacts are small. The project has taken a proactive approach and ensured there is ample consideration of the needs of minority and vulnerable groups in project design, and this is further strengthened with the country-specific Stakeholder Engagement Plans (SEPs) and Gender Analysis and Action Plans (GAAPs). Small works under the project will be guided by the implementation of Environment and Social Codes of Practice (ESCOP) as explained below. Moreover, the project adopts a two-tiered safeguards structure to ensure consistent management of environmental and social risks while remaining responsive to existing contextual differences across the geographic scope of the programme. The ESMF also provides guidance for Output 2 countries in cases where activities have not been fully identified and need to be re-screened during project implementation. This process is further explained below.

5.1 Screening for E&S risks

E&S screening following the SESP has already been done at the project preparation stage. A global SESP has been prepared as well as country-specific SESP. Activities have been confirmed to have low risks only and the GAAP, SEP, this ESMF and project design have included adequate mitigation measures. For small works, which carry low risks, the ESCOP (Annex 3) is considered to be an appropriate mitigation document. During project implementation, it is recommended that works under Output 2 are re-screened for E&S risk, including SEAH risks and risks to Indigenous Peoples, to ensure only activities with low E&S risks are supported by the project. In the unlikely event impacts on IPs are found, consultation on this would be required with UNDP and GCF, and stand-alone IPPs will need to be prepared in line with Annex 6 of this ESMF. This would require approval by UNDP and GCF.

5.1.1 Exclusion Criteria

The first step when selecting activities for project support is to check these against the Exclusion Criteria below. This ensures that activities funded under the project will not have any moderate, substantial or high environmental or social risk, will not trigger a Category A or B rating for GCF, will not result in land acquisition impacts of any kind, and will not impact Indigenous peoples.

Table 2: Activities Excluded from Project Support

- | |
|---|
| <ul style="list-style-type: none">• Any activity with moderate or significant environmental and social risks and impacts that would trigger a Category A or B rating in GCF and would require an Environmental and Social Impact Assessment (ESIA) or Environment and Social Management Plan (ESMP) based on national legislation, UNDP SES or Green Climate Fund E&S Policy.• Any construction in any proposed or existing protected areas or priority areas for biodiversity conservation, as defined in national law• Activities that have the potential to cause loss or degradation of critical natural habitats, whether directly or indirectly, or which would lead to adverse impacts on natural habitats• Activities that involve harvest and sale/trade of forest resources (post, timber, bamboo, charcoal, wildlife, etc.) for large-scale commercial purposes• Activities involving changing forestland into agricultural land or logging activities in primary forest |
|---|

²¹ For further information, refer to the UNDP Social and Environmental Screening Procedure (SESP) July 2022.

Thus, the process for risk screening and assessment can be summarized as shown in Figures 2 and 3.

Figure 2: Screening and Assessment Process for Output 1 activities²²

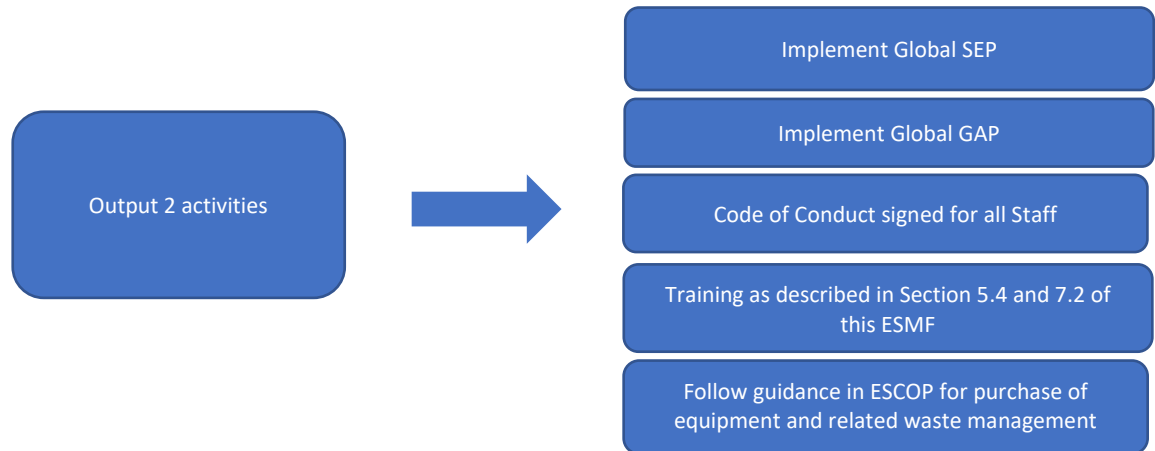
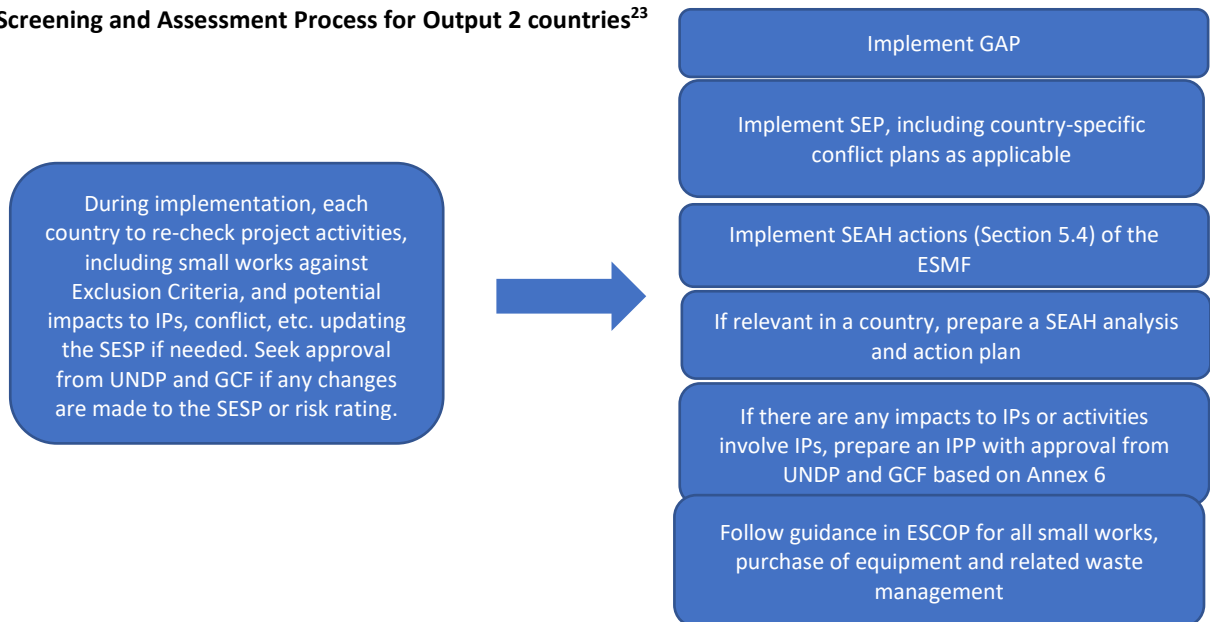


Figure 3: Screening and Assessment Process for Output 2 countries²³

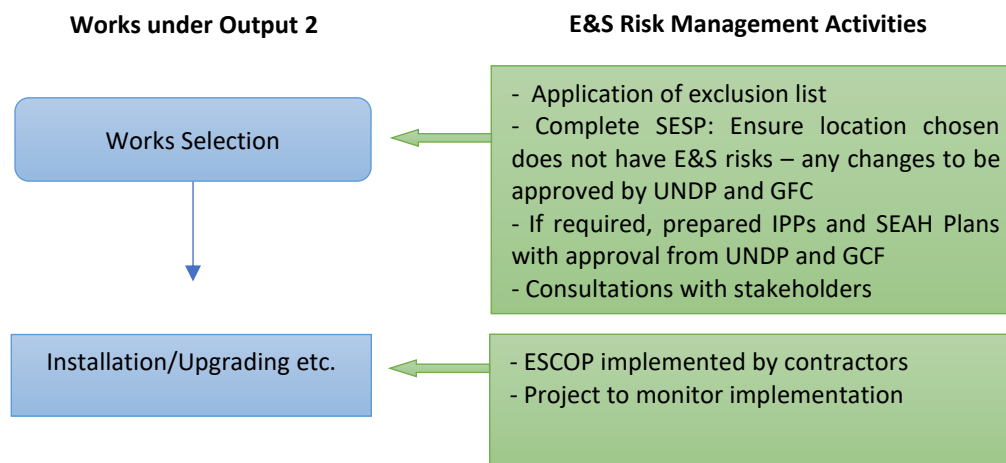


Any works under Output 2 which require construction contractors to be hired, should include the ESCOP as part of the bidding documents for contractors.

²² Responsibility for Output 1 rests with the Global PMU. Please refer to Table 4 in Section 7 of this ESMF.

²³ Responsibility for Output 2 rests with country-level arrangements as described in each Funding Proposal (FP) and further detailed in country-specific SEPs and GAAPs. Please refer to each country FP and to Table 4 in Section 7 of this ESMF.

Figure 4: Summary of actions for Small Works



5.2 Gender-Based Violence (GBV) and Sexual Exploitation and Abuse and Harassment (SEAH)

The project's activities include working with grassroots organizations, conducting consultations, training of selected community members and small works. There is a low likelihood, that these workers (staff, consultants, small works contractors) could pose a risk of GBV/SEAH to communities. Note that the small nature of the works, in particular in remote areas, are unlikely to cause significant influx of outsiders. Nevertheless, workers could still pose a risk to women, albeit if low, and these risks may be more pertinent depending on the country context, which is further explored in the country-level SESP. Likewise, some countries' activities may involve the upgrading of buildings used in emergencies (such as by waterproofing or building toilets). During times of emergency, risks of GBV/SEAH may be exacerbated with large groups of people in close quarters. These risks have been taken into account in this ESMF and informed by the GAAP for each country, the SEP and the Codes of Conduct that are part of this ESMF.

Table 3: SEAH Framework for all Project Outputs

SEAH Risk	Action to address SEAH risk	Timeline	Responsible Body	Monitoring
Risk of SEAH as a result of country context or project activities is deemed moderate or higher as per the UNDP SESP	Not eligible for project support	N/A	N/A	N/A
Risks of SEAH as a result of low labor influx during consultations, small works and other project activities	Disseminate information, in collaboration with GBV partners, on GBV referral pathway and the importance of timely seeking services	During implementation	Global and National-level PMUs Implementing Partners at the country-level	Ongoing reporting
Risks of SEAH as a result of low labor influx during	GRM includes multiple channels to initiate a complaint, including specific considerations for SEAH	During implementation and in particular	Global and National-level PMUs	Ongoing monitoring and

consultations, small works and other project activities		prior to small works and/or training activities commencing	Implementing Partners at the country-level	reporting on GRM to verify it is working as intended.
Risks of SEAH as a result of low labor influx during small works	Clearly define the SEAH requirements and expectations in the bidding documents for contractors.	Procurement	National level PMU	Reviewed by UNDP
Risks of SEAH as a result of low labor influx during consultations, small works and other project activities	Code of Conduct on SEAH required for all workers, contractors and consultations that will have a physical presence in the sites/communities	Procurement	Global and National-level PMUs	Reviewed by UNDP
Risks of SEAH as a result of low labor influx during small works	ESCOP includes appropriate mitigation actions	Implementation	Global and National-level PMUs	Review by UNDP
Risks of SEAH as a result of low labor influx during consultations, small works and other project activities	<p>Develop Training Materials/key messages for project workers sensitization, community awareness and for sensitization targeting Project management and Contractor management</p> <p>Training materials should include at least the following topics:</p> <ul style="list-style-type: none"> • Definition of GBV, SEAH and how the project can exacerbate/contain GBV • Roles and responsibilities of project stakeholders. • Project staff Code of Conduct (CoC) • Case reporting mechanism, accountability structures, and referral procedures within agencies and for community members to report cases related to project staff; and • Services available for survivors of GBV. 	At the start of the project	Global and National-level PMUs	Training and communication materials developed, and strategies developed.
Risks of SEAH as a result of low labor influx during small works	Have project workers and local community undergo training on SEA/SH.	Implementation	Global and National-level PMUs Implementing partners Contractors, Consultants	Ongoing reporting
Risks of SEAH as a result of low labor influx during small works	<p>Implement appropriate project-level activities to reduce SEAH risks prior to civil works commencing such as:</p> <ul style="list-style-type: none"> • If needed, have separate, safe 	Prior to works commencing	Contractor	Ongoing reporting.

	<p>and easily accessible facilities for women and men working on the site. Locker rooms and/or latrines should be in separate areas, well-lit and include the ability to be locked from the inside.</p> <ul style="list-style-type: none"> • Visibly display signs around the project site (if applicable) that signal to workers and the community that the project site is an area where SEA/SH is prohibited. • As appropriate, ensure public spaces around the project grounds are well-lit. 			Reviews during implementation support missions.
--	--	--	--	---

6 Stakeholder Engagement and Information Disclosure

6.1 Stakeholder Engagement

Continued engagement with stakeholders is a key element of the project, both at a global and national policy level, down to the community level in order to achieve the aim of Early Warnings reaching all. While the stakeholders engaged in the project and their nature of involvement varies somewhat country to country, there are common themes across countries. Active engagement with groups that represent more vulnerable segments of the population is a priority, for example, with a focus especially on engaging women, Indigenous Peoples, peoples with disabilities and other marginalized groups (as relevant in each country), as participants in, and beneficiaries of, project activities.

The stakeholder engagement process has so far included multinational inception and validation workshops, in-country consultations and follow-up interactions to define each country's climate change challenges in the context of EWs, capacity gaps and barriers, project activities, and potential risks. These extensive bilateral consultations have involved central government agencies, nongovernment organizations, relevant development partners, and community representatives. At the country level, consultations have been conducted with national-level stakeholders, NGOs, potential project partners, and, where possible, organization for people with disabilities, Indigenous Peoples organizations, women organizations, refugees and Internally Displaced People (IDPs), among others. Field work has been conducted at the country level to engage directly with local stakeholders and this is well documented in the country-level SEPs and GAAPs. The project will continue to engage with stakeholders through the governance structures established by the project, and through existing structures at national and subnational levels. Specific information is included in each country's SEP.

6.2 Considerations for Indigenous Peoples

Project activities are not considered to affect the rights, lands, resources or territories of Indigenous peoples. The SEPs for relevant countries under the project's Output 2²⁴ include information about relevant Indigenous Peoples and considerations. Indigenous Peoples may be part of broader consultations and, in addition, consultations addressed specifically to Indigenous Peoples will also be made, tailored to their needs and characteristics, including language, infrastructure challenges and customary rules, etc. to meaningfully consult them in project activities so that they can benefit from receiving EWs in a way that is appropriate and culturally relevant for them. During project implementation, if adverse or beneficial impacts to IPs are identified, IPP plans will need to be prepared following guidance in the IPPF (Annex 6).

6.3 Information Disclosure

As part of the stakeholder engagement process, UNDP's SES require that project stakeholders have access to relevant information. Specifically, the SES 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, summary reports of stakeholder consultations;
- Social and environmental screening reports with project documentation;
- Social and environmental assessments, including draft management plans and monitoring reports;
- The project's grievance redress mechanism.

²⁴ Output 2 will specifically focus on seven countries – Antigua and Barbuda, Cambodia, Chad, Ecuador, Ethiopia, Fiji, and Somalia – to roll out national level investment activities to address country and local level needs to achieve the EW4All target. See Section 2 of this ESMF.

Disclosure of SES-related documentation occurs both centrally and at the local level. For this project, the SESP is annexed to the Global Proposal and the ESMF, GAAPs and SEPs will be disclosed and consulted with stakeholders.

Project information should be disclosed in a way that is appropriate to the different range of stakeholders. Translation of key documents may be required. For example, under Output 2, during project preparation countries will be translating at minimum executive summaries of SES documents, including the SEP. During project implementation, Output 2 countries will ensure translation and disclosure of documents relating to E&S risks of activities, the grievance mechanism and, most importantly, information relating to early warnings which is the crucial focus of the project. This is detailed in the country-level SEPs.

6.4 Grievance Redress

Stakeholders who may be adversely affected by a UNDP project can communicate their concerns about the social and environmental performance of the project. Potentially affected stakeholders are informed about available entry points for submitting their concerns as part of the stakeholder engagement process.

Given the multi-country nature of the project, there will be a project-wide GRM under the global PMU, and country-specific GRMs which are described in each country's SEP.

In general, the GRMs will:

- (i) Receive and address any concerns, complaints, notices of emerging conflicts, or grievances alleging actual or potential harm to affected person(s) arising from the project's social or environmental performance;
- (ii) Assist in the resolution of grievances between and among project stakeholders;
- (iii) Conduct itself at all times in a flexible, collaborative, and transparent manner aimed at problem solving and consensus building.

The functions of the GRMs will be to:

- (i) Receive, log and track all grievances received;
- (ii) Process and propose solutions and ways forward related to specific grievances within a timely period as described in the country-level SEPs;
- (iii) Identify trends in grievances and recommend possible measures to avoid these;
- (iv) Provide regular status updates on grievances to Claimants, Project Board (PB) members and other relevant Stakeholders, as applicable;
- (v) Collaborate with Partner Institutions and other NGOs, CSOs and other entities to conduct out-reach initiatives to increase awareness among Stakeholders as to the existence of the GRM and how its services can be accessed;

Each country under Output 2 will set up a GRM to respond to grievances. The GRM Committee will be made of members of the Project Board as determined in each country. This is detailed in the global and country-level SEPs.

A Grievance can be sent by any individual or group of individuals that believes it has been or will be harmed by the Project due to its social or environmental impacts. The GRM shall maintain a flexible

approach with respect to receiving Grievances in light of known local constraints with respect to communications and access to resources for some Stakeholders. A Grievance can be transmitted to the GRM by any means available (i.e. by email, letter, phone call, meeting, SMS, etc.). All Grievances and reports of conflict will be received, assigned an ID number, acknowledged to Claimant, recorded electronically, and subject to periodic updates to the Claimant as well as the office file.

6.4.1 Project-level GRM

In addition to the country-specific SEPs, complaints related to the E&S performance of the overall project can be submitted to the project-level GRM managed by the global-level Project Management Unit (PMU). Contact details will be provided/updated during project implementation once the PMU has been set up.

The global PMU will set up a GRM Committee consisting of the following staff:

- Safeguards, Gender and Inclusivity (SGI) expert
- Communications Expert
- Project Manager

The following stages apply to the Global project. Specific GRMs for each country under Output 2 are detailed in the country-specific SEPs. Complaints submitted to the project GRM will not impede access to the country's legal redress system. Specific contact information will be updated and disseminated once the project PMU is set up.

6.4.1.1 Stage 1

The SGI expert in the PMU shall be responsible for managing the project-level GRM. Within one (1) week of receiving a Grievance, the SGI will send a written acknowledgement to Claimant of the grievance received with the assigned ID number and this shall be tracked in the GRM Log Book (see Annex 5). Within the same week, the SGI will notify the GRM Committee of the receipt of the grievance. The GRM Committee will determine whether they can respond to the grievance directly, or whether they need to consult the project's Technical Advisor, Senior Advisors or individuals drawn from the Project Board and/or their respective institutions to develop a response to the grievance. In cases where a complaint may be related to one of the countries under Output 2, the GRM Committee may decide to refer the complaint to that country-specific GRM and inform the Claimant of this.

The objective of all investigative activities is to develop a thorough understanding of the issues and concerns raised in the Grievance and facilitate consensus around a proposed solution and way forward. The GRM Committee members will procure the cooperation of their respective staff with the investigation. At any point during the investigation, the GRM Committee members may determine that an onsite field investigation is necessary to properly understand the Grievance and develop an effective proposed solution and way forward. At any point after receiving a Grievance and through to implementation of the proposed solution and way forward, the GRM Committee members may seek the technical assistance and/or an advisory opinion from any entity in the country which may reasonably be believed to be of assistance.

The GRM Committee will promptly engage the Claimant and any other relevant Stakeholders deemed appropriate, to gather all necessary information regarding the grievance. Through the GRM Committee, the GRM will have the authority to request from relevant government institutions any information (documents or otherwise) relevant to resolving the grievance and avoiding future grievances of the same nature. In all communications with the Claimant and other stakeholders, the GRM will be guided by its

problem-solving role, non-coercive principles and process, and the voluntary, good faith nature of the interaction with the Claimant and other stakeholders.

The GRM Committee will submit a resolution to the Claimant within a period not to exceed thirty (30) days from receipt of the grievance. The GRM Committee members will communicate to the Claimant one or more proposed actions or resolutions and clearly articulate the reasons and basis for proposed way forward. If the Claimant does not accept the resolution, the GRM Committee members will engage with the Claimant to provide alternative options. If the Claimant is satisfied with the resolution (and/or any adjustments agreed as necessary), the grievance can be closed and noted in the log book. However, if the Claimant is not satisfied, the grievance shall be referred to Stage 2.

6.4.1.2 Stage 2

In Stage 2 the GRM Committee submits the grievance, including details from the resolution proposed under Stage 1, to the Project Board for their consideration. The Project Board will consider the matter following similar procedures than in Stage 1 and propose a resolution to the Claimant within a period not to exceed sixty (60) days from receipt of the grievance. If the Claimant is satisfied with the resolution (and/or any adjustments agreed as necessary), the grievance can be closed and noted in the log book. However, if the Claimant is not satisfied, he/she has the right to pursue further redress via UNDP's Stakeholder Response Mechanism (SRM) (see Section 5.5.2). At any stage a Claimant may file a complaint with UNDP's Social and Environmental Compliance Review Unit (see Section 5.5.1).

6.4.2 Project-level GRM SEAH Considerations

Any grievance related to a complaint of SEAH needs to be managed confidentially through the following process. A survivor-centred approach is followed under which:

- The safety of the survivor shall be ensured at all times. Potential risks to the survivor will be identified and action taken 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, where possible these adjustments will alter the alleged perpetrator work schedule and environment rather than the survivor.
- All actions should reflect the choices of the survivor, but this does not stop the programme deciding on disciplinary measure relating to the alleged perpetrator.
- 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 specific consent.
- The survivor must provide informed consent to progress with each stage of the complaints process. Survivors may withdraw their consent during the process at any time. If this occurs, depending on the nature of the complaint and available information, the programme may be able to continue disciplinary procedures without the survivor's consent.

Complaints of SEAH can be received by:

- The existing channels of the GRM Process
- Specific channels as detailed for Output 2 countries in the respective country-level SEP

6.4.2.1 Step 1: Receiving and Gathering information on Complaint

The person who received the complaint will:

- Document and register the allegation.

- Refer the case to the SEAH Focal person in the PMU. The SEAH Focal person is the Safeguards, Gender and Inclusivity (SGI) expert.

The SEAH Focal person will explain the SEAH complaints and reporting process to the survivor including:

- That they (the survivor) can choose whether they want to make a formal complaint

That if they choose to make a formal complaint:

- They control whether and how information about the case is shared with other agencies or individuals;
- All information will be kept confidential. Only those who will respond to the case will be told about their complaint / situation;
- They can change their mind and withdraw their consent at any time. Depending on the nature of the complaint and the information available, while the survivor's participation in the process will stop, the PMU may continue disciplinary proceeding against the alleged perpetrator.

Information about the complaint will be kept confidential. All information should not identify the survivor, perpetrator or include any other information that will identify the survivor or perpetrators of a specific situation.

The SEAH Focal Point should be the only person to communicate with the survivor. This communication should include:

- Responding to any questions or concerns from the survivor
- Ensuring that the survivor has received appropriate support
- Asking for the survivor's consent at each stage in the process
- Gathering any further information that may be required from the survivor
- Explaining that where the allegation involved a criminal offence the survivor should consider going to the Police

The survivor will be provided ongoing feedback on the development and outcome of their case

6.4.2.2 Step 2: Assessing if the Allegation is likely linked to the project

The SEAH Focal Point will determine the likelihood of the allegation being linked to the project. If the allegation is determined to be likely linked to the project, the GCF will be notified within 48 hours of the determination being made of a) the nature of the allegation; b) if the alleged perpetrator is, to the survivor's best knowledge, associated with the project (yes/no); c) the survivor's age and/or sex (if available); and d) if the survivor was referred to services.

No further information, including name and contact details of the survivor or alleged perpetrator would be shared (except in the context of referral for services or verification, with the consent of the survivor).

6.4.2.3 Step 3: Verification and Action

If an allegation is determined to be likely linked to the project, the SEAH Focal Point will convene the ad-hoc SEAH Grievance Committee to review the complaint and decide on the verification process within 48 hours of determining that the allegation is likely linked to the project. The goal of the verification is to:

- Assess the likelihood that the incident occurred.
- Recommend disciplinary measures towards the alleged perpetrator of SEAH.

The SEAH Grievance Committee will be formed on an ad hoc basis where verification and action is required. It will be composed of:

- Members of the PMU's GRM Committee
- Relevant expertise depending on the nature of the complaint and the country (for instance, relevant country ministry, NGO or referral service)

All verification steps and meetings must be documented with information kept confidentially.

6.4.2.4 Step 4: Document and Monitor Complaints of SEAH

As for other complaints within the GRM system, each individual complaint of SEAH will be documented and registered and regularly reported to the PMU/Board. However, for SEAH complaints these reports should be numerical only and not contain any information with the potential of being identified, including names and contact details of survivors, their families, or of alleged perpetrators.

For cases of SEAH the project shall endeavour to ensure that timely services and redress for SEAH survivors includes, as appropriate, medical care, psychosocial support, legal assistance, community-driven protection measures, and reintegration services.

6.5 UNDP's Accountability Mechanism

In addition to the project and country-specific GRMs, UNDP's Accountability Mechanism is also accessible to project stakeholders. UNDP has in place:

- A Social and Environmental Compliance Review Unit (SECU) to respond to claims that UNDP is not in compliance with applicable environmental and social policies of a project; and
- A Stakeholder Response Mechanism (SRM) that ensures individuals, peoples and communities affected by projects have access to appropriate grievance resolution procedures for hearing and addressing project-related complaints and disputes.

6.5.1 Social and Environmental Compliance Unit (SECU)

SECU responds to complaints that UNDP may not be meeting its social and environmental commitments. Any person or community who believes the environment or their wellbeing may be affected by a UNDP-supported project or programme may file a complaint. A representative, such as a civil society organization, may also file a complaint on behalf of affected communities. People who file complaints may request that SECU protect their names and identities.

6.5.2 Stakeholder Response Mechanism (SRM)

UNDP's Stakeholder Response Mechanism (SRM) helps project-affected stakeholders, governments and others partners jointly resolve concerns and disputes. It is available when the project-level stakeholder engagement processes has not successfully resolved issues of concern. The UNDP Country Office management normally leads the SRM, with support from UNDP headquarters. The request must relate to the UNDP-supported project and a possible environmental or social impact, and identify how the Requestors have been, or may be, adversely affected by the UNDP project or programme.

If a person or community has a concern about the ability of the UNDP Country Office to respond fairly and effectively to the request, they have the option to file the request directly with the Stakeholder Response Mechanism at UNDP Headquarters in New York. Requests can be sent to the SRM through the Internet or through the mail.

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

6.6 GCF's Independent Redress Mechanism

The Independent Redress Mechanism (IRM) addresses complaints by people who believe they are negatively affected or may be affected by projects or programmes funded by the Green Climate Fund (GCF). More information can be found here: <https://irm.greenclimate.fund/about>

7 Institutional Arrangements and Capacity Building

7.1 Roles and responsibilities for implementing this ESMF

The roles and responsibilities of project staff and associated agencies in the implementation of this ESMF is described below. This ESMF does not cover the roles and responsibilities associated with implementation of IPPs, if those were needed. Those would be defined if/when IPPs are developed.

7.1.1 EW4All Global project

UNDP will be the Executing Entity of the EW4All and will be responsible for the overall project. It will collaborate with the EW4All pillar leads in the provision of technical assistance and support. The global implementation arrangement will comprise of a Project Board or Project Steering Committee (PSC) comprised of representatives of the Pillar Leads (WMO, UNDRR, ITU and IFRC) who have co-developed this project. Among others, the PB/PSC will have oversight for implementation of E&S activities under the project and compliance with the SES and this ESMF, including the GRM. A global Project Management Unit (PMU) will be constituted within UNDP for the overall project coordination, oversight and monitoring, including implementation of E&S activities. The PMU will comprise of full time and part-time staff including a Project Manager (PM), Technical Advisor, Monitoring Evaluation and Learning Officer, a part-time Communications Expert, and a part-time Safeguards, Gender and Inclusivity Expert (SGIE).

The Project Manager will run the project on a day-to-day basis on behalf of the Project Board. The Project Manager's prime responsibility is to ensure that the project produces the results specified in the project document, to the required standard of quality and within the specified constraints of time and cost, as well as compliance with E&S measures laid out in the project documents including this ESMF. In this regard, the PM will be supported by the SGI expert.

The PM, via the SGIE expert, will ensure that the consultancies, studies (including feasibility studies, if applicable), capacity building, training, and any other technical assistance activities under the Project are carried out in accordance with this ESMF and the SESP. The PM, via the SGIE, will also have oversight over the activities carried out in specific projects under Output 2. The SGIE will have overall responsibility for implementation of E&S activities under the project and compliance with the SES and this ESMF, including responsibility for the global GRM, training and support to National Safeguards Gender and Inclusivity Experts (NSGI) in each of the seven Output 2 countries. Please see Table 4 for more details. The project's full implementation arrangements are detailed in the EW4All global proposal.

7.1.2 Country-Specifics under Output 2

Each country under Output 2 will have their own national mechanisms in place and these are detailed in each country's EW4All proposal. Broadly, there will be a Project Board at the national level in each country comprised of the Disaster Risk Management Agencies (NDMA) and the NDA for GCF. As the Senior Beneficiary, the implementing partner will be part of the board. Furthermore, as the Senior Supplier, UNDP, including through its Country and Regional Teams, will provide three tier quality assurance for the project and ensure adherence to the guidelines for the implementation modality. The Project Board will be responsible for making, by consensus, management decisions when guidance is required by the National Project Manager.

The Implementing Partner (IP) for the project will be the relevant ministry housing the NDMA or the NMHS. The IP will be accountable to the respective UNDP-CO for managing the project, including the monitoring and evaluation of project interventions, achieving project outcomes, the effective use of UNDP

resources, and ensuring SES commitments are met – including the implementation of this ESMF. A national Project Management Unit (PMU) will be constituted. The PMU will comprise of full time and part-time staff including a National Project Manager (NPM), Technical Advisor, Monitoring Evaluation and Learning Officer, a part-time Communications Expert, and a part-time National Safeguards, Gender and Inclusivity Expert (NSGI). The National Project Manager will run the project on a day-to-day basis on behalf of IP. The National Project Manager is responsible for day-to-day management and decision-making for the project, including compliance with E&S measures laid out in the project documents including this ESMF. In this regard, the NPM will be supported by the NSGI expert. Among others the NSGI will be responsible for implementation of E&S activities under the project in their specific country and compliance with the SES, in line with the ESMF, and country-specific SESP, SEPs and GAAPs, as well as ensuring the ESCOP is implemented in any small works. The NSGI will also manage their national-project GRM, and other responsibilities as outlined in Table 4.

The NPM, via the NSGI expert, will ensure that the consultancies, studies (including feasibility studies, if applicable), capacity building, training, small works and any activities under the Project are carried out in accordance with this ESMF and the SESP.

The table below summarizes the roles and responsibilities regarding the implementation arrangements for environmental and social management.

Table 4: Implementation Arrangements for the ESMF

Responsible Party	Roles and Responsibilities
Project Steering Committee	<ul style="list-style-type: none"> - Oversight for implementation of E&S activities under the project and compliance with the SES and this ESMF, including the GRM
Global PMU (led by SGIE and overseen by PM)	<ul style="list-style-type: none"> - Overall responsibility for implementation of E&S activities under the project and compliance with the SES and this ESMF - Responsible for global-project GRM, including recording complaints in logbook - Report to UNDP on a bi-annual basis on SES implementation - Ensure all global-level workers have signed Codes of Conduct - Ensure implementation of the SEAH Plan at the global and national levels - Oversight, training and support to National level SGIs - Ensure activities in Output2 countries, particularly small works yet-to-be identified, follow this ESMF and conduct E&S screening, apply the exclusion criteria and implement the ESCOP - Ensure changes to the ESMF (if any) are submitted to UNDP and GCF for approval
National-level PMU (led by NSGI and overseen by NPM)	<ul style="list-style-type: none"> - Responsible for implementation of E&S activities under the project and compliance with the SES, in line with the ESMF, and country-specific SESP - Responsible for national-project GRM, including recording complaints in logbook - Ensure E&S screening of project activities as mandated by this ESMF, applying exclusion criteria and implementing ESCOP - Oversee overall implementation and monitoring of environmental and social mitigation and management activities in line with the ESMF and compile progress reports to submit to the Global PMU on a biannual basis (or more if required). - Train central and field staff and contractors who will be responsible for implementing the ESMF and ESCOP. - Ensure all national-level workers have signed Codes of Conduct - Ensure implementation of the SEAH actions and prepare country-specific SEAH plan if require - Ensure that bidding and contract documents include all relevant E&S management provisions per screening forms, ESCOP.

	<ul style="list-style-type: none"> - Monitor the implementation of the ESMF and ESCOP. - Any responsibilities on the GAAP or SEP as described in the country-specific documents. - Apply ESCOP waste management procedures for purchase of project equipment - If activities involve IPs, prepare IPPs with approval from UNDP and GCF
Local contractors for small works	<ul style="list-style-type: none"> - Comply with the Project's environmental and social mitigation and management measures as specified in site specific ESCOPs as well as national and local legislation. - Take all necessary measures to protect the health and safety of workers and community members, and avoid, minimize, or mitigate any environmental and social harm resulting from project activities.

7.1.3 UNDP

UNDP is accountable to the GCF 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 performs the quality assurance and supports the Project Board and Project Management Unit by carrying out objective and independent project oversight and monitoring functions including compliance with the risk management and social and environmental standards of UNDP. UNDP will need to approve any changes, as well as country-specific plans prepared if needed (IPPs, SEAH Plans) to mitigate risks of activities under Output 2 before small works begin.

7.2 Capacity Building

The proposed training and capacity building approach is described in Table 5 below:

Table 5: Proposed Training and Capacity Building

Level	Responsible Party	Audience	Topics/Themes that May Be Covered
Global level	UNDP E&S staff	SGIE consultant recruited under the project.	<ul style="list-style-type: none"> - UNDP SES - Implementation of the ESMF, including identification, assessment and management of E&S risks - Functioning of the GRM - Codes of Conduct, GBV/SEAH
National level	NSGI consultant recruited under the project with support from UNDP staff if needed	NSGI consultant recruited under the project.	<ul style="list-style-type: none"> - UNDP SES - Implementation of the ESMF, including identification, assessment and management of E&S risks - Implementation of ESCOP, including waste management - Functioning of the GRM - Implementation of GAAP, SEP and IPP if/as applicable - Functioning of the GRM - Codes of Conduct, GBV/SEAH
Contractors	NSGI consultant recruited under the project, with support of Global SGIE if needed	Local contractors	<ul style="list-style-type: none"> - Application of ESCOPs - Application of GRM - Codes of Conduct, GBV/SEAH - OHS measures
Community level	NSGI consultant and Local contractors	Community members responsible for O&M	<ul style="list-style-type: none"> - Application of ESCOPs, as relevant, including waste management - Basic OHS measures and Personal Protective Equipment - Codes of Conduct, GBV/SEAH - Grievance Redress Mechanism

8 Monitoring and Evaluation

Progress on ESMF implementation will be documented in the biannual project implementation reports, such as compliance with Codes of Conduct, waste management measures and result of screening. If IPPs are prepared, these plans will specify their own monitoring and evaluation parameters and will need prior approval by UNDP and GCF.

The SGIE will provide oversight and support to the NSGI. NSGI will keep the SGIE up to date on any changes or updates to project E&S plans, grievance redress and implementations of the GAAP, SEP and ESCOP.

Monitoring is the method of ensuring mitigation measures are being implemented and are effective. Table 5 describes general monitoring aspects which should be included in project reporting.

Table 6: Monitoring Milestones

Monitoring Activity	Frequency / Timeframe	Responsibility
Codes of Conduct signed by workers/ consultants	Biannually as part of project reporting	SGIE and NSGI
ESCOP waste management measures implemented for all goods purchased	Biannually as part of project reporting	SGIE and NSGI
Social and environment screening of small works updated/confirmed for Output 2 countries	When small works are confirmed and being designed	NSGI, to submit to SGIE for approval
SEAH Plan activities conducted under Output 2	Biannually as part of project reporting	NSGI, with oversight from SGIE
ESCOP included in bidding documents	Before bidding for small works	NSGI, with oversight from SGIE
ESCOPs waste, pollution and OHS measures implemented in all small works	Biannually as part of project reporting	NSGI, with oversight from SGIE
Grievance Redress Mechanism	Biannually as part of project reporting	GRM Committees
Implementation of GAAP and SEP	Biannually as part of project reporting	NSGI, with oversight from SGIE
Annual project quality assurance, including reporting of E&S implementation	Annually	UNDP to be submitted to GCF

9 Timeline and Budget for ESMF Implementation

Implementation of the ESMF, in particular aspects that are mainstreamed such as inclusion of vulnerable groups, stakeholder consultations and implementation of the Gender Action Plan are already included in the both the project and country-level budgets and available as part of the Global and country-specific proposals.

Table 7: Breakdown of costs for ESMF implementation

Item	Timeline	Budget Cost (USD)
E&S Screening	When small works are finalized (Output 2)	As part of global project budget, SES staff will be hired to oversee the whole project. As part of country-level budgets, SES staff will be hired at the country level.
Waste management measures in ESCOP	Before purchase of goods	As part of country-level budgets and implementation of limited small works.
OHS, waste management and other measures in ESCOP	For small works	As part of small works budgets that contractors will need to put in place.
Training and signing of Codes of Conduct	When workers are hired	None
Implementation of GAAP and SEP	As per GAAP and SEP	See country-level GAAP and SEP for details.
Implementation of SEAH Plan	During the conduct of Output 2 activities	As part of global project budget SES staff will be hired for overall project oversight. As part of country-level budgets with SES staff hired at the country level with responsibility for these aspects. As part of country-level budgets and implementation of limited small works.
Preparation of IPPs under Output 2	In any country with activities which will involve and/or impact IPs	\$30,000 per IPP which would be included as part of activity costs which triggered the need for the IPP, and this would be detailed in the country-level proposals.
Monitoring	As per monitoring schedule	As part of global project budget SES staff will be hired to oversee all Outputs and as part of country-level budgets, SES staff will be hired at the country level.

ANNEX 1: Codes of Conduct

This is a sample Code of Conduct (CoC) that can be used for all project workers. This CoC can be adjusted by the project as needed.

I, _____, acknowledge that preventing Gender Based Violence (GBV) and Sexual Harassment (SH) is important. I also acknowledge that it is my duty to be respectful to others and their views.

I acknowledge that actions constituting GBV/SH constitute acts of gross misconduct. Prosecution by the Police of those who commit GBV/SH may be pursued if appropriate.

I agree that **while working or taking part in activities supported by the Project** I will:

- a. If asked, consent to a background check in any place I have worked for more than six months.
- b. If offered, attend and actively partake in training courses related GBV/SH as requested by UNDP or WHO.
- c. Treat women, children (persons under the age of 18), and men with respect regardless of ethnicity, color, language, religion, political or other opinion, national, ethnic or social origin, property, disability, birth or other status.
- d. Not use language or behavior towards women, children or men that is inappropriate, harassing, abusive, sexually provocative, demeaning or culturally inappropriate.
- e. Not sexually exploit or abuse other participants, staff or anyone relating to the Project and/or members of the surrounding communities.
- f. Not engage in sexual harassment of participants, work personnel and staff—for instance, making unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature is prohibited: i.e. looking somebody up and down; kissing, howling or smacking sounds; hanging around somebody; whistling and catcalls; in some instances, giving personal gifts.
- g. Not engage in sexual favors—for instance, making promises of favorable treatment (i.e. promotion), threats of unfavorable treatment (i.e. loss of job) or payments in kind or in cash, dependent on sexual acts—or other forms of humiliating, degrading or exploitative behavior.
- h. Not use prostitution in any form at any time.
- i. Not participate in sexual contact or activity with children under the age of 18—including grooming or contact through digital media. Mistaken belief regarding the age of a child is not a defense. Consent from the child is also not a defense or excuse.
- j. Unless there is the full consent²⁵ by all parties involved, I will not have sexual interactions with fellow participants, colleagues or members of the surrounding communities. This includes relationships involving the withholding or promise of actual provision of benefit (monetary or non-monetary) to community members in exchange for sex (including prostitution). Such sexual activity is considered “non-consensual” within the scope of this Code.
- k. Consider reporting through the GRM or to my manager any suspected or actual GBV/SH by a fellow worker, whether employed by UNDP or not, or any breaches of this Code of Conduct.
- l. Respectfully consider the views of others, without reprisals (violence, threats, etc.)

²⁵ **Consent** is defined as the informed choice underlying an individual’s free and voluntary intention, acceptance or agreement to do something. No consent can be found when such acceptance or agreement is obtained using threats, force or other forms of coercion, abduction, fraud, deception, or misrepresentation. In accordance with the United Nations Convention on the Rights of the Child, the project establishes that consent cannot be given by children under the age of 18, even if national legislation of the country into which the Code of Conduct is introduced has a lower age. Mistaken belief regarding the age of the child and consent from the child is not a defense.

- m. If I am a worker hired by the Project, I understand that if I breach this Code of Conduct, the project can take disciplinary action which could include²⁶:
- a. Informal or formal warning.
 - b. Additional training.
 - c. Suspension or termination of employment
 - d. Report to the Police if warranted.

I understand that if I am participating in the Project, and breach this Code of Conduct, I may be asked to not participate in any further Project-supported activity.

I do hereby acknowledge that I have read the Code of Conduct, and agree to comply with the standards contained therein and understand my roles and responsibilities to prevent and respond to GBV/SH issues.

Signature: _____
Printed Name: _____
Title: _____
Date: _____

²⁶ This will need to be in line with each country's legislation.

ANNEX 2: Screening and Assessment Based on UNDP's SESP

Step 1: Exclusion Criteria

- Any activity with moderate or significant environmental and social risks and impacts that would trigger a Category A or B rating in GCF and would require an Environmental and Social Impact Assessment (ESIA) or Environment and Social Management Plan (ESMP) based on national legislation, UNDP SES or Green Climate Fund E&S Policy.
- Any construction in any proposed or existing protected areas or priority areas for biodiversity conservation, as defined in national law
- Activities that have the potential to cause loss or degradation of critical natural habitats, whether directly or indirectly, or which would lead to adverse impacts on natural habitats
- Activities that involve harvest and sale/trade of forest resources (post, timber, bamboo, charcoal, wildlife, etc.) for large-scale commercial purposes
- Activities involving changing forestland into agricultural land or logging activities in primary forest
- Purchase or use of banned/restricted pesticides, insecticides, herbicides, and other dangerous chemicals (banned under national law and World Health Organization (WHO) category 1A and 1B pesticides)
- Any activity that would cause disturbance to asbestos should be avoided.
- No new materials with ACMs should be used.
- Activities that involve the use of international waterways
- Any activity affecting physical cultural heritage such as graves, temples, churches, historical relics, archeological sites, or other cultural structures
- Activities that may cause or lead to forced labor or child abuse, child labor exploitation or human trafficking, or subprojects that employ or engage children under the age of 18
- Any activity on land that has disputed ownership or tenure rights
- Any activity that will cause land acquisition or involuntary resettlement
- Any activity that will involve physical relocation of households or will require the use of eminent domain
- Any activity that would impact lands or natural resources subject to traditional ownership or under customary use or occupation of Indigenous peoples
- Any activity that would cause the relocation of Indigenous peoples from lands and natural resources subject to traditional ownership or under customary use or occupation
- Any activity that would impact the cultural heritage – tangible or intangible – of Indigenous peoples
- Any activity that would trigger the requirement for Free, Prior and Informed Consent (FPIC) based on the UNDP SES
- Weapons, including but not limited to mines, guns, ammunition, and explosives
- Support of production of any hazardous good, including alcohol, tobacco, and controlled substances

Step 2: Social and Environment Screening Checklist

Checklist Potential Social and Environmental Risks	
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.	
Overarching Principle: Leave No One Behind Human Rights	Answer (Yes/No)
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)?	

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?	
P.3	Is there a risk that rights-holders (e.g. project-affected persons) do not have the capacity to claim their rights?	
<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?	
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	
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?	
P.7	exacerbation of conflicts among and/or the risk of violence to project-affected communities and individuals?	
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)?	
<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?	
P.10	reproducing discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	
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>	
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>	

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.

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?
P.14	grievances or objections from potentially affected stakeholders?
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?
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>
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?
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)
1.4	risks to endangered species (e.g. reduction, encroachment on habitat)?
1.5	exacerbation of illegal wildlife trade?
1.6	introduction of invasive alien species?
1.7	adverse impacts on soils?
1.8	harvesting of natural forests, plantation development, or reforestation?
1.9	significant agricultural production?
1.10	animal husbandry or harvesting of fish populations or other aquatic species?
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>
1.12	handling or utilization of genetically modified organisms/living modified organisms? ¹⁷
1.13	utilization of genetic resources? (e.g. collection and/or harvesting, commercial development) ¹⁸
1.14	adverse transboundary or global environmental concerns?
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.

2.1	areas subject to hazards such as earthquakes, floods, landslides, severe winds, storm surges, tsunami or volcanic eruptions?	
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>	
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>	
2.4	increases of greenhouse gas emissions, black carbon emissions or other drivers of climate change?	
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)	
3.2	air pollution, noise, vibration, traffic, injuries, physical hazards, poor surface water quality due to runoff, erosion, sanitation?	
3.3	harm or losses due to failure of structural elements of the project (e.g. collapse of buildings or infrastructure)?	
3.4	risks of water-borne or other vector-borne diseases (e.g. temporary breeding habitats), communicable and noncommunicable diseases, nutritional disorders, mental health?	
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)?	
3.6	adverse impacts on ecosystems and ecosystem services relevant to communities' health (e.g. food, surface water purification, natural buffers from flooding)?	
3.7	influx of project workers to project areas?	
3.8	engagement of security personnel to protect facilities and property or to support project activities?	
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?	
4.2	significant excavations, demolitions, movement of earth, flooding or other environmental changes?	
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)	
4.4	alterations to landscapes and natural features with cultural significance?	
4.5	utilization of tangible and/or intangible forms (e.g. practices, traditional knowledge) of Cultural Heritage for commercial or other purposes?	
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)?	

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)?	
5.3	risk of forced evictions? ¹⁹	
5.4	impacts on or changes to land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	
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)?	
6.2	activities located on lands and territories claimed by indigenous peoples?	
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>	
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?	
6.5	the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	
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>	
6.7	adverse impacts on the development priorities of indigenous peoples as defined by them?	
6.8	risks to the physical and cultural survival of indigenous peoples?	
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>	
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?	
7.2	working conditions that may deny freedom of association and collective bargaining?	
7.3	use of child labour?	
7.4	use of forced labour?	
7.5	discriminatory working conditions and/or lack of equal opportunity?	
7.6	occupational health and safety risks due to physical, chemical, biological and psychosocial hazards (including violence and harassment) throughout the project life-cycle?	

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

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

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?	
8.2	the generation of waste (both hazardous and non-hazardous)?	
8.3	the manufacture, trade, release, and/or use of hazardous materials and/or chemicals?	
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>	
8.5	the application of pesticides that may have a negative effect on the environment or human health?	
8.6	significant consumption of raw materials, energy, and/or water?	

Step 3: Impact and Significance of a Risk Based on Screening

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). <i>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</i> ¹⁵
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 3. Rating the 'Likelihood' of a Risk

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

Table 4. Determining 'Significance' of Risk

Impact	5	M	S	S	H	H
	4	L	M	S	S	H
	3	L	M	M	M	S
	2	L	L	L	M	M
	1	L	L	L	L	L
		1	2	3	4	5
Likelihood						
Low, Moderate, Substantial, High						

Ensure the mitigation hierarchy is being applied and adjust activities, and re-screen, if needed:

- Anticipate and avoid risks and impacts;
- Where avoidance is not possible, minimize or reduce risks and impacts;
- Once impacts have been minimized or reduced, mitigating them,
- Where residual adverse impacts remain, compensating for or offsetting them where feasible.

Step 4: Risk Level (based on Screening and Assessment)

Based on above, a project will be categorized as Low, Moderate, Substantial on High Risk, based on the highest level of significance across all potential risk levels.

- **Low Risk:** Projects that include activities with minimal or no adverse social or environmental risks and/or impacts. However, the SES Programming Principles and stakeholder engagement requirements still apply to project activities. *In the context of this project, an ESCOP would be appropriate.*
- **Moderate Risk:** Projects that include activities with potential adverse social and environmental risks and impacts that are few in number, limited in scale, 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. *In the context of this project, such activities are excluded from project support.*
- **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 include individual risks rated as “Substantial”. Substantial Risk projects may also include those with a varied range of risks rated as “Moderate” that require more extensive assessment and management measures. While the type of assessment methodology for Substantial Risk projects will vary depending on the nature of the risks and type of project, generally a scoped, fit-for-purpose Environmental and Social Impact Assessment (ESIA) would be needed to analyze the range and interactions of potential risks and impacts. Similarly, for Substantial Risk projects that promote plans and policy reforms that may lead to adverse social and environmental risks and impacts, a scoped Strategic Environmental and Social Assessments may be required. *In the context of this project, activities that would trigger the need for an ESIA or ESMP are excluded from project support.*
- **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. High Risk projects may have the potential to aggravate existing situations of fragility or conflict, adversely affect human rights and/or lead to extensive environmental degradation. Comprehensive forms of assessment and management plans are required. *In the context of this project, activities with a high risk would be excluded from project support.*

Based on Steps 1-4 above, complete the SESP template (below is the latest July 2022 version).

Step 5: 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.

Project Information

Project Information	
1. Project Title	
2. Project Number (i.e. Atlas project ID, PIMS+)	
3. Location (Global/Region/Country)	
4. Project stage (Design or Implementation)	
5. Date	

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?
<i>Briefly describe in the space below how the project mainstreams the human rights-based approach</i>
<i>Briefly describe in the space below how the project is likely to improve gender equality and women's empowerment</i>
<i>Briefly describe in the space below how the project mainstreams sustainability and resilience</i>
<i>Briefly describe in the space below how the project strengthens accountability to stakeholders</i>

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
<i>Risk Description (broken down by event, cause, impact)</i>	<i>Impact and Likelihood (1-5)</i>	<i>Significance (Low, Moderate Substantial, High)</i>	<i>Comments (optional)</i>	<i>Description of assessment and management measures for risks rated as Moderate, Substantial or High</i>
Risk 1:	I = L =			Ensure the response also clarifies the budget and responsible entity.
Risk 2	I = L =			Ensure the response also clarifies the budget and responsible entity.
[add additional rows as needed]				
QUESTION 4: What is the overall project risk categorization?				
<div>Low Risk</div> <input type="checkbox"/>				
<div>Moderate Risk</div> <input type="checkbox"/>				
<div>Substantial Risk</div> <input type="checkbox"/>				
<div>High Risk</div> <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				
<div>Is assessment required? (check if "yes")</div> <input type="checkbox"/>				
<div>if yes, indicate overall type and status</div> <div> <input type="checkbox"/> Targeted assessment(s) </div> <div> <input type="checkbox"/> ESIA (Environmental and Social Impact Assessment) </div> <div> <input type="checkbox"/> SESA (Strategic Environmental and Social Assessment) </div>				
<div>Are management plans required? (check if "yes")</div> <input type="checkbox"/>				
<div>if yes, indicate overall type</div> <div> <input type="checkbox"/> Targeted management plans (e.g. Gender Action Plan, Emergency Response Plan, Waste Management Plan, others) </div>				

		<input type="checkbox"/>	ESMP (Environmental and Social Management Plan which may include range of targeted plans)	
		<input type="checkbox"/>	ESMF (Environmental and Social Management Framework)	
	Based on identified <i>risks</i>, which Principles/Project-level Standards triggered?		Comments (not required)	
	Overarching Principle: Leave No One Behind			
	Human Rights	<input type="checkbox"/>		
	Gender Equality and Women's Empowerment	<input type="checkbox"/>		
	Accountability	<input type="checkbox"/>		
	1. Biodiversity Conservation and Sustainable Natural Resource Management	<input type="checkbox"/>		
	2. Climate Change and Disaster Risks	<input type="checkbox"/>		
	3. Community Health, Safety and Security	<input type="checkbox"/>		
	4. Cultural Heritage	<input type="checkbox"/>		
	5. Displacement and Resettlement	<input type="checkbox"/>		
	6. Indigenous Peoples	<input type="checkbox"/>		
	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.

ANNEX 3: Environment and Social Codes of Practice

Introduction to the ESCOP

This Environment and Social Codes of Practice intends to provide a handy guidance for the Multi-Country Proposal Early Warnings for All (EW4All) project to manage risks and impacts relating to waste management, Occupational Health and Safety (OHS) and limited pollution of procurement of goods and small works in line with UNDP's Social and Environmental Standards (SES). This document is an annex to the project's Environmental and Social Management Framework (ESMF) and intended for use when procuring goods or equipment, or for small works with minimal environmental and social risks, such as facilities involving maintenance, repair or installation of equipment, and in some cases activities that require construction but have a small footprint. The ESCOP should be read in conjunction with the ESMF and included in bidding/contractor documents. The ESCOP should also be read in conjunction with the Stakeholder Engagement Plan (SEP) for each country, which details stakeholder engagement steps.

Key Aspects of Risk Management from Small Works

Below, the ESCOP highlights key aspects/parameters for managing minor risks and impacts from potential small works such as digging bore holes, repairing equipment, installation of solar panels, installation of rain water tanks, and small-scale construction etc. Three stages are defined, namely pre-works, during works and closure and operation.

Pre-Works

Once small works have been selected and Social and Environmental Screening has been conducted and/or confirmed in line with this ESMF, and avoidance and minimization of risk has been done through design, designated project safeguards staff will check the following arrangements before granting the permission to start small works.

Monitoring checklist at pre-works stage

No.	Items	Yes (Tick if completed)	No (Tick if not completed)	If Not, what measures
1	Exclusion Criteria was checked			
2	E&S Screening was conducted, including SEAH risks			
3	A mitigation hierarchy to avoid or minimize risks has been taken			
4	ESCOP included in bidding documents (if relevant)			
5	Consultations conducted with stakeholders			
6	Project signboard and guidance for safety installed in facility where small works take place			
7	Site/ground clearance (including backfilling if needed, clearance of bushes/grass, levelling the site, etc.)			
8	Safety fence which demarcates the working zone with proper/private access, doors, and checkpoint as needed.			
9	Site safety instruction board clearly indicating needed worker's Personal Protective Equipment (PPE).			
10	COVID-19 test station and/or kits for workers as required.			
11	Water and sanitation facilities for workers (including latrines for male and female workers) available.			
12	If generator is main source of energy for works, make sure it is sufficiently far from any nearby community. If electricity is connected from another facility, make sure appropriate wiring is in place. All electricity should be checked by professionals.			
13	Defined location for storage of materials, if any. This should be properly contained and have roof/walls.			
14	In the event worker's need temporary sleep accommodation, ensure this is approved by project stakeholders.			
15	Relevant PPE has been procured.			

16	Policy to not hire workers under the age of 18 years is in place.			
17	Code of Conduct available for all workers to sign.			
18	Are UXOs likely to be present? If so, stop and receive guidance from UNDP and experts in the field as UXO clearance may be required and/or re-sighting works.			
19	Are any environmental or local permits required and have these been secured?			
20	SEAH Plan in place			

Date of Monitoring:

Location:.....

Monitored by:

Approved by:

During Small Works

This general guidance covers waste management, pollution control, OHS and working conditions that should be in place when conducting small works.

Working Hours

The following working hours should apply or as agreed with relevant stakeholders. Unless agreed in advance, no work should be undertaken on Public Holidays.

08:00 – 18:00 hours Monday-Friday

08:00 – 12:00 hours Saturday-Sunday

Security and Safety Fence: Small work sites should be fully enclosed to protect the general public and deter unauthorized entry. The safety temporary fence should have appropriate high above pavement level. Temporary safety fence should not be used for advertising. However, it may be used to display details of the works including project name and duration, name, address and telephone number of the relevant person for reporting safety issues as well as contact for complaint mechanism.



Example of safety sign

Access Gates and Scaffolding: Access to and from the facility should be organized to allow vehicles to enter and leave the site in a forward gear.

Lighting: Any lighting of the site and its premise is sufficient to ensure the safety of workers and other pedestrians. In addition, the lighting should be located and orientated in such a way not to cause intrusion to adjacent residential property or distract passing motorists.

Access Road Management: Where reasonably practicable all loading and unloading of vehicles involved in small works should be within the site boundary. Deliveries and collections should be scheduled to coincide with the normal working hours. A person to guide traffic may be needed. Access roads/path must be repaired and returned to original condition upon completion of the retrofit.

Material storage warehouse: Any materials used, such as cement, crushed stones, sand, steel bars and wires, electrical wires and devices, nails, paints, furniture, etc. should be stored in a designated warehouse before starting small works.



Example of material storage

Tree cutting: Cutting of trees and clearance of existing vegetations is prohibited unless required for climate-change proofing measures and previously discussed with relevant stakeholders. The types, nature and number of trees to be cleared would need to be recorded so that replanting can be carried out.

Dust Control:

1. Bulk storage of potentially dusty materials should be located away from the site boundary and nearby communities.
2. Mixing large quantities of concrete on site should be undertaken using enclosed plant.
3. Cutting and grinding operations should be undertaken using appropriate dust suppression techniques.
4. Potentially dusty spoil and other waste materials should be damped down regularly when handled and transported in sheeted vehicles.
5. Rubble-chutes should be used with care and drop heights kept to a minimum.

Air Pollution: Smoke from burning of plastics/construction waste, fumes and particulate emissions can be minimized by ensuring that:

1. No on-site bonfires are used for the disposal of any waste.
2. All equipment is properly maintained and throttled down or switched off when not in use.
3. Fuel storage tanks are located away from the site boundary and vented at a point remote from the health facility.

Asbestos: Works involving the treatment of asbestos products should be undertaken carefully and handled in accordance with environment legislation in each country and guidance from UNDP.

Noise and Vibration: Measures should be taken to minimize noise and vibration impacts to nearby communities and ensure compliance with relevant country legislation.

Water and Effluent: Water and effluent generated from on-site activities should be treated and disposed of in accordance with the provisions on waste, hazardous discharge and/or environment legislation of the country. Adequate pollution prevention techniques should be adopted to ensure that any potentially hazardous substances do not come into contact with vulnerable water (e.g. via surface water drainage systems). Recycling of water should be encouraged.

Management of waste: All types of waste generated from small works, or from goods and equipment purchased by the project, shall be separated and disposed of at designated landfill and/or recycled following country legislation and practices. Burning of waste (cement bags, plastic bags, wood scaffoldings, etc.) is not allowed. Appropriate recycling measures, or waste disposal, should be done for all goods procured in line with legislation/practices in each country (for example disposal of batteries, electronics, etc.). Reusing, as appropriate, and recycling of materials should be encouraged.



Example appropriate waste management

Pest Control: Preventive measures should be adopted to control any rodent activity on site and test baiting may be necessary to confirm the existence of an infestation.

Personal Protective Equipment (PPE): PPE provides the worker with an extra level of personal protection. The table below presents general examples of occupational hazards and types of PPE available for different purposes.



Generic Guidance for Personal Protective Equipment	
Potential Hazard	Suggested PPE
Falling objects from elevated places	Safety helmet, safety shoes
Working at dusty environment	Dust mask
Working at gaseous environment	Gas mask with filter
Working at noisy environment	Ear plugs, ear stoppers
Falling of heavy material and equipment	Safety shoes

Slippery ground	Non-slippery shoes
Metal sparks	Grinding masks, protective goggles
Harmful light sources	Welder masks, welder goggles
Working with electrical equipment	Protective goggles, face shields, safety helmet, safety shoes with electrical resistance, insulating (rubber) gloves with leather protectors, insulating sleeves, and flame-resistant (FR) clothing.

Working at Heights: Ladders must be placed so that a worker is protected at all times. PPE required should be worn, such as hard hats, gloves, safety belts, ropes, etc.

Electrical Equipment: Accidental contact with electrical components can have deadly consequences. Always refer to the manufacturer's recommended operating practices prior to using new electrical appliances, tools and equipment. Only qualified and authorized electricians are allowed to service and repair electrical appliances, tools and equipment. Prior to operating electrically powered tools and equipment, ensure that you are working on a dry surface. Tools with damaged cords, grounds and housing units are to be tagged "Out of Service" and sent for repair. Missing or damaged ground plugs of any appliance, tool or piece of equipment are to be repaired prior to use. Always stand to the side of a service box when resetting a breaker. All electrical tools must be quality approved. Disconnect power tools from power source before making adjustments.

Installation of Equipment: Follow all installation guidelines. For installation of electrical equipment, a licensed electrician is required. Use of Personal Protective Equipment (PPE).

Covid-19: All workers will adhere to the health guidance provided by the Ministry of Health or other relevant national authority, such as wearing mask, regular handwashing, social distancing etc.

Working in rivers or oceans: All work installing buoys or other devices in rivers, lakes, oceans or other water sources must be undertaken applying best practice in the field to avoid impacts to biodiversity.

Unexploded Ordinance (UXO): When working in locations where UXOs may be present, UXO clearance may be required. Local legislation and guidance must be followed.

The following guidance applies to all workers, including those subcontracted:

Child and Forced Labour: The project will not engage any forced labour. No child labour is permitted. Workers will need to have acceptable identification that proves their age. For this project, the minimum working age will be 18 years.

General: If outside labour is required, there may be a need for sleeping arrangements which may be in a location agreed upon by the community. Workers should have adequate provision of water and sanitation, have signed Codes of Conduct and comply with Covid-19 measures.

Terms and Conditions for Workers: All workers will have contracts in accordance with applicable labour laws, rules and regulations. Project workers should be paid on a regular basis as required by applicable labour laws, rules and regulations. Project workers should be provided with adequate periods of rest per week, annual holiday and sick, maternity and family leave, as required by applicable labour laws, rules and regulations. If applicable, Project workers should receive written notice of termination of employment and details of severance payments in a timely manner as required by applicable labour laws, rules and regulations.

Non-discrimination and equal opportunity: The employment of project workers is based on the principle of equality of opportunity and treatment, and there shall be no discrimination with respect to any aspects of the employment relationship, such as recruitment and hiring, compensation (including wages and benefits), working conditions and terms of employment, access to training, job assignment, promotion, termination of employment or retirement, or disciplinary practices. Women and men shall receive equal remuneration for work of equal value. Appropriate measures of protection

and assistance are provided to address the vulnerabilities of project workers, including specific groups of workers, such as women, persons with disabilities, migrant workers and young workers. Local labor laws also apply.

Harassment: Appropriate and respectful conduct of all workers is required. No harassment of any kind (sexual, verbal) will be allowed and all workers are expected to sign Codes of Conduct (Annex 1 of the ESMF).

Grievance Mechanism: A workplace grievance mechanism (distinct from any general project-level grievance mechanism) should be provided for all project workers (and, where relevant, their organizations) to raise workplace concerns (including potential violations of existing rights and entitlements as provided for in legislation, collective agreements, employment contracts and human resources policies). The mechanism should be easily accessible to project workers who are to be informed of the grievance mechanism at the time of recruitment and the measures to protect them against any reprisal for its use. For example, workers should be able to file a grievance with their workplace or the project, and workers should be made aware of this right.

Monitoring Checklist during Small Works

No.	Items	Yes (Tick if completed)	No (Tick if not completed)	If Not, what measures
1	Safety fences in place and site is secured from outsiders			
2	PPE is available for workers			
3	Traffic management measures in place (such as when trucks are going in/out)			
4	Noise parameters in line with government legislation			
5	Working hours being respected			
6	No excessive or unmanaged air pollution			
7	Dust control measures in place			
8	All electrical activities being conducted by electricians/professionals			
9	Waste being recycled and/or discarded appropriately, including following country legislation – this also applies for goods/equipment procured under the project			
10	Workers have signed Codes of Conduct and are aware of their rights and responsibilities regarding GBV/SH			
11	Workers have contracts in place and country's labour provisions are followed			
12	Materials and equipment used (including electrical cords, ladders, etc.) is in good condition			
13	"Dos and Don'ts" recommendations followed when applicable			
14	Relevant stakeholders are being consulted			
15	Relevant Covid-19 measures are in place			
16	Workers have a system to submit grievances and are aware of their rights			
17	Non-discrimination when hiring and equal pay for male/females for same work			
18	No workers under the age of 18 years			
19	Emergency plan in place in case of natural hazards			
20	SEAH Plan being implemented			

Date of Monitoring:

Location:.....

Monitored by:

Approved by:

Closure and Operation

The project shall check the following arrangements before finalizing the small works.

Monitoring checklist for site closure (as relevant)

	Items	Yes (Tick if completed)	No (Tick if not completed)	Proposed Measures
1	Has the small works been fully completed as per specifications?			
2	Have access roads/paths to the site been restored to their original condition?			
3	Has the material storage warehouse been removed and the area returned to its original condition?			
4	Have the latrines for workers been removed and the area cleared to its original condition?			
5	Have the site safety fence and board been removed and the area returned to its original condition?			
6	Have any removed trees, damaged shrubs, and/or other disturbances been fixed/replanted?			
7	Has the waste/debris, sharp objects, nails, cut steel pieces, etc. been cleared and hazardous waste, if any been disposed of properly?			
8	Has construction waste been managed in line with country legislation?			

Date of Monitoring:

Location:.....

Monitored by:

Approved by:

Specific ESCOPs Mitigation Measures to Apply in Small Infrastructure Projects

Subproject Type	Environmental Prevention/Mitigation Measures	Responsible Party
Buildings/Shelters		
General	a) Design of shelters should follow relevant requirements on life and fire safety and minimum requirements required by National Building Codes and relevant guidelines from the concerned Ministries. (Planning phase) b) Provide adequate drainage in the building's immediate surroundings to avoid standing water, insect related diseases (malaria, etc.) and unsanitary conditions. (Implementation phase) c) Include sanitary facilities such as toilets and basins for hand-washing. (Implementation phase) d) Tiled floors are preferred for easier cleaning and more hygienic. (Planning and implementation phases) e) Manage solid waste and waste water properly (operation phase)	National PMU Contractor
Noise during construction	a) Plan activities in consultation with communities so that noisiest activities are undertaken during periods that will result in least disturbance. (Planning phase) b) Use when needed and feasible noise-control methods such as fences, barriers or deflectors (such as muffling devices for combustion engines or planting of fast-growing trees). (Implementation phase) c) Minimize project transportation through community areas. Maintain a buffer zone (such as open spaces, row of trees or vegetated areas) between the project site and	National PMU Contractor

Subproject Type	Environmental Prevention/Mitigation Measures	Responsible Party
	residential areas to lessen the impact of noise to the living quarters. (Implementation phase)	
Soil erosion	<ul style="list-style-type: none"> a) Schedule construction during dry season. (Planning phase) b) Contour and minimize length and steepness of slopes. (Implementation phase) c) Use mulch, grasses or compacted soil to stabilize exposed areas. (Implementation phase) d) Cover with topsoil and re-vegetate (plant grass, fast-growing plants/bushes/trees) construction areas quickly once work is completed. (Post-Implementation phase) e) Design channels and ditches for post-construction flows and line steep channels/slopes (e.g., with palm fronds, jute mats, etc.). (Post-Implementation phase) 	National PMU Contractor
Air quality	<ul style="list-style-type: none"> a) Minimize dust from exposed work sites by applying water on the ground regularly during dry season. (Implementation phase) b) Avoid burn site clearance debris (trees, undergrowth) or construction waste materials. (Implementation phase) c) Keep stockpile of aggregate materials covered to avoid suspension or dispersal of fine soil particles during windy days or disturbance from stray animals. . (Implementation phase) d) Reduce the operation hours of generators /machines /equipment /vehicles. (Implementation phase) e) Control vehicle speed when driving through community areas is unavoidable so that dust dispersion from vehicle transport is minimized. (Implementation phase) 	National PMU Contractor
Water quality and availability	<ul style="list-style-type: none"> a) Activities should not affect the availability of water for drinking and hygienic purposes. (Implementation phase) b) No soiled materials, solid wastes, toxic or hazardous materials should be stored in, poured into or thrown into water bodies for dilution or disposal. (Implementation phase) c) Avoid the use of waste water pools particularly without impermeable liners. d) Provision of toilets with temporary septic tank. (Implementation phase) e) The flow of natural waters should not be obstructed or diverted to another direction, which may lead to drying up of river beds or flooding of settlements. (Implementation phase) f) Separate concrete works in waterways and keep concrete mixing separate from drainage leading to waterways. (Implementation phase) 	National PMU Contractor
Solid and hazardous waste	<ul style="list-style-type: none"> a) Segregate construction waste as recyclable, hazardous and non-hazardous waste. (Implementation phase) b) Collect, store and transport construction waste to appropriately designated/ controlled dump sites. (Implementation phase) c) On-site storage of wastes prior to final disposal (including earth dug for foundations) should be at least 300 metres from rivers, streams, lakes and wetlands. (Implementation phase) d) Use secured area for refuelling and transfer of other toxic fluids distant from settlement area (and at least 50 metres from drainage structures and 100 metres from important water bodies); ideally on a hard/non-porous surface. (Implementation phase) e) Train workers on correct transfer and handling of fuels and other substances and require the use of gloves, boots, aprons, eyewear and other protective equipment for protection in handling highly hazardous materials. (Implementation phase) 	National PMU Contractor

Subproject Type	Environmental Prevention/Mitigation Measures	Responsible Party
	<p>f) Collect and properly dispose of small amount of maintenance materials such as oily rags, oil filters, used oil, etc. Never dispose spent oils on the ground and in water courses as it can contaminate soil and groundwater (including drinking water aquifer). (Implementation phase)</p> <p>g) Manage solid waste and waste water from schools/dormitories/food stores/ and laboratories properly (operation phase)</p> <p>h) After each construction site is decommissioned, all debris and waste shall be cleared. (Post-Implementation phase)</p>	
Asbestos	<p>a) If asbestos or asbestos containing materials (ACM) are found at a construction site, they should be clearly marked as hazardous waste. (Implementation phase)</p> <p>b) The asbestos should be appropriately contained and sealed to minimize exposure. (Implementation phase)</p> <p>c) Prior to removal, if removal is necessary, ACM should be treated with a wetting agent to minimize asbestos dust. (Implementation phase)</p> <p>d) If ACM is to be stored temporarily, it should be securely placed inside closed containers and clearly labeled. (Implementation phase)</p> <p>e) Removed ACM must not be reused. (Implementation and post-implementation phase)</p>	National PMU Contractor
Health and Safety	<p>a) When planning activities of each subproject, discuss steps to avoid people getting hurt. (Planning phase)</p> <p>It is useful to consider:</p> <ul style="list-style-type: none"> • Construction place: Are there any hazards that could be removed or should warn people about? • The people who will be taking part in construction: Do the participants have adequate skill and physical fitness to perform their works safely? • The equipment: Are there checks you could do to make sure that the equipment is in good working order? Do people need any particular skills or knowledge to enable them to use it safely? • Electricity Safety: Do any electricity good practices such as use of safe extension cords, voltage regulators and circuit breakers, labels on electrical wiring for safety measure, aware on identifying burning smell from wires, etc. apply at site? Is the worksite stocked with voltage detectors, clamp meters and receptacle testers? <p>b) Mandate the use of personal protective equipment for workers as necessary (gloves, dust masks, hard hats, boots, goggles). (Implementation phase)</p> <p>c) Follow the below measures for construction involve work at height (e.g. 2 meters above ground (Implementation phase):</p> <ul style="list-style-type: none"> • Do as much work as possible from the ground. • Do not allow people with the following personal risks to perform work at height tasks: eyesight/balance problem; certain chronic diseases – such as osteoporosis, diabetes, arthritis or Parkinson’s disease; certain medications – sleeping pills, tranquillisers, blood pressure medication or antidepressants; recent history of falls – having had a fall within the last 12 months, etc. • Only allow people with sufficient skills, knowledge and experience to perform the task. • Check that the place (eg a roof) where work at height is to be undertaken is safe. 	National PMU Contractor

Subproject Type	Environmental Prevention/Mitigation Measures	Responsible Party
	<ul style="list-style-type: none"> • Take precautions when working on or near fragile surfaces. • Clean up oil, grease, paint, and dirt immediately to prevent slipping; and • Provide fall protection measures e.g. safety harness, simple scaffolding/guard rail for works over 4 meters from ground. <p>d) Keep worksite clean and free of debris on daily basis. (Implementation phase)</p> <p>e) Provision of first aid kit with bandages, antibiotic cream, etc. or health care facilities and enough drinking water. (Implementation phase)</p> <p>f) Keep corrosive fluids and other toxic materials in properly sealed containers for collection and disposal in properly secured areas. (Implementation phase)</p> <p>g) Ensure adequate toilet facilities for workers from outside of the community. (Implementation phase)</p> <p>h) Rope off construction area and secure materials stockpiles/ storage areas from the public and display warning signs including at unsafe locations. Do not allow children to play in construction areas. (Implementation phase)</p> <p>i) Ensure structural openings are covered/protected adequately. (Implementation phase)</p> <p>j) Secure loose or light material that is stored on roofs or open floors. (Implementation phase)</p> <p>k) Keep hoses, power cords, welding leads, etc. from laying in heavily traveled walkways or areas. (Implementation phase)</p> <p>l) Control driving speed of vehicles particularly when passing through community or other sensitive areas. (Implementation phase)</p> <p>m) During heavy rains or emergencies of any kind, suspend all work. (Implementation phase)</p> <p>n) Fill in all earth borrow-pits once construction is completed to avoid standing water, water-borne diseases and possible drowning. (Post-Implementation phase)</p>	
Climate Change and Disasters	<p>a) Ensure all infrastructure is built with climate change risks in mind in order to ensure resilience and sustainability (planning phase)</p> <p>b) Ensure construction plans have Emergency Plans in place in order to prepare in case of natural disasters during construction (planning phase)</p> <p>c) If early warnings of impending natural risks are received, ensure the site is secured, machinery is protected, waste – in particular hazardous waste – is well contained, and that all measures are taken to protect the site and any potential impacts from site materials (for instance, if waste is not contained it could overflow in a flood, if machinery is not tied down it could be washed away and cause accidents or pollution, etc.) (implementation phase)</p>	National PMU Contractor
Other	<p>a) No cutting of trees or destruction of vegetation other than on construction site. As much as possible, source materials consistent with traditional construction practices in the communities. (Planning phase)</p> <p>b) No hunting, fishing, capture of wildlife or collection of plants. (Implementation phase)</p> <p>c) No use of unapproved toxic materials including lead-based paints, un-bonded asbestos, etc. (Implementation phase)</p> <p>d) No disturbance of cultural or historic sites. (Planning and implementation phases)</p>	National PMU Contractor

The ESCOP should also take into account Chance Find Procedures (Annex 9).

World Bank Environmental Health and Safety Guidelines should also be followed based on the small works:
<https://documents1.worldbank.org/curated/zh/157871484635724258/pdf/112110-WP-Final-General-EHS-Guidelines.pdf>

The following “Dos and Don’ts” table may also be helpful to guide small works.

Topic	DO	DON'T
Site Use	<ul style="list-style-type: none"> Clean up the worksite and rehabilitate the site to its original condition. Rehabilitate all temporary access tracks, haul roads and any other disturbed areas outside of the approved working areas to their original condition. 	<ul style="list-style-type: none"> Do not enter any worksites and areas without permissions and approvals. Do not undertake any activity outside of the working area borders.
Noise	<ul style="list-style-type: none"> Follow working hours Turn off vehicle engines if not required. Keep the noise level to acceptable limits. 	<ul style="list-style-type: none"> Do not undertake any noisy activity during night time.
Dust and Air	<ul style="list-style-type: none"> Minimize traffic wherever possible and drive slowly to not generate dust. Depending on works, take appropriate dust prevention measures. 	<ul style="list-style-type: none"> Do not store cement, sand, excavated material without cover sheets or shelters. Do not clear the vegetation cover if it's not required.
Water	<ul style="list-style-type: none"> Refuel the vehicles at least 30 m away water courses. Fence the work site adjacent to the sensitive areas such as natural water courses, ponds, drains. Divert the runoff / water the construction sites or disturbed areas, using ditches. Follow local legislation. 	<ul style="list-style-type: none"> Do not use any natural water resources to supply water (e.g. springs, streams, lakes without approval of relevant authorities). Do not discharge of hazardous substances, chemicals, construction material and wastes into water courses, ponds, drainage systems. Do not block the water flow.
Waste	<ul style="list-style-type: none"> Keep the working site clean and tidy. Store hazardous waste using secondary containment and restrict access to hazardous waste storage area to prevent harm to staff and public. Perform on site sorting to separate liquid, organic, demolition material, hazardous and recyclables waste streams and identity the disposal pathway for each of them. Use waste containers without any damages and leakages. Reuse the excavated soil as much as possible for backfilling, landscaping and for other project areas where excavation material is required. Collaborate with local authorities to transport and dispose waste in accordance with legal requirements. Follow local legislation. 	<ul style="list-style-type: none"> Do not burn any type of waste. Do not dump waste at any unpermitted area and especially near watercourses. Do not leave any sharp or dangerous objects (knives, box cutters, scissors, broken glass, etc.) lying around.
Employment and Labour Rights	<ul style="list-style-type: none"> Implement a fair and transparent employment process and non-discrimination when hiring. Provide workers with clear and understandable information regarding rights via contract documents in local language. Follow local labour legislation. Ensure access to a Grievance Mechanism to resolve conflicts or disputes. Ensure equal pay for men and women for the same type of work. 	<ul style="list-style-type: none"> Do not discriminate any workers or job applicants on the basis of their gender, marital status, nationality, ethnicity, age, religion or sexual orientation. Do not recruit children (under 18 years old) or use forced labour. Do not engage or tolerate any form of harassment.
Code of Conduct	<ul style="list-style-type: none"> Workers to sign and adhere to Code of Conduct and be aware of their rights and responsibilities regarding GBV/SH. 	

Topic	DO	DON'T
Grievances	<ul style="list-style-type: none"> Grievance Mechanism available to all stakeholders. 	
Community Safety	<ul style="list-style-type: none"> Secure worksites. 	<ul style="list-style-type: none"> Do not leave any holes and openings without secure fencing. Do not exceed the speed limits.
Traffic Management	<ul style="list-style-type: none"> Implement speed limits for all project vehicles. Ensure that truck drivers are accompanied by a flagman or watchman while reversing, unloading and loading. Train all drivers on safety provisions. 	<ul style="list-style-type: none"> Do not drive without a valid driver's license. Do not use cell phones while driving.
Occupational Health and Safety	<ul style="list-style-type: none"> Provide health and safety training to workers as needed. Record and report any workplace hazards or any incidents or injuries. Provide the right PPE and make sure that all employees use them. Keep PPEs in good condition and change them in case they are damaged. Prohibit usage of alcohol or illegal drugs. Use the right tool for the activity. Use undamaged ladders if you need to climb up. Implement good housekeeping to prevent trips, slips and falls. Conduct daily tool-box talks / conversations on health and safety issues before starting works. Provide sufficient drinking water for workforce. Provide and maintain toilet facilities for workforce separately for female and male workers. Ensure only electricians handle electrical equipment. Apply Covid-19 measures if any. 	<ul style="list-style-type: none"> Do not try to repair any broken equipment and machinery if you are not authorized. Do not use of metal ladders close to overhead power lines Do not work without PPE. Do not work alone or isolated. Do not handle electrical equipment if not appropriately trained.
Housekeeping	<ul style="list-style-type: none"> Keep working areas clean and tidy. Secure loose materials that have the potential to fall. Keep aisles, stairways, passageways, ladders, etc. free of obstructions, materials, cables, chords, hoses, etc. Keep materials away from the edge of excavations, trenches, roofs, etc. Cover and secure open trenches, holes and other openings Avoid pools of stagnant water in working areas. Undertake daily clean-up of activity area. 	

Topic	DO	DON'T
Hazardous Material Management	<ul style="list-style-type: none"> • Store fuels, oils, chemicals and other hazardous materials on a suitably sized impervious and bunded base. • Label the containers clearly with content, handling, storage, expiration, and health and safety information. • Use drip trays during fuelling and maintenance (e.g. changing oil) of equipment. • Install proper warning signs at hazardous material storage yards, lock gates and restrict access to authorized personnel. • Store hazardous waste using secondary containment and restrict access to hazardous waste storage area to prevent harm to construction staff, environment and public. 	<ul style="list-style-type: none"> • Do not smoke close to hazardous materials.
Fire Prevention and Control	<ul style="list-style-type: none"> • Take all reasonable and precautionary steps to ensure that fires are not started as a consequence of project activities on site. • Basic fire-fighting equipment available on site • Store flammable materials under conditions that will limit the potential for ignition and the spread of fires. • Train all employees on the fire risks and how to deal with any fires in case one occurs. 	<ul style="list-style-type: none"> • Do not light fire for any reason, including waste burning. • Do not throw cigarette butts on the ground.

ANNEX 4: Sample form to Submit Grievances

NAME OF COMPLAINANT (or Anonymous): _____

GENDER: _____

CONTACT DETAILS: _____

STATEMENT OF GRIEVANCE (Reason for complaint and activity leading to complaint. Please include as many details as possible to answer the following questions: (i) what happened, (ii) when did it happen, (iii) who did it happen to, and (iv) what was the impact of what happened. Include additional information as needed/desired.

REMEDY REQUESTED BY COMPLAINT:

SIGNATURE: _____ DATE: _____

FOR ADMIN USE ONLY:

Date Grievance Received: _____

- a. In person
- b. In writing

Grievance Received by: _____

Action taken or required: _____

ANNEX 5: Sample Grievance Log

[illegible]

ANNEX 6: Indigenous Peoples Planning Framework

Given the extent of the EW4All project's activities – essentially focused on provision of technical assistance, capacity building, workshops, information dissemination and small works (mostly repairs, improvements) –the project has not identified any potential adverse risk for the rights, lands, territories or resources of Indigenous peoples. However, following the guidance of the IPPF developed by this project, a stand-alone Indigenous Peoples Plan (IPP) based on SES 6 will be developed any time Indigenous Peoples are involved. The project is primarily focused on alert dissemination, related institutional strengthening and capacity building. Activities relating to disseminating alerts will include consultation with Indigenous Peoples to ensure Early Warning messages meet their needs, and the project is therefore expected to provide benefits such as awareness building and outreach through the dissemination of these EWs. While these project activities will not result in adverse impacts on land tenure rights, access to resources or cultural heritage, IPPs will need to be prepared at the country level (i.e. under the project's Output 2), to ensure EWs include considerations of IPs and meet their needs, including consultations in a language and manner that are appropriate.

Indigenous Peoples in the Project Area

Based on Standard 6 of UNDP's SES, the term Indigenous peoples is used in a generic sense to refer to a distinct social and cultural group possessing the following characteristics in varying degrees:

- (a) Self-identification as members of a distinct indigenous social and cultural group and recognition of this identity by others;
- (b) Collective attachment to geographically distinct habitats, ancestral territories, or areas of seasonal use or occupation as well as to the natural resources in these areas;
- (c) Customary cultural, economic, social, or political systems that are distinct or separate from those of the mainstream society or culture; and
- (d) A distinct language or dialect, often different from the official language or languages of the country or region in which they reside. This includes a language or dialect that has existed but does not exist now due to impacts that have made it difficult for a community or group to maintain a distinct language or dialect.

Based on this definition, there are Indigenous Peoples found in Cambodia, Chad, Ecuador, Ethiopia, Fiji and Somalia.

Indigenous Peoples in Cambodia

Indigenous peoples in Cambodia are mainly found in the north-eastern provinces of Ratanakiri, Strung Treng and Monduliri, as well as in Kratie, Kampong Thom and Preah Vihear, and it is estimated that they can be found in at least another nine provinces in the country. Most Indigenous peoples in Cambodia belong to the Austroasiatic/Mon-Khmer peoples, while the Rhade and Jarai are Austronesian. Cambodia's Indigenous peoples are mainly reliant on the forest for their livelihoods and are considered especially vulnerable. They generally lead simpler lives than most of Khmer and rely more on forests and natural resources.

Current estimates of Indigenous peoples in Cambodia vary widely, with no demographic tool compiling specific data on Indigenous groups in the country. Overall, it is estimated that Indigenous groups in the country account for about 1.25 per cent of the total population. Khmer is the most widely spoken language in Cambodia (the mother tongue of 96% of people and likely spoken by a more significant number)²⁷. It is estimated that there are 20-24 Indigenous languages in the country, mainly from the Austroasiatic/Mon-Khmer languages and two from the Austronesian family.

Indigenous villages in Cambodia are generally guided by traditional authorities, represented by elders who are designated by community members based on their capacities to care for the villagers' well-being, solve conflicts that arise in the community or among neighbouring communities, and ensure continuity in Indigenous society. Traditional elders may work

²⁷ Cambodian Census 2019. Other mother tongue languages are Vietnamese (0.5% of people) and Chinese (0.6%), with these groups also expected to speak Khmer.

alongside mainstream Cambodian authorities, and when elders cannot resolve conflicts, people may take their concerns or problems to their local-level government authorities.²⁸

Indigenous peoples have been hit particularly hard by the rapid depletion of natural resources in the highlands of Cambodia, including Ratanakiri province since these groups have a greater dependence on upland resources for subsistence and livelihood. Indigenous communities in Cambodia are especially vulnerable to loss of access and ownership of natural resources due to their reliance on land and forest resources for their livelihoods. The land and forests also have a spiritual significance for most Indigenous groups, and their traditional cultural identity depends on the land to maintain their customary way of life and society. Indigenous communities are also more vulnerable because they have been historically marginalised as ethnic minority groups. They often lack access to justice through formal legal institutions and hold less political and financial power than other citizens.²⁹ More information can be found in the EW4All Cambodia Stakeholder Engagement Plan.

Indigenous Peoples in Ecuador

According to the National Institute of Statistics and Census (INEC, February 2022), there are 19 Indigenous peoples and 14 distinct Indigenous nationalities in the country totalling more than one million people (7.69% of the total population) and they are organised in local, regional and national organisations³⁰. Of the total Indigenous population of the country, 51% are women and 49% are men; 74% live in rural areas and 26% in urban areas; 34% register an age of 0 to 14 years, 20% from 15 to 24 years, 20% from 25 to 39 years and 26% over 40 years. Indigenous nationalities and peoples inhabit the mountains (68.20%), followed by the Amazon (24.06%), and 7.56% on the coast. They are located mainly in the provinces of: Pichincha (15%), Chimborazo (14%), Imbabura (10%), Cotopaxi (9%) and Morona Santiago (9%).

Since the middle of the 20th century, Indigenous people have had a greater impact on the political life of the country. An important strengthening occurred in 1986, when the CONAIE (Confederation of Indigenous Nationalities of Ecuador) was established, brought together by three regional organizations: ECUARUNARI (Ecuador Runacunapac Riccharimui), CONFENIAE (Confederation of Indigenous Nationalities of the Ecuadorian Amazon) and CONAICE (Confederation of Nationalities and Indigenous Peoples of the Ecuadorian Coast). Throughout 2021, a number of events directly affected the living conditions and economic and social rights of Ecuador's Indigenous Peoples and nationalities, in particular the impact of and recovery from the COVID-19 pandemic; the change in government, and government relations with Indigenous Peoples' organisations.

The indigenous population in Ecuador has a high incidence of poverty. In terms of extreme poverty, the percent of Indigenous people who are poor is estimated to be 4.5 times that of the non-indigenous population³¹. Education is one of the greatest factors for such economic inequality. Exclusion and racism are also discussed in the literature as some of the reasons behind inequality and poverty among Ecuador's Indigenous groups. More information can be found in the EW4All Ecuador Stakeholder Engagement Plan.

Indigenous Peoples in Chad

In Chad, pastoralism is practised by a multitude of different ethnic groups, most notably the Toubous, Arabs and Peuls. The Toubous groups occupy a vast area of the central Sahara, a region that extends westwards into Niger and northwards into Libya. The term Toubou actually encompasses a range of groups, including the Tédá or Tédaga group and the Daza or Dazagada group, with even finer subdivisions including other sub-groups. Arab pastoralists are found throughout central Chad, from the peripheral regions of Lake Chad as far south-east as Salamat and as far north as Adamaoua in Cameroon. Some distinguish between the "Arabs of the North", who are essentially nomads with no fixed habitat, and the "Arabs of the South", who practise agricultural activities and are very often at least partially sedentary. The Peuls form a pastoral society that is known in all the countries of Sahelian Africa. In Chad, they form two main groups: the Foulbés, who are

²⁸ Ironside, J. (2010). The Outbreak of Peace: Communal Land Management and Traditional Governance in a Remote Cambodian Province. CAPRI Workshop on Collective Action, Property Rights, and Conflict in Natural Resources Management.

²⁹ UN: Cambodia Common Country Analysis, May 2021.

³⁰ The rest of the population identifies as Mestizo (77.47%); Montubia (7.70%); White (2.21%); Afro-descendant (2.03%); Black (1.33%); Mulato (1.45%); Other (0.12%). *VIII Population Census and VII Housing Census, National Institute of Statistics and Census (INEC) 2022*: <https://www.censoecuator.gob.ec/resultados-censo/>

³¹ García-Aracil, A; Winter, C. Gender and ethnicity differentials in school attainment and labor market earnings in Ecuador, *World Development*, Volume 34, Issue 2, 2006, Pages 289-307.

more numerous and are present in the regions around Lake Chad, in the Chari Baguirmi, around Lake Fitri and in Mayo-Kebbi, and the Wodaabé (Mbororo), who are mainly attached to the Chari Baguirmi and Lake Chad. On the polders of Lake Chad, there are Buduma and Kuri breeders, who are agropastoralists and fishermen.

The nomadic and transhumant pastoralist communities of the Arab, Toubou and Peul Mbororo ethnic groups represent the indigenous groups, mainly concentrated in the arid and semi-arid provinces of the country in the Saharan and Sahelian zones respectively, with the exception of the Peul Mbororo, who are more concentrated in the south of the country. These communities, deeply attached to pastoral land and natural resources for centuries, depend on mobility for their subsistence and the well-being of their herds. This mobility enables them to adapt to environmental change, but it also makes them vulnerable to climatic disasters (prolonged droughts, floods, soil degradation, etc.) exacerbated by limited access to water resources, and the growing threat of land loss due to agricultural developments and restrictive land policies. For example, in periods of increased drought, grazing land becomes scarcer, and tensions over access to resources increase, which can lead to conflicts with sedentary farming communities.

Transhumant and nomadic pastoralists share a lifestyle based on mobility, but they differ mainly in the frequency, organisation and objectives of their movements. In fact, transhumant herders practise regular seasonal mobility between specific areas, whereas nomads have a less predictable mobility, often based on the resources available, without a fixed route or systematic return to the same territory. These differences also influence their relationship with the land, natural resources and interactions with local communities.

Although no precise estimates of the population of these groups are available, they represent a significant proportion of Chad's marginalised communities. The lack of land titles and other forms of customary rights to land along transhumance corridors limits their access to land, which hampers their ability to preserve their way of life. However, it is important to note that nomadic, semi-nomadic or transhumant pastoral livestock farming in Chad provides a livelihood for more than 1/3 of the rural population, who manage at least 3/4 of the ruminant livestock³². Moreover these groups are largely socially discredited, institutionally marginalised and often politically neglected. Traditional authorities, elders and clan chiefs, play an essential role in the management of natural resources and the resolution of internal or inter-community conflicts. However, their lack of integration into formal legal systems and their marginalisation from political and economic bodies reduce their ability to defend their rights effectively. These historically marginalised communities continue to struggle for access to essential services such as education and health, and to preserve their cultures and way of life in the face of modern pressures. Umbrella structures of associations or professional organisations have recently emerged and are set to play a major institutional and organisational role for these groups.

Indigenous Peoples in Somalia

Indigenous peoples in Somalia, including the Bantu, Bravenese, Rerhamar, Bajuni, Eyle, Galgala, Tumul, Yibir, and Gaboye, are primarily located in regions such as South-Central Somalia, Kismayo, Jilib, Luuq, Hargeisa, Beletweyne, Jowhar, and Ballad. These groups constitute about one-third of the population, approximately 2 million people. Indigenous villages are generally guided by traditional authorities, represented by elders chosen by the community. These elders are responsible for the well-being of the villagers, resolving conflicts, and maintaining cultural continuity. They may collaborate with mainstream Somali authorities, and unresolved conflicts may be escalated to local government authorities. Indigenous peoples in Somalia primarily rely on:

- Farming: Many engage in subsistence farming to support their families.
- Fishing: Coastal groups like the Bajuni depend on fishing.
- Small-scale Trade: Some are involved in local trade and markets.

Somalia faces severe humanitarian challenges, with millions experiencing food insecurity and acute malnutrition. This situation disproportionately affects indigenous communities, who often live in the most vulnerable and marginalized areas. Ongoing conflicts and environmental disasters have led to significant displacement, forcing many indigenous people to seek refuge in urban areas or other regions.

³² Participatory mapping in a nomadic environment: a decision-making tool in public health - case study among the Daza of Bahr-EI-Ghazal (Chad) M. WIESE, I. YOSKO, M. DONNAT

In Somalia, the situation for Indigenous peoples and minority groups is complex. The country has a diverse social structure with various clans and minority groups, but there isn't a specific national policy for the development of Indigenous Peoples. Minority groups like the Bantu, Bravenese, Boon, Rerhamar, Bajuni, Eyle, Galgala, Tumul, Yibir, and Gaboye often face significant social, economic, and political marginalization. Somalia operates under a system of legal pluralism, where customary law (Xeer), religious law (Sharia), and secular law coexist. The rights of Indigenous peoples to their traditional lands, culture, and traditions are not formally recognized. Instead, these rights are governed by customary laws and practices, which vary between regions and communities. This can lead to disputes and marginalization of minority groups. Additionally, minority groups face numerous human rights challenges, including discrimination, exclusion, and lack of access to resources and services, worsened by ongoing conflict and instability.

Indigenous Peoples in Ethiopia

Ethiopia's population is highly diverse, containing over 80 different ethnic groups, the four largest of which are the Oromo, Amhara, Somali and Tigrayans. According to the Ethiopian national census of 2007, the Oromo are the largest ethnic group in Ethiopia, at 34.4% of the nation's population. The Amhara represent 27.0% of the country's inhabitants, while Somalis and Tigrayans represent 6.2% and 6.1% of the population respectively. Other prominent ethnic groups are: Sidama 4.0%, Gurage 2.5%, Welayta 2.3%, Afar 1.7%, Hadiya 1.7%, Gamo 1.5% and Others 12.6%³³. In Ethiopia, more than 80 languages are spoken, and the greatest diversity is found in the southwest. Official languages are Afar, Amharic, Oromo, Somali and Tigrinya, with two-thirds of the population speaking there. Other languages recognised include Sidamo, Wolaytta, Gurage, Gamo and Kafa, among others.

The Indigenous Peoples of Ethiopia make up a significant proportion of the country's estimated population of 120 million. Around 15% are pastoralists and sedentary farmers who live across the country but particularly in the Ethiopian lowlands, which constitute some 61% of the country's total landmass. There are also several hunter-gatherer communities, including the forest-dwelling Majang (Majengir) and Anuak peoples, who live in the Gambella region.

The Oromo community constitutes the largest ethnic group in the country. Though socially, economically and religiously diverse, Oromo are united by a shared language, also widely spoken in northern Kenya and parts of Somalia. Despite their large numbers, Oromo have suffered a long history of exclusion and forced assimilation, leading to the decline of their pastoralist lifestyle. Oromo have a long history of oppression, land loss, and marginalization. Ethiopia does not have national legislation that protects indigenous peoples. More information can be found in the EW4All Ethiopia Stakeholder Engagement Plan.

Indigenous Peoples in Fiji

Indigenous Fijians, officially known since 2010 as iTaukei, are the major indigenous people of the Fiji Islands. The iTaukei form the majority of the population in Fiji (57%) and they are generally Melanesians, although many have Polynesian ancestry. Indo-Fijians are the next most populous group in Fiji (38%); they are descendants of Indian contract labourers brought to the islands by the British in the 19th century. The percentage of the population of Indo-Fijian descent has declined significantly over the last two decades through migration. Rotumans, who are Polynesians natives of Rotuma Island, account for 1% of the population. The rest of the population includes Banabans who were resettled from their island in Kiribati to Fiji in the 1940s due to phosphate mining; a small group of Melanesian islanders, descendants of those who were brought to Fiji from the Solomon Islands and New Hebrides (Vanuatu) during the 1800s to work on plantations; migrants from other Pacific Islands (including university students), Chinese and Europeans³⁴.

For Indigenous Fijians (iTaukei), kinship networks called viewekani – constituting blood and social relations – provide a network of social protection where individuals and families are looked after by other members of the network in times of need. Contribution and distribution are the binding forces of the Fijian system. Kerekere, generally meaning “to solicit a good, resource or service,” is a form of reciprocity in which one may ask neighbours, friends and relatives for goods and services to meet one's basic socio-economic needs, or for the purpose of fulfilling certain social obligations³⁵.

³³ Summary and Statistical Report of the 2007 Population and Housing Census Results. Population Census Commission. p. 16

³⁴ Fiji Population and Housing Census (2018)

³⁵ Mohanty, M. (2011). Informal Social Protection and Social Development in Pacific Island Countries: Role of NGOs and Civil Society. *Asia Pacific Development Journal*, Vol. 18 No.2.

Indigenous Fijians, or iTaukei, are more likely to be poor. According to the 2013/14 poverty rate, 38.9% Indigenous Fijians were poor compared with 26.7% of Indo-Fijian and 23.4% of other (migrants, other Melanesians, Rotumans, etc.). In 2013/14, Indigenous Fijians accounted for nearly 70% of the country's poor. Poverty statistics show that, in the last two decades, iTaukei increased their share of the poor while Indo-Fijians reduced theirs, although this reflects a similar change in broader population demographics³⁶.

Land in Fiji is managed through three complementary systems: (i) native land; (ii) freehold land; and (iii) crown land. Around 90% of land in Fiji is owned by Indigenous Fijians (iTaukei) through their mataqali (clan), and is termed native or iTaukei land. Approximately 6% of land is freehold and 4% is crown land. Freehold land can be purchased, transferred, or leased, subject to the conditions of the Land Sales Act, which among other things restricts the quantity of land which can be purchased by individuals who are not resident in Fiji, and by companies not wholly owned by Fiji citizens³⁷.

Historically, there can be some tensions between the majority indigenous Fijian population and the Indian minority population. The smaller ethnic groups such as the Sikhs, Chinese, Banabas, Rotumans and other Pacific Islanders are overall politically and socially absent from major discourse and decision-making. Competition over natural resources, political power, education and employment opportunities are seen as triggers of tension and conflict. More information can be found in the EW4All Fiji Stakeholder Engagement Plan.

Potential Project Impacts

The project is mostly focused on assessments, training, capacity building and information dissemination, with some on-the ground small works only in public or state-owned areas. Based on screening and consultations, it is not considered that project activities would affect the rights, lands, resources or territories of Indigenous peoples based on Standard 6 of the SES. In order to ensure Indigenous peoples' needs and barriers in terms of accessing Early Warnings (EWs) are taken into account, the project has incorporated ways to meaningfully consult them in each country's Stakeholder Engagement Plan. However, in the unlikely event that screening determines that the project or any of its activities have any potential to adversely affect the rights, lands, resources or territories of Indigenous peoples based on Standard 6 of the SES and the GCF Indigenous Peoples policy, the result of screening will need to be shared with UNDP and GCF. The project would then ensure it applies the Exclusion Criteria listed in the Environment and Social Management Framework (ESMF) to avoid any adverse impacts to IPs.

Procedures

Project screening and consultations shall consider the needs of Indigenous Peoples and ensure all groups are included and represented in consultations to understand the needs of populations, vulnerability to climate change, how emergency warning systems could work, etc. These aspects are embedded into project design and mainstreamed into most of the project's activities and outlined in the country-specific Gender Analysis and Action Plans and Stakeholder Engagement Plans. Small works under Output 2 are considered to have low impacts, and managed by the ESCOP.

During project implementation, it is important that small works under Output 2 be re-screened to ensure the suitability of the ESCOP to mitigate impacts, and to ensure that the rights, lands, resources or territories of Indigenous peoples are not impacted, that the Exclusion Criteria is well followed, and to establish whether IP Plans are required. Based on the Exclusion Criteria, project activities cannot be undertaken if they would impact lands or natural resources subject to traditional ownership or under customary use or occupation of Indigenous peoples.

In addition, any activity involving IPs will require the elaboration of an IPP following guidance in this ESMF. Since it is expected that all Output 2 countries will work to develop Early Warnings that are able to reach the whole population, including IPs, it is likely that country-level IPPs will be required for Cambodia, Chad, Ecuador, Ethiopia, Fiji and Somalia. The IPPs will need to be approved by UNDP and GCF.

³⁶ World Bank (2021) Fiji Poverty and Equity Brief

³⁷ Land Ownership in Fiji, iTaukei Land Trust Board

Figure 1: Summary of IPPF Procedures

Step 1: Project activity or small works screened and adopt mitigation hierarchy to avoid or minimize risks and follow Exclusion Criteria. Consultations with stakeholders during this process.

Step 2: Any country which will include an activity involving IPs will need to prepare a country-level IPP, in consultation with IPs.

Meaningful Consultations

Continued engagement with stakeholders is a key element of the project, from inception through prioritization, development and implementation of activities, to evaluation, communication and feedback. Active engagement with groups that represent more vulnerable segments of the population is a priority as detailed in the ESMF and the SEP. The project ensures effective participation of Indigenous peoples throughout the project cycle, ensuring they are included in consultations, assessments, information disclosure and that they have access to the grievance redress mechanism, among other things. Consultation processes will be culturally appropriate in each country and conducted in good faith. These considerations have been included in the country-specific SEPs.

Free, Prior and Informed Consent (FPIC)

If a project may affect – positively or negatively – indigenous peoples' rights and interests, lands, territories, resources, livelihoods, cultural heritage, then FPIC must be sought. Based on the Exclusion Criteria, project activities cannot be undertaken if they would adversely impact lands or natural resources subject to traditional ownership or under customary use or occupation of Indigenous peoples, thus any activity that would trigger FPIC will be ineligible for project support. Table 1 may assist in helping to determine whether project activities require an FPIC process and are therefore ineligible for project support.

Table1: Guiding questions to establish whether FPIC is required

Guiding Question	Yes/No
1. Will the activity involve the relocation/resettlement/removal of an indigenous population from their lands?	
2. Will the activity involve the taking, confiscation, removal or damage of cultural, intellectual, religious and/or spiritual property from indigenous peoples?	
3. Will the activity adopt or implement any legislative or administrative measures that will affect the rights, lands, territories and/or resources of indigenous peoples (e.g. in connection with the development, utilization, or exploitation of mineral, water or other resources; land reform; legal reforms that may discriminate de jure or de facto against indigenous peoples, etc.)?	
4. Will the activity involve natural resource extraction such as logging or mining or agricultural development on the lands/territories of indigenous peoples?	
5. Will the activity involve any decisions that will affect the status of indigenous peoples' rights to their lands/territories, resources or livelihoods?	
6. Will the activity involve the accessing of traditional knowledge, innovations and practices of indigenous and local communities?	
7. Will the activity affect indigenous peoples' political, legal, economic, social, or cultural institutions and/or practices?	
8. Will the activity involve making commercial use of natural and/or cultural resources on lands subject to traditional ownership and/or under customary use by indigenous peoples?	
9. Will the activity involve decisions regarding benefit-sharing arrangements, when benefits are derived from the lands/territories/resources of indigenous peoples (e.g. natural resource management or extractive industries)?	
10. Will the activity have an impact on the continuance of the relationship of the indigenous peoples with their land or their culture?	

If the answer is 'Yes' to any of these questions, FPIC will be required and the activity therefore cannot be supported by the project.

Preparation of an Indigenous Peoples Plan (IPP) and Monitoring

The project is not expected to support any activity that would entail an adverse impact to indigenous peoples. Based on the Exclusion Criteria, project activities cannot be undertaken if they would impact lands or natural resources subject to traditional ownership or under customary use or occupation of Indigenous peoples. However, following the guidance of the IPPF that has been developed, the preparation of an IPP is foreseen any time Indigenous Peoples are involved and impacted by an activity under this initiative. Further analysis should be undertaken to collect baseline data on those communities to ensure minimal to no adverse impacts to Indigenous Peoples and follow the guidance in the IPPF. Approval from UNDP and GCF will be required. The IPP will be based on the findings of the assessment and consultations process and needs to be developed with full, effective and meaningful participation of potentially affected Indigenous peoples/their representatives. The IPP (see Annex 7) should have a level of detail proportional to the complexity of the nature and scale of the proposed project and its potential impacts on Indigenous peoples and their rights, lands, territories, and resources. The IPP, in consultation with IPs, will define its monitoring parameters.

Grievance Redress

The project has established a Grievance Redress Mechanism (GRM) which is discussed in Section 5 of the project ESMF and country-specific GRMs described in the SEPs. If Indigenous Peoples are found to be impacted by specific activities, consultations should establish whether the existing project GRM is adequate to ensure the concerns of specific Indigenous groups can be considered, or whether modifications are needed. This should be done in consultations with the relevant Indigenous community.

Institutional Arrangements

The project's institutional arrangements will apply to the IPPF as described in the ESMF. UNDP will be the Executing Entity of the EW4All and will be responsible for the overall project. The global implementation arrangement will comprise of a Project Board and a global Project Management Unit (PMU) will be constituted within UNDP for the overall project coordination, oversight and monitoring. The PMU will comprise of full time and part- time staff including a Project Manager (PM), Technical Advisor, Monitoring Evaluation and Learning Officer, a part-time Communications Expert, and a part-time Safeguards, Gender and Inclusivity Expert (SGI).

The Project Manager will run the project on a day-to-day basis on behalf of the Project Board. The Project Manager's prime responsibility is to ensure that the project produces the results specified in the project document, to the required standard of quality and within the specified constraints of time and cost, as well as compliance with E&S measures laid out in the project documents including this ESMF and IPPF. In this regard, the PM will be supported by the SGI expert. The PM, via the SGI expert, will also have oversight over the activities carried out in specific projects under Output 2.

Each country under Output 2 will have their own national mechanisms in place and these are detailed in each country's EW4All proposal. Broadly, these will follow the overall project model. The Implementing Partner (IP) will be accountable to the respective UNDP-CO for managing the project, including the monitoring and evaluation of project interventions, achieving project outcomes, the effective use of UNDP resources, and ensuring SES commitments are met – including the implementation of this ESMF and IPPF. A national Project Management Unit (PMU) will be constituted. The National Project Manager in the PMU will run the project on a day-to-day basis. The National Project Manager is responsible for day-to-day management and decision-making for the project, including compliance with E&S measures laid out in the project documents including this ESMF and IPPF. In this regard, the NPM will be supported by the NSGI expert.

The table below summarizes the roles and responsibilities regarding the implementation arrangements for the IPPF.

Table 2: Responsibilities in IPPF Implementation

Action	Responsibility for Implementation	Responsibility for Oversight
Consultations with IPs to establish whether they are impacted by specific project activities, including small works	National PMU	Global PMU
Consultations with IPs to establish plans/assessments needed, such as preparation of IPP and FPIC	National PMU	Global PMU
Preparation of IPP if needed	National PMU will need to recruit expert consultant	Global PMU
Lead the FPIC process if needed	National PMU with support of expert consultant	Global PMU
Grievance mechanism	National PMU	Global PMU
Monitoring	Global PMU	UNDP

While at this stage it is difficult to appraise a budget for IPPF implementation, this is estimated at \$30,000 and is included in the ESMF budget.

Annex 7: Indicative Outline of an Indigenous Peoples Plan (IPP)

Given the extent of the EW4All project's activities – essentially focused on provision of technical assistance, capacity building, workshops, information dissemination and small works (mostly repairs, improvements) –the project has not identified any potential adverse risk for the rights, lands, territories or resources of Indigenous peoples. However, following the guidance of the IPPF developed by this project, a stand-alone Indigenous Peoples Plan (IPP) based on SES 6 will be developed any time Indigenous Peoples are involved. The IPP is to be elaborated and implemented in a manner consistent with the UNDP Social and Environmental Standards and have a level of detail proportional to the complexity of the nature and scale of the proposed project and its potential impacts on indigenous peoples and their lands, resources and territories.

The project is primarily focused on alert dissemination, related institutional strengthening and capacity building. Activities relating to disseminating alerts will include consultation with Indigenous Peoples to ensure Early Warning messages meet their needs, and the project is therefore expected to provide benefits such as awareness building and outreach through the dissemination of these EWs. While these project activities will not result in adverse impacts on land tenure rights, access to resources or cultural heritage, IPPs will need to be prepared at the country level (i.e. under the project's Output 2), to ensure EWs include considerations of IPs and meet their needs, including consultations in a language and manner that are appropriate.

With the effective and meaningful participation of the affected peoples/their representatives, the IPP shall be elaborated and contain provisions addressing, at a minimum, the substantive and relevant aspects of the following outline:

- a) Baseline information relevant to the activity being implemented (from independent and participatory environmental and social risks and impacts assessment processes);
- b) Key findings and analyses of impacts, risks and opportunities;
- c) Measures to avoid, minimize and mitigate negative impacts, and enhance positive impacts and opportunities;
- d) Community-based natural resource management (if applicable);
- e) Results of consultations (during environmental and social risks and impacts assessment processes), including a list of people and organizations that participated, a timetable, who was responsible for each activity, and future engagement plans;
- f) Gender assessment and action plans (noting each country under Output 2 has a stand-alone Gender Action Plan);
- g) Benefit sharing plans (as relevant, likely focused on the dissemination of Early Warnings);
- h) Tenure arrangements (if applicable);
- i) Grievance redress mechanisms;
- j) Costs, budgets, timetables, organizational responsibilities; and
- k) Monitoring, evaluation and reporting.

Note: The IPP would be implemented as part of project implementation. In no case shall project activities that may adversely affect Indigenous peoples take place before the corresponding activities in the IPP are implemented. Such activities should be clearly identified and excluded. Where other project documents already develop and address issues listed in the above sections, citation to the relevant document(s) shall suffice. UNDP and GCF will need to approve the IPPs before they are implemented.

ANNEX 8: Chance Find Procedures

Cultural heritage encompasses tangible and intangible heritage which may be recognized and valued at a local, regional, national or global level. *Tangible cultural heritage*, which includes movable or immovable objects, sites, structures, groups of structures, and natural features and landscapes that have archaeological, paleontological, historical, architectural, religious, aesthetic, or other cultural significance. Tangible cultural heritage may be located in urban or rural settings, and may be above or below land or under the water. *Intangible cultural heritage*, which includes practices, representations, expressions, knowledge, skills—as well as the instruments, objects, artefacts and cultural spaces associated therewith—that communities and groups recognize as part of their cultural heritage, as transmitted from generation to generation and constantly recreated by them in response to their environment, their interaction with nature and their history.

In the event that during construction, sites, resources or artifacts of cultural value are found, the following procedures for identification, protection from theft, and treatment of discovered artefacts should be followed and included in standard bidding documents.

- Stop the construction activities in the area of chance find temporarily.
- Secure the site to prevent any damage or loss of removable objects. In cases of removable antiquities or sensitive remains, a guard shall be arranged until the responsible local authorities take over.
- If relevant authorities determine that chance find is a non-cultural heritage chance find, the construction process can resume.
- If needed, conduct screening/assessment of UXO risks before site clearance. UXO screening/assessment will be carried by certified UXO experts before any physical/construction activities, including mobilization of contractors to construction site, are allowed.
- In case UXOs are found by certified experts during on-site screening, removal of UXO will be carried out by certified experts.
- A UXO clearance certificate shall be obtained from related authority for each subproject prior to commencing any subproject activities
- Conduct training and awareness activities for local community with regards to UXO risks and chance finds.

Annex 9 Template for Country Level Conflict Sensitivity Assessment

The template below provides guidance on the development of a Conflict and Fragility Analysis. Please refer to UNDP's Conflict and Sensitivity Monitoring and Evaluation Toolbox³⁸ to inform the completion of template.

I. Executive Summary of the Conflict Analysis

This section concisely describes the critical facts, significant findings, and recommended actions.

II. Describe all On-going conflict on project area

List the most significant conflicts in terms of environmental and human impact. For each conflict, please provide information on:

- o Stakeholders
- o Locations (Level of sensitivity, accessibility)
- o Reasons / motives / causes (from superficial to root causes)
- o What has been done to manage the conflict so far (legal, customary, mediations, etc.)

III. Potential interactions with the project

Please provide information and analysis on the project and:

- o Location
- o Beneficiary selection
- o Capacity of providing and delivering support
- o Stakeholder engagement (identify those that can act as integrators and dividers)

IV. Management Measures

Please provide information and analysis on the project and:

- o Location
- o Beneficiary Selection (how benefits are delivered/provided ensuring no one is left out)
- o How support will be provided
- o Capacity Gaps that need to be addressed

Opportunities for Peacebuilding Embedded within the Project (if any)

³⁸ <https://www.undp.org/lebanon/publications/conflict-sensitivity-and-monitoring-and-evaluation-toolbox>