

**GEF AGENCY ACTION PLANS ON ENVIRONMENTAL AND SOCIAL  
SAFEGUARDS & GENDER MAINSTREAMING**

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## INTRODUCTION

1. The present document responds to the decisions of the GEF Council at its 45th Meeting in November 2013 in response to its review of Council Document GEF/C.45/09, *Review of GEF Agencies on Environmental and Social Safeguards and Gender Mainstreaming*. The Council requested that each of the GEF Agencies that were found not to have fully met the requirements of either the *GEF Policy on Agency Minimum Standards on Environmental and Social Safeguards* (hereafter referred to as the Safeguards Policy) or the *GEF Policy on Gender Mainstreaming* submit to the GEF Secretariat an action plan explaining how it will come into compliance with outstanding provisions of the policies. The GEF Secretariat was requested to compile these plans and forward them to the Council for information by December 31, 2013.

2. The present document includes the action plans (or status updates) for the eight GEF Agencies that were found not to have fully met all of the requirements of the Safeguards Policy: African Development Bank (AfDB), European Bank for Reconstruction and Development (EBRD), Food and Agriculture Organization of the United Nations (FAO), Inter-American Development Bank (IADB), International Fund for Agricultural Development (IFAD), United Nations Development Program (UNDP), United Nations Environment Program (UNEP), United Nations Industrial Development Organization (UNIDO). It includes action plans on gender mainstreaming for two GEF Agencies: UNEP and UNIDO.

3. The action plans list the requirements found to be outstanding for each Agency, remedial actions agreed by each Agency, and clear deadlines. As requested by Council, all action plans are set to conclude by end-2014. To put them in proper context, these action plans should be read together with Council Document GEF/C.45/09. The GEF Secretariat will compile implementation progress reports from the GEF Agencies and present them to Council at its meetings in spring and fall 2014 and spring 2015.

### Updates on Specific Agencies

4. When the African Development Bank was reviewed in mid-2013, it was found that it needed to undertake several actions in order to comply fully with the Safeguards Policy. AfDB had conducted assessments in 2009 and 2010 that identified challenges and gaps in implementing its environmental and social policies and guidelines. These assessments served as the foundation for the design of an *Integrated Safeguards System* (ISS) by AfDB. The GEF Secretariat assessed the draft ISS and found that, when adopted, it would enable the AfDB to meet all the GEF safeguard requirements found to be outstanding. The AfDB Board of Directors approved the ISS on December 17, 2013, thereby bringing it into compliance with these outstanding requirements. This is noted in greater detail in the attached implementation update report from AfDB. The GEF Secretariat will circulate a copy of the ISS, as approved, as part of the report to Council in spring 2014.

5. It should also be noted that UNEP has undertaken steps to establish an Interim Grievance Mechanism for environmental and social safeguards, as noted in its action plan.

## AfDB SAFEGUARDS IMPLEMENTATION STATUS REPORT

### ENVIRONMENTAL AND SOCIAL SAFEGUARDS ACTION PLANS

#### African Development Bank (AfDB)

#	Criterion / Minimum Requirements	Outstanding Items (As of October 2013)	Update on Implementation of Agreed Action(s)	Status
<b>1. ENVIRONMENTAL AND SOCIAL IMPACT ASSESSMENT</b>				
1	<i>Established Agency Systems ensure that the Agency conducts Environmental and Social Impact Assessments of proposed projects to help ensure their environmental and social soundness and sustainability;</i>	AfDB meets all but one of the requirements of this minimum standard. Some improvements are needed to meet Minimum Requirement 1.4, as shown below.	The AfDB Board approved a new Integrated Safeguards System (ISS) for AfDB on December 17, 2013, which enabled AfDB to come into compliance with Minimum Requirement 1.4, as described below. AfDB now meets this standard.	Completed
1.4	Feasible investment, technical, and siting alternatives, including the “no action” alternative, are assessed, as well as potential impacts, feasibility of mitigating these impacts, their capital and recurrent costs, their suitability under local conditions, and the institutional, training and monitoring requirements associated with them;	AfDB performs the analysis of project alternatives (including the "without project" scenario) in the context of the ESIA prepared under the ESAP and ERP. However, AfDB does not currently have a specific methodology for the analysis of alternatives.	The AfDB Board approved ISS will be implemented through revised Environmental and Social Assessment Procedures and revised Integrated ESIA Guidance Notes. They include new methodologies for analyzing project alternatives that meet the GEF requirements. This Minimum Requirement is now met.	Completed
<b>2. PROTECTION OF NATURAL HABITATS</b>				
2	<i>Established policies, procedures, and guidelines require the Agency to ensure that environmentally sustainable development is promoted by supporting the sustainable management, the protection, conservation, maintenance, and rehabilitation of natural habitats and their associated biodiversity and ecosystem functions;</i>	AfDB does not meet the requirements of this minimum standard, with the exception of minimum requirements 2.9 and 2.10.	The AfDB's ISS, approved by the AfDB Board on December 17 2013, includes provisions that have enabled AfDB to come into compliance with all outstanding Minimum Requirements under this Standard. AfDB now meets this standard.	Completed
2.1	Use a precautionary and ecosystem approach to natural resource conservation and management to ensure opportunities for environmentally sustainable development. Determine if project benefits substantially outweigh potential environmental costs;	AfDB does not currently have policies or strategies in place that ensure protection and sustainable management of natural habitats in	AfDB developed the ISS in part to respond to existing gaps and emerging issues related to natural habitats. The consultants that	Completed

## AFDB SAFEGUARDS IMPLEMENTATION STATUS REPORT

#	Criterion / Minimum Requirements	Outstanding Items (As of October 2013)	Update on Implementation of Agreed Action(s)	Status
2.2	Give preference to siting physical infrastructure investments on lands where natural habitats have already been converted to other land uses;	its projects.	reviewed the ISS earlier in 2013 determined that, when adopted, the provisions of the ISS relating to the protection of natural habitats would enable AfDB to come into compliance with all the outstanding Minimum Requirements listed in the second column to the left. With the adoption of the ISS, these requirements have now been met.	
2.3	Avoid significant conversion or degradation of critical natural habitats, including those habitats that are: a) Legally protected, b) Officially proposed for protection, c) Identified by authoritative sources for their high conservation value, or d) Recognized as protected by traditional local communities.			
2.4	Where projects adversely affect non-critical natural habitats, proceed only if viable alternatives are not available, and if appropriate conservation and mitigation measures, including those required to maintain ecological services they provide, are in place. Include also mitigation measures that minimize habitat loss and establish and maintain an ecologically similar protected area.			
2.5	Screen as early as possible for potential impacts on health and quality of important ecosystems including forests, and on the rights and welfare of the people who depend on them.			
2.6	Do not finance projects that will involve significant conversion or degradation of critical natural habitats, including forests, or that will contravene applicable international environmental agreements.			
2.7	Do not finance natural forest harvesting or plantation development that will involve conversion or degradation of critical forest areas or related critical natural habitats.			
2.8	Ensure that forest restoration projects maintain or enhance biodiversity and ecosystem functionality and that all plantation projects are environmentally appropriate, socially beneficial and economically viable.			
<b>4. INDIGENOUS PEOPLES</b>				
4	<i>Established policies, procedures, and guidelines require the Agency to ensure projects are designed and implemented in such a way that fosters full respect for Indigenous Peoples' and their members' dignity, human rights, and cultural uniqueness so that they (a) receive culturally appropriate social and economic benefits; and (b) do not suffer adverse effects during the development process.</i>	AfDB currently does not have specific policies or guidelines on dealing with Indigenous Peoples (IP) in its projects. AfDB recognizes them as a vulnerable group and treats them as such in its operations. AfDB was assessed as meeting Minimum Requirement 4.9 but not the other Minimum Requirements.	The AfDB's ISS includes provisions on vulnerable groups, including Indigenous Peoples, which have enabled AfDB to come into compliance with all previously outstanding Minimum Requirements under this Standard. AfDB now meets this Standard.	Completed

## AFDB SAFEGUARDS IMPLEMENTATION STATUS REPORT

#	Criterion / Minimum Requirements	Outstanding Items (As of October 2013)	Update on Implementation of Agreed Action(s)	Status
4.1	Screen early for the presence of Indigenous Peoples in the project area, who are identified through criteria that reflect their social and cultural distinctiveness. Such criteria may include: self-identification and identification by others as Indigenous Peoples, collective attachment to land, presence of customary institutions, indigenous language, and primarily subsistence-oriented production.	As a regional bank, AfDB is very conscious of how “ethnicity” and “indigenous peoples” are extremely contentious terms given their social, cultural, and political implications across Africa. The Bank acknowledges the existence of indigenous peoples but does not specifically target them; instead, the Bank addresses indigenous peoples under the larger umbrella of “vulnerable groups.” The Bank’s existing E&S policies, guidelines, and procedures emphasize assessing, supporting, and monitoring vulnerable groups through targeted means, measures, and modalities in its public and private sector operations.	The AfDB designed the ISS to ensure that Indigenous Peoples receive adequate and appropriate attention in AfDB projects as required by the Minimum Requirements listed to the left. Operational Safeguard 1: Environmental and social assessment (OS1) contained in the ISS includes requirements covering “vulnerable groups, including Indigenous Peoples.” The consultants that reviewed the ISS earlier in 2013 determined that, when adopted, the provisions of the ISS relating to vulnerable groups, including Indigenous Peoples, would enable AfDB to come into compliance with outstanding Minimum Requirements listed in the second column to the left. With the adoption of the ISS, these requirements have now been met.	Completed
4.2	Undertake free, prior, and informed consultations with affected Indigenous Peoples to ascertain their broad community support for projects affecting them and to solicit their full and effective participation in designing, implementing, and monitoring measures to (a) ensure a positive engagement in the project (b) avoid adverse impacts, or when avoidance is not feasible, minimize, mitigate, or compensate for such effects; and (c) tailor benefits in a culturally appropriate way.			
4.3	Undertake the environmental and social impact assessment, with involvement of Indigenous Peoples, to assess potential impacts and risks when a project may have adverse impacts. Identify measures to avoid, minimize and/or mitigate adverse impacts.			
4.4	Provide socioeconomic benefits in ways that are culturally appropriate, and gender and generationally inclusive. Full consideration should be given to options preferred by the affected Indigenous Peoples for provision of benefits and mitigation measures.			
4.5	Make provisions in plans, where appropriate, to support activities to establish legal recognition of customary or traditional land tenure and management systems and collective rights used by project affected Indigenous Peoples.			
4.6	Where restriction of access of Indigenous Peoples to parks and protected areas is not avoidable, ensure that affected Indigenous Peoples and effectively participate in the design, implementation, monitoring and evaluation of management plans for such parks, protected areas, and species and share equitably in benefits from the parks and protected areas.			
4.7	Refrain from utilizing the cultural resources or knowledge of Indigenous Peoples without obtaining their prior agreement to such use.			
4.8	For those projects where the environmental and social impact assessment identifies adverse effects on Indigenous Peoples, Agency policies require that the project develop an Indigenous Peoples plan or a framework that (a) specifies measures to ensure that affected Indigenous Peoples receive culturally appropriate benefits and (b) identifies measures to avoid,			

## AFDB SAFEGUARDS IMPLEMENTATION STATUS REPORT

#	Criterion / Minimum Requirements	Outstanding Items (As of October 2013)	Update on Implementation of Agreed Action(s)	Status
	minimize, mitigate or compensate for any adverse effects, (c) includes measures for continued consultation during project implementation, grievance procedures, and monitoring and evaluation arrangements, and (d) specifies a budget and financing plan for implementing the planned measures. Such plans should draw on indigenous knowledge and be developed in with the full and effective participation of affected Indigenous Peoples.			
4.10	Monitor, by experienced social scientists, the implementation of the project (and any required Indigenous Peoples plan or framework) and its benefits as well as challenging or negative impacts on Indigenous Peoples and address possible mitigation measures in a participatory manner.			Completed
<b>5. PEST MANAGEMENT</b>				
5	<i>Established policies, procedures, and guidelines require the Agency to ensure the environmental and health risks associated with pesticide use are minimized and managed, and that safe, effective, and environmentally sound pest management is promoted and supported.</i>	AfDB does not meet the requirements of this minimum standard, with the exception of minimum requirement 5.6.	The AfDB's ISS includes provisions that have enabled AfDB to come into compliance with all outstanding Minimum Requirements under this Standard. AfDB now meets this standard.	Completed
5.1	Promote the use of demand driven, ecologically-based biological or environmental pest management practices (referred to as Integrated Pest Management [IPM] in agricultural projects and Integrated Vector Management [IVM] in public health projects) and reduce reliance on synthetic chemical pesticides. Include assessment of pest management issues, impacts and risks in the EA process.	AfDB does not currently have policies or guidelines to ensure safe pest management in its projects.	The ISS was developed in part to respond to existing gaps and emerging issues related to pest management. The consultants that reviewed the ISS earlier in 2013 determined that, when adopted, the provisions of the ISS relating pest management would enable AfDB to come into compliance with five outstanding Minimum Requirements listed in the second column to the left. With the adoption of the ISS, these requirements have now been met.	Completed
5.2	The Agency requires that, in the context of projects that it supports, pesticides are procured contingent on an assessment of the nature and degree of associated risks, taking into account the proposed use and intended users. The Agency also does not allow the procurement or use of formulated products that are in World Health Organization (WHO) Classes IA and IB, or formulations of products in Class II unless there are restrictions that are likely to deny use or access to lay personnel and others without training or proper equipment.			
5.3	The Agency also does not allow the procurement or use in its projects pesticides and other chemicals specified as persistent organic pollutants identified under the Stockholm convention.			

## AFDB SAFEGUARDS IMPLEMENTATION STATUS REPORT

#	Criterion / Minimum Requirements	Outstanding Items (As of October 2013)	Update on Implementation of Agreed Action(s)	Status
5.4	Follow the recommendations and minimum standards as described in the United Nations Food and Agriculture Organization (FAO) International Code of Conduct on the Distribution and Use of Pesticides (Rome, 2003) and its associated technical guidelines and procure only pesticides, along with suitable protective and application equipment that will permit pest management actions to be carried out with well-defined and minimal risk to health, environment and livelihoods.			
5.5	Support policy reform and institutional capacity development to (a) enhance implementation of IPM- and IVM-based pest management, and (b) regulate and monitor the distribution and use of pesticides.			
<b>6. PHYSICAL CULTURAL RESOURCES</b>				
6	<i>Established policies, procedures, and guidelines require the Agency to ensure physical cultural resources (PCR) are appropriately preserved and their destruction or damage is appropriately avoided. PCR includes archaeological, paleontological, historical, architectural, and sacred sites including graveyards, burial sites, and unique natural values. The impacts on physical cultural resources resulting from project activities, including mitigating measures, may not contravene either the recipient country's national legislation or its obligations under relevant international environmental treaties and agreements.</i>	While AfDB was assessed as meeting Minimum Requirements 6.3 and 6.5, it does not have policies or guidelines for ensuring the protection of PCR in its projects consistent with the other Minimum Requirements.	The AfDB's Integrated Safeguards System (ISS), approved by the AfDB Board on December 17 2013, includes provisions that have enabled AfDB to come into compliance with all outstanding Minimum Requirements under this Standard. AfDB now meets this standard.	Completed
6.1	Analyze feasible project alternatives to prevent or minimize or compensate for adverse impacts and enhance positive impacts on PCR, through site selection and design.	AfDB does not currently have policies or guidelines to ensure protection of PCR in its projects consistent with the Minimum Requirements to the left.	The ISS was developed in part to respond to existing gaps and emerging issues related to the protection of Physical and Cultural Resources (PCR). The consultants that reviewed the ISS earlier in 2013 determined that, when adopted, the provisions of the ISS relating to PCR would enable AfDB to come into compliance with three outstanding Minimum Requirements listed in the second column to the left. With the adoption of the ISS, these requirements have now been met.	Completed
6.2	If possible, avoid financing projects that could significantly damage PCR. As appropriate, conduct field-based surveys using qualified specialists to evaluate PCR.			
6.4	Provide for the use of "chance find" procedures that include a pre-approved management and conservation approach for materials that may be discovered during project implementation.			



## AfDB SAFEGUARDS IMPLEMENTATION STATUS REPORT

#	Criterion / Minimum Requirements	Outstanding Items (As of October 2013)	Update on Implementation of Agreed Action(s)	Status
<b>7. SAFETY OF DAMS</b>				
7	<i>Agency systems require the Agency to ensure quality and safety in the design and construction of new dams, and the rehabilitation of existing dams, on a scale that is appropriate to the Agency's mission. In addition, the Agency undertakes appropriate measures to ensure the quality and safety in the performance of existing dams on which the project may have an impact or that may affect the outcome of the project.</i>	AfDB was assessed as meeting Minimum Requirements 7.3, 7.5, and 7.6, but did not have sufficient policies and procedures to meet the other Minimum Requirements.	The AfDB's Integrated Safeguards System (ISS), approved by the AfDB Board on December 17 2013, includes provisions that have enabled AfDB to come into compliance with all outstanding Minimum Requirements under this Standard. AfDB now meets this standard.	Completed
7.1	Use experienced and competent professionals to design and supervise the construction, operation, and maintenance of dams and associated works.	AfDB does not have specific safeguard policies or procedures in place to ensure the safety of dams in its projects. In practice, however, AfDB has extensive experience and demonstrated capacity to ensure the safety of the dams it finances in its projects.	The consultants that reviewed the ISS earlier in 2013 determined that, when adopted, the provisions of the ISS relating to PCR would enable AfDB to come into compliance with three outstanding Minimum Requirements on dam safety listed in the second column to the left. With the adoption of the ISS, these requirements have now been met.	Completed
7.2	Develop plans, including for construction supervision, instrumentation, operation and maintenance and emergency preparedness.			
7.4	Use contractors that are qualified and experienced to undertake planned construction activities.			

European Bank for Reconstruction and Development (EBRD)

#	Criterion / Minimum Requirements	Outstanding Items	Agreed Action(s)	Deadline
<b>3. INVOLUNTARY RESETTLEMENT</b>				
3	<i>Established policies, procedures, and guidelines require the Agency to ensure that involuntary resettlement is avoided or minimized. Where this is not feasible, the Agency is required to ensure displaced persons are assisted in improving or at least restoring their livelihoods and standards of living in real terms relative to pre-displacement levels or to levels prevailing prior to the beginning of project implementation, whichever is higher;</i>	EBRD’s policies and procedures address all GEF requirements under this Minimum Standard except for Minimum Requirement 3.9 regarding the timing of provision of resettlement entitlements, as noted below.	EBRD will address this issue as described below	May 2014
3.9	Implement all relevant resettlement plans before project completion and provide resettlement entitlements before displacement or restriction of access. For projects involving restriction of access, impose the restrictions in accordance with the timetable in the plan of actions.	<p>EBRD does not consider resettlement projects complete until adverse impacts have been addressed consistent with its Performance Requirement 5 (PR5) and the project’s resettlement plan. For physical displacement, PR5 requires that alternative housing and/or cash compensation be provided prior to relocation. For economic displacement due to loss of assets or access restrictions, PR5 calls for ‘prompt’ compensation but does not require that resettlement entitlements must be provided before displacement or imposition of access restrictions, as required by the GEF requirement.</p> <p>(EBRD Management Response: EBRD does not agree with this assessment as compensation is discussed without any differentiation between physical and economic in para. 30 of PR5. The same standards apply for both (as per subsequent paragraphs 34-40 of PR5.). The difference of course is that while a new building can be assessed straight away, for its acceptability, it takes a longer period of time to assess whether livelihoods have been restored.)</p>	EBRD will consider stating this principle explicitly in the forthcoming review of its Environmental and Social Policy. EBRD is currently preparing implementation guidelines and will also ensure that they explicitly state this minimum requirement.	May 2014

## EBRD SAFEGUARDS ACTION PLAN

#	Criterion / Minimum Requirements	Outstanding Items	Agreed Action(s)	Deadline
<b>4. INDIGENOUS PEOPLES</b>				
4	<i>Established policies, procedures, and guidelines require the Agency to ensure projects are designed and implemented in such a way that fosters full respect for Indigenous Peoples' and their members' dignity, human rights, and cultural uniqueness so that they (a) receive culturally appropriate social and economic benefits; and (b) do not suffer adverse effects during the development process.</i>	EBRD's policies and procedures address all GEF requirements under this Minimum Standard except for Minimum Requirement 4.5, as noted below.	EBRD will address this issue as described below	Jan. 2014
4.5	Make provisions in plans, where appropriate, to support activities to establish legal recognition of customary or traditional land tenure and management systems and collective rights used by project affected Indigenous Peoples.	EBRD's policy (PR7), while recognizing that Indigenous Peoples have a special relationship with their traditional lands and that sometimes this land is not under their ownership, does not explicitly refer to making provisions in plans, where appropriate, to supporting activities to establish legal recognition of customary or traditional land tenure and management systems and collective rights used by project-affected Indigenous Peoples.	The EBRD will issue, internally and to clients, implementation guidance, which will address this minimum requirement through policy dialogue with governments. In accordance with the Bank's mandate, the implementation guidance would not prescribe lobbying on the side of the IPs as mandatory action, but would encourage, where appropriate, policy dialogue with the relevant governments as best practice. The extent of the policy dialogue would be to support the legal recognition of customary or traditional land tenure and management systems and collective rights used by Indigenous Peoples.	Jan. 2014

Food and Agriculture Organization of the United Nations (FAO)

#	Criterion / Minimum Requirements	Outstanding Items	Agreed Action(s)	Deadline
<b>1. ENVIRONMENTAL AND SOCIAL IMPACT ASSESSMENT</b>				
1	<i>Established Agency Systems ensure that the Agency conducts Environmental and Social Impact Assessments of proposed projects to help ensure their environmental and social soundness and sustainability;</i>	FAO's mandatory guidelines address nearly all GEF requirements under this Minimum Standard. However, two areas require further strengthening: clarification of when use of independent expertise in high-risk projects is required (Minimum Requirement 1.7), and its procedures for ensuring timely public disclosure of assessments and management plans (Minimum Requirement 1.9)	FAO will update its environmental and social safeguards and systems to address these issues as described below.	End-2014
1.7	Use independent expertise in the preparation of environmental and social impact assessments, where appropriate. Use independent advisory panels during preparation and implementation of projects that are highly risky or contentious or that involve serious and multi-dimensional environmental and/or social concerns;	FAO guidelines do not require that independent experts conduct Category A assessments (although it does require site visits by an independent experts during preparation of EIAs for Category A projects. FAO requires that independent advisory panels be formed for highly risky projects.	FAO has initiated a process to enhance its system of environmental and social safeguards and ensure full implementation consistent with the GEF's Minimum Standards. As part of this initiative, FAO agrees to clarify its requirements regarding the use of independent expertise in the preparation of ESIA's.	End-2014
1.9	Disclose draft environmental and social impact assessments in a timely manner, before appraisal formally begins, in a place accessible to key stakeholders including project affected groups and CSOs in a form and language understandable to them.	FAO guidelines require disclosure of draft assessments in an accessible form and language in a timely manner, before project appraisal. However, FAO could not provide documentation that recorded the form and timing of disclosures.	FAO will implement a disclosure tracking system to strengthen implementation of its disclosure requirements.	End-2014
<b>2. PROTECTION OF NATURAL HABITATS</b>				
2	<i>Established policies, procedures, and guidelines require the Agency to ensure that environmentally sustainable development is promoted by supporting the sustainable management, the protection, conservation, maintenance, and rehabilitation of natural habitats and their associated biodiversity and ecosystem functions;</i>	FAO's policy requirements and mandatory guidelines address all the GEF requirements under this Minimum Standard except for ensuring timely disclosure of assessments and management plans (2.10)	FAO will update its environmental and social safeguards and systems to address these issues as described below.	End-2014
2.10	Disclose draft mitigation plan in a timely manner, before appraisal formally begins, in a place accessible to key stakeholders, including project affected groups and CSOs, in a	FAO guidelines require disclosure of draft assessments and mitigation plans in an accessible form and language in a timely	FAO will implement a disclosure tracking system to strengthen implementation of its disclosure	End-2014

## FAO SAFEGUARDS ACTION PLAN

#	Criterion / Minimum Requirements	Outstanding Items	Agreed Action(s)	Deadline
	form and language understandable to them.	manner, before project appraisal. However, FAO could not provide documentation that recorded the form and timing of disclosures.	requirements.	
<b>3. INVOLUNTARY RESETTLEMENT</b>				
3	<i>Established policies, procedures, and guidelines require the Agency to ensure that involuntary resettlement is avoided or minimized. Where this is not feasible, the Agency is required to ensure displaced persons are assisted in improving or at least restoring their livelihoods and standards of living in real terms relative to pre-displacement levels or to levels prevailing prior to the beginning of project implementation, whichever is higher;</i>	FAO substantially meets this Minimum Standard. FAO has a clear policy prohibition against supporting projects that may involve involuntary physical relocation or economic displacement caused by land acquisition or loss of assets (including from access restrictions to protected areas). Given this prohibition, the GEF's requirements regarding involuntary physical relocation and economic displacement do not apply to FAO. FAO, however, does implement projects concerning the creation or expansion of protected areas, which may involve imposition of access restrictions that may result in loss of income and/or livelihood impacts. FAO's policy prohibitions indicate that it must pursue voluntary agreements for projects involving potential access restrictions; but, this approach is not reflected in FAO's requirements with sufficient clarity.	FAO will codify its approach of ensuring that conservation agreements/legal ownership agreements are reached with affected communities for protected area projects that may involve access restrictions. This will be included in revisions to its Environmental Impact Assessment Guidelines over the next year.	End-2014
<b>4. INDIGENOUS PEOPLES</b>				
4	<i>Established policies, procedures, and guidelines require the Agency to ensure projects are designed and implemented in such a way that fosters full respect for Indigenous Peoples' and their members' dignity, human rights, and cultural uniqueness so that they (a) receive culturally appropriate social and economic benefits; and (b) do not suffer adverse effects during the development process.</i>	FAO's requirements address nearly all GEF requirements under this Minimum Standard. Two areas require strengthening: specification of the generic content and triggers for an Indigenous Peoples Plan (4.8), and ensuring timely disclosure of draft assessments and plans (including the Indigenous Peoples Plan) (4.9).	FAO will update its environmental and social safeguards and systems to address these issues as described below.	End-2014
4.8	For those projects where the environmental and social impact assessment identifies adverse effects on Indigenous Peoples, Agency policies require that the project develop an Indigenous Peoples plan or a framework that (a) specifies measures to ensure that affected Indigenous Peoples receive culturally	FAO requires development of an Indigenous Peoples Plan (IPP) for projects that affect indigenous Peoples. The plan is to include measures for provision of appropriate benefits. However, the trigger for requiring an IPP is not	FAO agrees to specify the generic content of and triggers for requiring and Indigenous Peoples Plan when it updates its EIA Guidelines.	End-2014

## FAO SAFEGUARDS ACTION PLAN

#	Criterion / Minimum Requirements	Outstanding Items	Agreed Action(s)	Deadline
	appropriate benefits and (b) identifies measures to avoid, minimize, mitigate or compensate for any adverse effects, (c) includes measures for continued consultation during project implementation, grievance procedures, and monitoring and evaluation arrangements, and (d) specifies a budget and financing plan for implementing the planned measures. Such plans should draw on indigenous knowledge and be developed in with the full and effective participation of affected Indigenous Peoples.	specified, and no generic outline of the content of an IPP is available.		
4.9	Disclose documentation of the consultation process and the required Indigenous Peoples plan or framework, in a timely manner, before appraisal formally begins, in a place accessible to key stakeholders, including project affected groups and CSOs, in a form and language understandable to them.	FAO guidelines require disclosure of draft mitigation plans, including Indigenous Peoples Plans, in an accessible form and language in a timely manner, before project appraisal. However, FAO does not have a tracking system to ensure requirements are addressed.	FAO will implement a disclosure tracking system to strengthen implementation of its disclosure requirements.	End-2014
<b>5. PEST MANAGEMENT</b>				
5	<i>Established policies, procedures, and guidelines require the Agency to ensure the environmental and health risks associated with pesticide use are minimized and managed, and that safe, effective, and environmentally sound pest management is promoted and supported.</i>	FAO's requirements address all GEF requirements under this Minimum Standard except for ensuring timely disclosure of assessments and management plans (5.6).	FAO will update its environmental and social safeguards and systems to address these issues as described below.	End-2014
5.6	Disclose draft mitigation plans in a timely manner, before appraisal formally begins, in a place accessible to key stakeholders including project affected groups and CSOs in a form and language understandable to them.	FAO guidelines require disclosure of draft mitigation plans, including Pest Management Plans, in an accessible form and language in a timely manner, before project appraisal. However, FAO does not have a tracking system to ensure requirements are addressed.	FAO will implement a disclosure tracking system to strengthen implementation of its disclosure requirements.	End-2014
<b>6. PHYSICAL CULTURAL RESOURCES</b>				
6	<i>Established policies, procedures, and guidelines require the Agency to ensure physical cultural resources (PCR) are appropriately preserved and their destruction or damage is appropriately avoided. PCR includes archaeological, paleontological, historical, architectural, and sacred sites including graveyards, burial sites, and unique natural values. The impacts on physical cultural resources resulting from project activities, including mitigating measures, may not contravene either the recipient country's national legislation</i>	FAO's standards address all GEF requirements under this Minimum Standard except for ensuring timely disclosure of assessments and management plans (6.5).	FAO will update its environmental and social safeguards and systems to address these issues as described below.	End-2014

## FAO SAFEGUARDS ACTION PLAN

#	Criterion / Minimum Requirements	Outstanding Items	Agreed Action(s)	Deadline
	<i>or its obligations under relevant international environmental treaties and agreements.</i>			
6.5	Disclose draft mitigation plans, in a timely manner, before appraisal formally begins, in a place accessible to key stakeholders including project affected groups and CSOs in a form and language understandable to them.	FAO guidelines require disclosure of draft mitigation plans, including plans to protect cultural heritage, in an accessible form and language in a timely manner, before project appraisal. However, FAO does not have a tracking system to ensure requirements are addressed.	FAO will implement a disclosure tracking system to strengthen implementation of its disclosure requirements.	End-2014
<b>7. SAFETY OF DAMS</b>				
7	<i>Agency systems require the Agency to ensure quality and safety in the design and construction of new dams, and the rehabilitation of existing dams, on a scale that is appropriate to the Agency's mission. In addition, the Agency undertakes appropriate measures to ensure the quality and safety in the performance of existing dams on which the project may have an impact or that may affect the outcome of the project.</i>	FAO does not support large dams (only small dams and irrigation projects in most cases, of no more than 5m in height or 50,000 cubic meters of storage). As such, several standards under the GEF requirements that relate to large dam projects are found inapplicable. FAO's guidelines address all relevant GEF requirements for small dams except for ensuring timely disclosure of assessments and management plans (7.6)	FAO will update its environmental and social safeguards and systems to address these issues as described below.	End-2014
7.6	Disclose draft plans, in a timely manner, before appraisal formally begins, in a place accessible to key stakeholders, including project affected groups and CSOs, in a form and language understandable to them.	FAO guidelines require disclosure of draft mitigation plans, including dam safety plans, in an accessible form and language in a timely manner, before project appraisal. However, FAO does not have a tracking system to ensure requirements are addressed.	FAO will implement a disclosure tracking system to strengthen implementation of its disclosure requirements.	End 2014
<b>8. ACCOUNTABILITY AND GRIEVANCE SYSTEMS</b>				
8.1	<p>GEF Partner Agencies shall have accountability systems or measures that are designed to ensure enforcement of its environmental and social safeguard policies and related systems.</p> <p>GEF Partner Agencies' accountability systems shall be:</p> <ul style="list-style-type: none"> <li>a. Designed to address potential breaches of a GEF Partner Agency's policies and procedures;</li> <li>b. Independent, transparent, and effective;</li> <li>c. Accessible to project-affected people;</li> </ul>	FAO does not currently have a system or mechanism for ensuring accountability/compliance for the enforcement of its environmental and social safeguard policies, including an accessible, transparent system for receiving, processing, and investigating external stakeholder complaints regarding breaches of such policies.	FAO is reviewing other agencies' practices and proposals for ensuring compliance review (including UNDP's Proposal for Environmental and Social Compliance and Grievance Processes and among UN-REDD agencies). FAO plans to meet the GEF requirements by the end of 2014.	End-2014



**FAO SAFEGUARDS ACTION PLAN**

#	Criterion / Minimum Requirements	Outstanding Items	Agreed Action(s)	Deadline
	<p>d. Required to keep complainants abreast of progress with cases brought forward; and</p> <p>e. Required to maintain records on all cases and issues brought forward for review.</p>			
8.2	<p>GEF Partner Agencies shall also have systems or measures for the receipt of and timely response to complaints from parties affected by the implementation of the Partner Agencies' projects and which seek resolution of such complaints. Such systems are not intended to substitute for the country-level dispute resolution and redress mechanisms.</p> <p>With regard to systems for the receipt and response to complaints, GEF Partner Agencies shall:</p> <p>a. Designate staff or a division that is available to receive and respond to complaints related to the implementation of its projects.</p> <p>b. Work proactively with the complainant and other parties to resolve the complaints or disputes determined to have standing.</p> <p>c. Maintain records on all cases and issues brought forward, with due regard for confidentiality of information.</p> <p>d. Publicly designate the contact information for the staff and/or division responsible for receiving and responding to complaints. This information should preferably be designated both on the Agency's website and on separate websites, if established, for specific projects. For individual projects, this information should be provided in local languages.</p> <p>e. Inform project stakeholders of the existence of the Agency's Accountability and Grievance Systems during consultations and inform stakeholders how they may file complaints, including provision of contact information for the responsible staff or division.</p>	<p>FAO also does not currently have an agency-wide grievance redress system for receiving, processing, and addressing external stakeholder complaints regarding social and environmental issues of FAO supported projects.</p>	<p>FAO is reviewing other agencies' practices and proposals for providing grievance redress mechanisms and systems (including UNDP's Proposal for Environmental and Social Compliance and Grievance Processes and among UN-REDD agencies). FAO plans to meet the GEF requirements by the end of 2014.</p>	End-2014



**Inter-American Development Bank (IDB)**

#	Criterion / Minimum Requirements	Outstanding Items	Agreed Action(s)	Deadline
<b>5. PEST MANAGEMENT</b>				
5	<i>Established policies, procedures, and guidelines require the Agency to ensure the environmental and health risks associated with pesticide use are minimized and managed, and that safe, effective, and environmentally sound pest management is promoted and supported.</i>	IDB's policies and procedures fully address all requirements under this Minimum Standard except for Minimum Requirement 5.4.	IDB will address this issue as described below	September 15, 2014
5.4	Follow the recommendations and minimum standards as described in the United Nations Food and Agriculture Organization (FAO) <i>International Code of Conduct on the Distribution and Use of Pesticides</i> (Rome, 2003) and its associated technical guidelines and procure only pesticides, along with suitable protective and application equipment that will permit pest management actions to be carried out with well-defined and minimal risk to health, environment and livelihoods.	Current guidelines do not require IDB projects to follow FAO's <i>International Code of Conduct on the Distribution and Use of Pesticides</i> .	IDB will prepare a guidance document on the application of its Environmental Safeguard Policy Directive B.10 that covers the distribution and use of pesticides, including the requirements of FAO's <i>International Code of Conduct on the Distribution and Use of Pesticides</i> . This document will be available for use during project preparation and implementation, will be published and available to the public.	September 15, 2014

**International Fund for Agricultural Development (IFAD)**

#	Criterion / Minimum Requirements	Outstanding Items	Agreed Action(s)	Deadline
<b>1. ENVIRONMENTAL AND SOCIAL IMPACT ASSESSMENT</b>				
1	<i>Established Agency Systems ensure that the Agency conducts Environmental and Social Impact Assessments of proposed projects to help ensure their environmental and social soundness and sustainability;</i>	IFAD meets all the requirements of this Minimum Standard, with the exception of Minimum Requirements 1.8 and 1.9, as noted below.	IFAD will address the issues as described below.	End-2014
1.8	Provide for application of the minimum requirements to subprojects under investment and financial intermediary activities;	Neither the ESAP nor Operational Statement 10 on Rural Finance provides clear guidance regarding what types of environmental and social due diligence IFAD will require of rural finance institutions executing IFAD financial intermediary projects.	IFAD will revise its Operational Statement 10 to clarify environmental and social due diligence requirements to assess the potential environmental and social impacts, and risks associated with rural financial institutions activities that receive IFAD support. All FI projects are currently treated as Category B. IFAD will support RFIs to have in place or establish an appropriate environmental and social management system commensurate with the nature and risks of the RFIs likely portfolio supported using IFAD finance.	End-2014
1.9	Disclose draft environmental and social impact assessments in a timely manner, before appraisal formally begins, in a place accessible to key stakeholders including project affected groups and CSOs in a form and language understandable to them.	Neither the ESAP nor IFAD's Disclosure Policy requires draft environmental impact assessments to be disclosed "before project appraisal formally begins, in a place accessible to key stakeholders including project affected groups and CSOs in a form and language understandable to them".	IFAD will revise its ESAP to ensure that all relevant documentation (ESIAs, draft resettlement plans, draft mitigation plans and frameworks, documentation of the IP Consultation process) is disclosed in a timely manner prior to Appraisal, in an accessible place and in a form and language understandable to affected persons and key stakeholders. This action will fulfill the	End-2014

## IFAD SAFEGUARDS ACTION PLAN

#	Criterion / Minimum Requirements	Outstanding Items	Agreed Action(s)	Deadline
			following safeguard requirements: 2.10, 3.8, 4.9, 5.6, 6.5, and 7.6 below.	
<b>2. PROTECTION OF NATURAL HABITATS</b>				
2	<i>Established policies, procedures, and guidelines require the Agency to ensure that environmentally sustainable development is promoted by supporting the sustainable management, the protection, conservation, maintenance, and rehabilitation of natural habitats and their associated biodiversity and ecosystem functions;</i>	IFAD meets all the requirements of this Minimum Standard, with the exception of Minimum Requirement 2.10, as noted below.	IFAD will address the issues as described in 1.9 above.	End-2014
2.10	Disclose draft mitigation plan in a timely manner, before appraisal formally begins, in a place accessible to key stakeholders, including project affected groups and CSOs, in a form and language understandable to them.	Neither the ESAP nor IFAD's Disclosure Policy requires relevant draft mitigation plans to be disclosed "before project appraisal formally begins, in a place accessible to key stakeholders including project affected groups and CSOs in a form and language understandable to them".	See Agreed action 1.9 above.	End-2014
<b>3. INVOLUNTARY RESETTLEMENT</b>				
3	<i>Established policies, procedures, and guidelines require the Agency to ensure that involuntary resettlement is avoided or minimized. Where this is not feasible, the Agency is required to ensure displaced persons are assisted in improving or at least restoring their livelihoods and standards of living in real terms relative to pre-displacement levels or to levels prevailing prior to the beginning of project implementation, whichever is higher;</i>	As noted below, IFAD has adopted some policy and procedure elements that help avoid and minimize involuntary resettlement due to the involuntary taking of land. This includes its Land Policy and the requirement that, should projects involve involuntary resettlement, they would be classified as Category A, and therefore require a full ESIA. IFAD's system, however, is not sufficient to prevent involuntary resettlement in all instances and IFAD does not have requirements to ensure that any displaced persons are assisted in improving their livelihoods relative to pre-displacement levels or to levels prevailing prior to the beginning of project implementation. Minimum Requirement 3.4 and other elements related to protected areas are not applicable to IFAD.	IFAD will address the issues as described below.	End-2014
3.1	Agency policies require it to assess all viable alternative project designs to avoid, where feasible, or minimize involuntary resettlement;	IFAD's "Land Policy" - Improving Access to Land and Tenure Security - articulates several important guiding principles that minimize the risk of	IFAD will: (i) include in its revised ESAP, a clear statement on avoidance of involuntary	End-2014

## IFAD SAFEGUARDS ACTION PLAN

#	Criterion / Minimum Requirements	Outstanding Items	Agreed Action(s)	Deadline
3.2	Through census and socio-economic surveys of the affected population, the Agency identifies, assesses, and addresses the potential economic and social impacts of the project that are caused by involuntary taking of land (e.g. relocation or loss of shelter, loss of assets or access to assets, loss of income sources or means of livelihood, whether or not the affected person must move to another location) or involuntary restriction of access to legally designated parks and protected areas;	negative economic or social impacts arising from “involuntary resettlement,” as defined under the GEF Policy. IFAD’s Land Policy requires “adherence of a ‘do-no-harm’ principle at all times” and “adherence to the principle of free, prior, and informed consent” (FPIC) for “any development intervention that might affect the land access and use rights of communities.”	taking or restrictions on use of land that result in physical displacement (relocation, loss of land , or loss of shelter) and economic displacement (loss of assets, access to assets, income sources, or means of livelihood); and (ii) develop operational guidelines and decision tools	
3.3	The Agency identifies and addresses impacts, also if they result from other activities that are (a) directly and significantly related to the proposed GEF-financed project, (b) necessary to achieve its objectives, and (c) carried out or planned to be carried out contemporaneously with the project. The Agency consults project-affected persons, host communities and local CSOs, as appropriate.	The Policy states that IFAD “will ensure that their free, prior, and informed consent has been solicited through inclusive consultations based on full disclosure of the intent and scope of the activities planned and their implications.”  IFAD has explained that this policy is enforced through its Quality Assurance Process.	'foreseen under its Land Policy' to cover minimum requirements 3.1, 3.2, 3.3, 3.5, 3.6, 3.7, 3.8 and 3.10, as appropriate for IFAD operations. Also see Action 1.9 above.	
3.5	If resettlement is required, provide persons to be resettled with opportunities to participate in the planning, implementation, and monitoring of the resettlement program, especially in the process of developing and implementing the procedures for determining eligibility for compensation benefits and development assistance (as documented in a resettlement plan), and for establishing appropriate and accessible grievance mechanisms. Pay particular attention to the needs of vulnerable groups among those displaced, especially those below the poverty line, the landless, the elderly, women and children, Indigenous Peoples, ethnic minorities, or other displaced persons who may not be protected through national land compensation legislation;	While the risk of involuntary resettlement in the context of IFAD projects is quite low, it is not non-existent. IFAD’s policies and procedures are not presently fully adequate for identifying and addressing such risks should they occur, including in terms of determining any needed compensation for such individuals.		
3.6	Inform persons to be resettled of their rights, consult them on options, and provide them with technically and economically feasible resettlement alternatives and assistance. For example (a) prompt compensation at full replacement cost for loss of assets attributable to the project; (b) if there is relocation, assistance during relocation, and residential housing, or housing sites, or agricultural sites of equivalent productive potential, as required; (c) transitional support and development assistance, such as land preparation, credit facilities, training or			

## IFAD SAFEGUARDS ACTION PLAN

#	Criterion / Minimum Requirements	Outstanding Items	Agreed Action(s)	Deadline
	job opportunities as required, in addition to compensation measures; (d) cash compensation of land when impact of land acquisitions on livelihoods is minor; (e) provision of civic infrastructure and community services; and (f) give preference to land-based resettlement strategies for persons whose livelihoods are land-based;			
3.7	For those without formal legal rights to lands or claims to such land that could be recognized under the laws of the country, provide resettlement assistance in lieu of compensation for land to help improve or at least restore their livelihoods;			
3.8	Disclose draft resettlement plans and/or plans to address involuntary restriction on access to protected areas, including documentation of the consultation process, in a timely manner, before appraisal formally begins, in a place accessible to key stakeholders including project affected groups and CSOs in a form and language understandable to them. Apply these minimum requirements described in the involuntary resettlement section, as applicable and relevant, to subprojects requiring land acquisition.			
3.9	Implement all relevant resettlement plans before project completion and provide resettlement entitlements before displacement or restriction of access. For projects involving restriction of access, impose the restrictions in accordance with the timetable in the plan of actions.			
3.10	Upon completion of the project, the Agency assesses whether the objectives of the project resettlement plan have been achieved, taking account the baseline conditions and the results of resettlement monitoring.			
<b>4. INDIGENOUS PEOPLES</b>				
4	<i>Established policies, procedures, and guidelines require the Agency to ensure projects are designed and implemented in such a way that fosters full respect for Indigenous Peoples' and their members' dignity, human rights, and cultural uniqueness so that they (a) receive culturally appropriate social and economic benefits; and (b) do not suffer adverse effects during the development process.</i>	IFAD meets all the applicable requirements of this Minimum Standard, with the exception of Minimum Requirement 4.9, as noted below.	IFAD will address the issues as described in 1.9 above.	End-2014
4.9	Disclose documentation of the consultation process and the required Indigenous Peoples plan or framework, in a timely	Neither the ESAP nor IFAD's Disclosure Policy require relevant documents to be disclosed "before	See Agreed action 1.9 above.	End-2014

## IFAD SAFEGUARDS ACTION PLAN

#	Criterion / Minimum Requirements	Outstanding Items	Agreed Action(s)	Deadline
	manner, before appraisal formally begins, in a place accessible to key stakeholders, including project affected groups and CSOs, in a form and language understandable to them.	project appraisal formally begins, in a place accessible to key stakeholders including project affected groups and CSOs in a form and language understandable to them".		
<b>5. PEST MANAGEMENT</b>				
5	<i>Established policies, procedures, and guidelines require the Agency to ensure the environmental and health risks associated with pesticide use are minimized and managed, and that safe, effective, and environmentally sound pest management is promoted and supported.</i>	IFAD meets all the requirements of this Minimum Standard, with the exception of Minimum Requirement 5.6, as noted below.	IFAD will address the issues as described in 1.9 above.	End-2014
5.6	Disclose draft mitigation plans in a timely manner, before appraisal formally begins, in a place accessible to key stakeholders including project affected groups and CSOs in a form and language understandable to them.	Neither the ESAP nor IFAD's Disclosure Policy require relevant draft mitigation plans to be disclosed "before project appraisal formally begins, in a place accessible to key stakeholders including project affected groups and CSOs in a form and language understandable to them".	See Agreed action 1.9 above.	End-2014
<b>6. PHYSICAL CULTURAL RESOURCES</b>				
6	<i>Established policies, procedures, and guidelines require the Agency to ensure physical cultural resources (PCR) are appropriately preserved and their destruction or damage is appropriately avoided. PCR includes archaeological, paleontological, historical, architectural, and sacred sites including graveyards, burial sites, and unique natural values. The impacts on physical cultural resources resulting from project activities, including mitigating measures, may not contravene either the recipient country's national legislation or its obligations under relevant international environmental treaties and agreements.</i>	IFAD does not meet requirements of this Minimum Standard, as noted below, with the exception of Minimum Requirement 6.6.	IFAD will address the issues as described below.	End-2014
6.1	Analyze feasible project alternatives to prevent or minimize or compensate for adverse impacts and enhance positive impacts on PCR, through site selection and design.	IFAD does not have systems or policies for ensuring the protection of physical cultural resources in its projects	IFAD will: (i) strengthen its ESAP to include adherence to national laws and regulations pertaining to cultural resources; and (ii) develop an Operational Statement to promote avoidance and, where not possible, conservation and protection of such resources through	End-2014
6.2	If possible, avoid financing projects that could significantly damage PCR. As appropriate, conduct field-based surveys using qualified specialists to evaluate PCR.			
6.4	Provide for the use of "chance find" procedures that include a pre-approved management and conservation approach for materials that may be discovered during project			

## IFAD SAFEGUARDS ACTION PLAN

#	Criterion / Minimum Requirements	Outstanding Items	Agreed Action(s)	Deadline
	implementation.			
6.5	Disclose draft mitigation plans, in a timely manner, before appraisal formally begins, in a place accessible to key stakeholders including project affected groups and CSOs in a form and language understandable to them.		assessments and minimization of impacts and risks throughout the course of project design and implementation. The Operational Statement will seek to meet requirements 6.1 to 6.4 below.	
<b>7. SAFETY OF DAMS</b>				
7	<i>Agency systems require the Agency to ensure quality and safety in the design and construction of new dams, and the rehabilitation of existing dams, on a scale that is appropriate to the Agency's mission. In addition, the Agency undertakes appropriate measures to ensure the quality and safety in the performance of existing dams on which the project may have an impact or that may affect the outcome of the project.</i>	IFAD addresses the safety of small dams and other rural infrastructure in the context of ESIA's performed under its Environmental and Social Assessment Procedures (ESAP). OFAD has experience implementing projects with small dams, including ensuring their safety, and has demonstrated capacity for ensuring dam safety in its projects. However, IFAD does not meet minimum requirements 7.2, 7.5, and 7.6, as noted below.	IFAD will address the issues as described below.	End-2014
7.2	Develop plans, including for construction supervision, instrumentation, operation and maintenance and emergency preparedness.	IFAD does not develop safety plans for the small dams in its projects, including for construction supervision, operation and maintenance and emergency preparedness.	IFAD will: (i) strengthen its ESAP to include requirements for assessing the potential environmental and social impacts and risks of small dam projects; (ii) develop an Operational Statement to address the general risk assessment and supervision requirements to apply to construction of new small dams or rehabilitation of existing ones. The Operational Statement will address the requirements of 7.2, 7.5 and 7.6 below.	End-2014
7.5	Carry out periodic safety inspections of new/rehabilitated dams after completion of construction/rehabilitation, review/monitor implementation of detailed plans and take appropriate action as needed.	IFAD does not have policies or procedures specifically requiring safety inspections of small dams supported through its projects, but it indicates that safety inspections of dams are part of IFAD project supervision and implementation support missions.		
7.6	Disclose draft plans, in a timely manner, before appraisal formally begins, in a place accessible to key stakeholders, including project affected groups and CSOs, in a form and language understandable to them.	Neither the ESAP nor IFAD's Disclosure Policy require relevant draft plans to be disclosed "before project appraisal formally begins, in a place accessible to key stakeholders including project affected groups and CSOs in a form and language understandable to them".		



## IFAD SAFEGUARDS ACTION PLAN

#	Criterion / Minimum Requirements	Outstanding Items	Agreed Action(s)	Deadline
<b>8. ACCOUNTABILITY AND GRIEVANCE SYSTEMS</b>				
8.1	<p>GEF Partner Agencies shall have accountability systems or measures that are designed to ensure enforcement of its environmental and social safeguard policies and related systems.</p> <p>GEF Partner Agencies' accountability systems shall be:</p> <ul style="list-style-type: none"> <li>a. Designed to address potential breaches of a GEF Partner Agency's policies and procedures;</li> <li>b. Independent, transparent, and effective;</li> <li>c. Accessible to project-affected people;</li> <li>d. Required to keep complainants abreast of progress with cases brought forward; and</li> <li>e. Required to maintain records on all cases and issues brought forward for review.</li> </ul>	<p>IFAD's Office of Audit and Oversight does not have authority to investigate and enforce compliance with IFAD's environmental and social safeguard policies.</p>	<p>IFAD will review other agencies (including Asian Development Bank, International Finance Corporation, United Nations Development Programme and World Bank) practices and proposals for accountability and grievance and draw from their experiences. IFAD will establish an Accountability and Grievance System to receive and facilitate resolution of affected people's concerns and complaints regarding breaches of its environmental and social policies. IFAD will also seek to meet all the requirements mentioned in section 8.2 below.</p>	End-2014
8.2	<p>GEF Partner Agencies shall also have systems or measures for the receipt of and timely response to complaints from parties affected by the implementation of the Partner Agencies' projects and which seek resolution of such complaints. Such systems are not intended to substitute for the country-level dispute resolution and redress mechanisms.</p> <p>With regard to systems for the receipt and response to complaints, GEF Partner Agencies shall:</p> <ul style="list-style-type: none"> <li>a. Designate staff or a division that is available to receive and respond to complaints related to the implementation of its projects.</li> <li>b. Work proactively with the complainant and other parties to resolve the complaints or disputes determined to have standing.</li> <li>c. Maintain records on all cases and issues brought forward, with due regard for confidentiality of information.</li> </ul>	<p>IFAD's Office of Audit and Oversight does not have authority to investigate and respond to complaints arising from IFAD's projects.</p>		



United Nations Development Programme (UNDP)

#	Criterion / Minimum Requirements	Outstanding Items	Agreed Action(s)	Deadline
<b>1. ENVIRONMENTAL AND SOCIAL IMPACT ASSESSMENT</b>				
1	<i>Established Agency Systems ensure that the Agency conducts Environmental and Social Impact Assessments of proposed projects to help ensure their environmental and social soundness and sustainability;</i>	UNDP meets most of the requirements of this Minimum Standards, but some improvements are needed to fully meet Minimum Requirements 1.4, 1.7, and 1.9, as noted below.	UNDP will update its Environmental and Social Screening Procedure and Social and Environmental Quality Standards to address the issues described below.	Spring-2014
1.4	Feasible investment, technical, and siting alternatives, including the “no action” alternative, are assessed, as well as potential impacts, feasibility of mitigating these impacts, their capital and recurrent costs, their suitability under local conditions, and the institutional, training and monitoring requirements associated with them;	UNDP requirements for alternatives assessment are comprehensive, but the ESSP does not specifically require that the “no action” scenario be included as part of the alternatives analysis although UNDP staff consider it to be an assumed option.	UNDP will require that the “no action” scenario is an element of the alternatives analysis for projects that require full ESIA's.	Spring-2014
1.7	Use independent expertise in the preparation of environmental and social impact assessments, where appropriate. Use independent advisory panels during preparation and implementation of projects that are highly risky or contentious or that involve serious and multi-dimensional environmental and/or social concerns;	External experts typically prepare assessments for GEF-financed projects. UNDP recommends but does not require that independent experts conduct assessments for high-risk projects. For very high-risk projects, ESSP calls for consideration of forming an independent advisory panel but does not require it. External experts are to verify monitoring information for projects with significant impacts (i.e., diverse, irreversible or unprecedented).	UNDP will (a) require that independent experts conduct assessments for projects with significant impacts (Cat. 3b); (b) require use of independent advisory panels during preparation and implementation of projects that are highly risky or contentious or involve serious multi-dimensional environmental and/or social concerns.	Spring-2014
1.9	Disclose draft environmental and social impact assessments in a timely manner, before appraisal formally begins, in a place accessible to key stakeholders including project affected groups and CSOs in a form and language understandable to them.	ESSP requires that all relevant information be disclosed, including assessments and management plans. Disclosure is to occur early and on an ongoing basis. However, requirements do not mention disclosure of <u>draft</u> assessments or mitigation plans nor do they address issues of accessibility, form, or language of disclosures.	UNDP will clarify that draft assessments and mitigation plans will be disclosed in a timely manner, before appraisal, in accessible place and in a form and language understandable to project affected groups and CSOs.	Spring-2014

**UNDP SAFEGUARDS ACTION PLAN**

#	Criterion / Minimum Requirements	Outstanding Items	Agreed Action(s)	Deadline
<b>2. PROTECTION OF NATURAL HABITATS</b>				
2	<i>Established policies, procedures, and guidelines require the Agency to ensure that environmentally sustainable development is promoted by supporting the sustainable management, the protection, conservation, maintenance, and rehabilitation of natural habitats and their associated biodiversity and ecosystem functions;</i>	UNDP meets most of the requirements of this Minimum Standards, but some improvements are needed to fully meet Minimum Requirements 2.3, 2.6, 2.7, 2.8, and 2.10.	UNDP will update its Environmental and Social Screening Procedure and Social and Environmental Quality Standards to address these issues as described below.	Spring-2014
2.3	Avoid significant conversion or degradation of critical natural habitats, including those habitats that are: a) Legally protected, b) Officially proposed for protection, c) Identified by authoritative sources for their high conservation value, or d) Recognized as protected by traditional local communities.	POPP states that UNDP “shall strive to ensure” to avoid the “conversion or degradation of critical natural habitats, including those that are (a) legally protected, (b) officially proposed for protection, (c) identified by authoritative sources for their high conservation value, or (d) recognized as protected by traditional communities.” ESSP calls for identification of projects that may convert or degrade critical natural habitats, but does not repeat the POPP standard nor provide standards for addressing potential conversion or degradation.	UNDP will clarify requirements that prohibit financing for projects that involve significant conversion or degradation of critical natural habitats during its review of its ESSP and policy framework.	Spring-2014
2.6	Do not finance projects that will involve significant conversion or degradation of critical natural habitats, including forests, or that will contravene applicable international environmental agreements.	Same as above (2.3)	UNDP will clarify requirements that prohibit financing of natural forest harvesting or plantation development that will involve conversion or degradation of critical forest areas or related critical natural habitats.	Spring-2014
2.7	Do not finance natural forest harvesting or plantation development that will involve conversion or degradation of critical forest areas or related critical natural habitats.	POPP states that UNDP “shall strive to ensure” avoidance of conversion or degradation of critical natural habitats. For other natural habitats, it promotes application of sustainable management and conservation measures. But it does not appear to meet fully the GEF Minimum Requirement that prohibits forest harvesting or plantation development that may convert or degrade critical forest areas or related critical natural habitats.	UNDP will clarify that it will not finance natural forest harvesting or plantation development that will involve conversion or degradation of critical forest areas or related critical natural habitats.	Spring-2014
2.8	Ensure that forest restoration projects maintain or enhance biodiversity and ecosystem functionality and that all plantation	UNDP does not appear to have specific standards regarding forest restoration and plantation	UNDP will adopt a requirement for forest	Spring-2014

**UNDP SAFEGUARDS ACTION PLAN**

#	Criterion / Minimum Requirements	Outstanding Items	Agreed Action(s)	Deadline
	projects are environmentally appropriate, socially beneficial and economically viable.	development. The POPP's call to promote sustainable management of natural habitats would apply to these activities.	restoration projects to maintain or enhance biodiversity and ecosystem functionality and that all plantation projects be environmentally appropriate, socially beneficial and economically viable.	
2.10	Disclose draft mitigation plan in a timely manner, before appraisal formally begins, in a place accessible to key stakeholders, including project affected groups and CSOs, in a form and language understandable to them.	ESSP requires that all relevant mitigation plans be disclosed early and on an ongoing basis, disclosure of <u>draft</u> mitigation plans is not mentioned. Nor does it address issues of accessibility, form, or language of disclosures.	UNDP will clarify that draft mitigation plans will be disclosed in a timely manner, before appraisal, in accessible place and in a form and language understandable to project affected groups and CSOs	Spring-2014
<b>3. INVOLUNTARY RESETTLEMENT</b>				
3	<i>Established policies, procedures, and guidelines require the Agency to ensure that involuntary resettlement is avoided or minimized. Where this is not feasible, the Agency is required to ensure displaced persons are assisted in improving or at least restoring their livelihoods and standards of living in real terms relative to pre-displacement levels or to levels prevailing prior to the beginning of project implementation, whichever is higher;</i>	UNDP supports a human rights approach to development. The POPP states that UNDP "shall strive to ensure" involuntary resettlement is avoided. If unavoidable, UNDP shall strive to ensure that displaced persons are informed of their rights, consulted on options, and offered technically and economically feasible resettlement alternatives or fair and adequate compensation. However, the ESSP does not provide additional standards or guidance beyond screening for projects that may involve resettlement. Economic and livelihood impacts from resettlement or access restrictions to protected areas are not specifically addressed. GEF criteria for improving or at least restoring standards of living of resettled persons are not addressed.	UNDPs will develop a Social and Environmental Quality Standard on displacement and resettlement and will revise the ESSP to align with the standard to address Minimum Requirements 3.1 through 3.10.	Spring-2014
3.1	Agency policies require it to assess all viable alternative project designs to avoid, where feasible, or minimize involuntary resettlement;	Current UNDP operational policies, procedures, and guidelines do not fully address Minimum Requirements 3.1 through 3.10.	UNDP will address Minimum Requirements 3.1 through 3.10 through the quality standard on displacement and resettlement to be developed and related revisions to its	Spring-2014
3.2	Through census and socio-economic surveys of the affected population, the Agency identifies, assesses, and addresses the potential economic and social impacts of the project that are			

**UNDP SAFEGUARDS ACTION PLAN**

#	Criterion / Minimum Requirements	Outstanding Items	Agreed Action(s)	Deadline
	caused by involuntary taking of land (e.g. relocation or loss of shelter, loss of assets or access to assets, loss of income sources or means of livelihood, whether or not the affected person must move to another location) or involuntary restriction of access to legally designated parks and protected areas;		ESSP.	
3.3	The Agency identifies and addresses impacts, also if they result from other activities that are (a) directly and significantly related to the proposed GEF-financed project, (b) necessary to achieve its objectives, and (c) carried out or planned to be carried out contemporaneously with the project. The Agency consults project-affected persons, host communities and local CSOs, as appropriate.			
3.4	For projects that involve the involuntary restriction of access to legally designated parks and protected areas, policies require the Agency to design, document and disclose before appraisal a participatory process for: (a) preparing and implementing project components; (b) establishing eligibility criteria; (c) agreeing on mitigation measures that help improve or restore livelihoods in a manner that maintains the sustainability of the park or protected area; (d) resolving conflicts; and (e) monitoring implementation.			
3.5	If resettlement is required, provide persons to be resettled with opportunities to participate in the planning, implementation, and monitoring of the resettlement program, especially in the process of developing and implementing the procedures for determining eligibility for compensation benefits and development assistance (as documented in a resettlement plan), and for establishing appropriate and accessible grievance mechanisms. Pay particular attention to the needs of vulnerable groups among those displaced, especially those below the poverty line, the landless, the elderly, women and children, Indigenous Peoples, ethnic minorities, or other displaced persons who may not be protected through national land compensation legislation;			
3.6	Inform persons to be resettled of their rights, consult them on options, and provide them with technically and economically feasible resettlement alternatives and assistance. For example (a) prompt compensation at full replacement cost for loss of assets attributable to the project; (b) if there is relocation, assistance during relocation, and residential housing, or housing sites, or			

**UNDP SAFEGUARDS ACTION PLAN**

#	Criterion / Minimum Requirements	Outstanding Items	Agreed Action(s)	Deadline
	agricultural sites of equivalent productive potential, as required; (c) transitional support and development assistance, such as land preparation, credit facilities, training or job opportunities as required, in addition to compensation measures; (d) cash compensation of land when impact of land acquisitions on livelihoods is minor; (e) provision of civic infrastructure and community services; and (f) give preference to land-based resettlement strategies for persons whose livelihoods are land-based;			
3.7	For those without formal legal rights to lands or claims to such land that could be recognized under the laws of the country, provide resettlement assistance in lieu of compensation for land to help improve or at least restore their livelihoods;			
3.8	Disclose draft resettlement plans and/or plans to address involuntary restriction on access to protected areas, including documentation of the consultation process, in a timely manner, before appraisal formally begins, in a place accessible to key stakeholders including project affected groups and CSOs in a form and language understandable to them. Apply these Minimum Requirements described in the involuntary resettlement section, as applicable and relevant, to subprojects requiring land acquisition.			
3.9	Implement all relevant resettlement plans before project completion and provide resettlement entitlements before displacement or restriction of access. For projects involving restriction of access, impose the restrictions in accordance with the timetable in the plan of actions.			
3.10	Upon completion of the project, the Agency assesses whether the objectives of the project resettlement plan have been achieved, taking account the baseline conditions and the results of resettlement monitoring.			
<b>4. INDIGENOUS PEOPLES</b>				
4	<i>Established policies, procedures, and guidelines require the Agency to ensure projects are designed and implemented in such a way that fosters full respect for Indigenous Peoples' and their members' dignity, human rights, and cultural uniqueness so that they (a) receive culturally appropriate social and economic benefits; and (b) do not suffer adverse effects during the</i>	UNDP's policy framework addresses several GEF requirements under this Minimum Standards. In several areas UNDP's requirements could be clarified and/or strengthened (e.g. Minimum Requirements 4.1, 4.5, 4.6, 4.8, 4.9, 4.10)	UNDP will further develop its standards regarding projects that affect Indigenous Peoples and update its Environmental and Social Screening Procedure to address issues as	Spring-2014

## UNDP SAFEGUARDS ACTION PLAN

#	Criterion / Minimum Requirements	Outstanding Items	Agreed Action(s)	Deadline
	<i>development process.</i>		described below.	
4.1	Screen early for the presence of Indigenous Peoples in the project area, who are identified through criteria that reflect their social and cultural distinctiveness. Such criteria may include: self-identification and identification by others as Indigenous Peoples, collective attachment to land, presence of customary institutions, indigenous language, and primarily subsistence-oriented production.	UNDP screens for potential adverse impacts on Indigenous Peoples or other vulnerable groups. However, the screening procedure does not require screening for presence of Indigenous Peoples in the project area (who may or may not be adversely affected) and it does not contain criteria for the identification of Indigenous Peoples. UNDP's Policy on Engagement with Indigenous Peoples provides criteria for identification, but these are not reflected in the screening procedure.	UNDP will screen for presence of Indigenous Peoples in potential project areas and provide criteria for assisting in identification of Indigenous Peoples.	Spring-2014
4.5	Make provisions in plans, where appropriate, to support activities to establish legal recognition of customary or traditional land tenure and management systems and collective rights used by project affected Indigenous Peoples.	UNDP Guidelines on Indigenous Peoples Issues provides a guiding principle that "Indigenous Peoples' lands and territories should be legally recognized, demarcated, and protected from outside pressures." However, this guideline does not appear to translate into a requirement for UNDP to promote, where appropriate, legal recognition of customary or traditional land tenure systems of Indigenous Peoples	UNDP will support activities to establish legal recognition of customary or traditional land tenure and management systems of Indigenous Peoples.	Spring-2014
4.6	Where restriction of access of Indigenous Peoples to parks and protected areas is not avoidable, ensure that affected Indigenous Peoples fully and effectively participate in the design, implementation, monitoring and evaluation of management plans for such parks, protected areas, and species and share equitably in benefits from the parks and protected areas.	Application of the FPIC standard addresses GEF's Minimum Requirement of full and effective participation of Indigenous Peoples in the design, implementation, monitoring and evaluation of management plans for such areas and would most likely address equitable benefit sharing from such areas. However, UNDP's policies and/or procedures should clearly address this issue to ensure implementation.	UNDP will put in place requirements and procedures for addressing the issue of involuntary restrictions of access of Indigenous Peoples to legally designated parks and protected areas.	Spring-2014
4.8	For those projects where the environmental and social impact assessment identifies adverse effects on Indigenous Peoples, Agency policies require that the project develop an Indigenous Peoples plan or a framework that (a) specifies measures to ensure that affected Indigenous Peoples receive culturally appropriate benefits and (b) identifies measures to avoid, minimize, mitigate or compensate for any adverse effects, (c) includes measures for continued consultation during project implementation, grievance procedures, and monitoring and evaluation arrangements, and (d) specifies a budget and	UNDP's screening procedure refers to the development of Indigenous Peoples Plans (IPP), but does not refer to the trigger for requiring such a plan nor does it provide an outline of an IPP and its required elements	UNDP will clarify the trigger for requiring an IPP and outline the required generic content of such plans.	Spring-2014

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#	Criterion / Minimum Requirements	Outstanding Items	Agreed Action(s)	Deadline
	financing plan for implementing the planned measures. Such plans should draw on indigenous knowledge and be developed in with the full and effective participation of affected Indigenous Peoples.			
4.9	Disclose documentation of the consultation process and the required Indigenous Peoples plan or framework, in a timely manner, before appraisal formally begins, in a place accessible to key stakeholders, including project affected groups and CSOs, in a form and language understandable to them.	UNDP's procedures do not refer to disclosure of draft IPPs nor does it address issues regarding accessibility, form, or language of disclosed plans.	UNDP will clarify that draft mitigation plans will be disclosed in a timely manner, before appraisal, in accessible place and in a form and language understandable to project affected groups and CSOs	Spring-2014
4.10	Monitor, by experienced social scientists, the implementation of the project (and any required Indigenous Peoples plan or framework) and its benefits as well as challenging or negative impacts on Indigenous Peoples and address possible mitigation measures in a participatory manner.	UNDP's procedures include detailed monitoring requirements for implementation of environmental and social management plans, which would include an IPP. However, evidence of monitoring reports on implementation of an IPP could not be provided.	UNDP will include monitoring on the implementation of an IPP in the Project Implementation Reports (PIRs) and other UNDP reporting tools as appropriate	Spring-2014
<b>5. PEST MANAGEMENT</b>				
5	<i>Established policies, procedures, and guidelines require the Agency to ensure the environmental and health risks associated with pesticide use are minimized and managed, and that safe, effective, and environmentally sound pest management is promoted and supported.</i>	UNDP's policy states that it shall strive to ensure minimization of use of harmful chemicals and pesticides and promote a precautionary approach to potential risks. The screening procedure includes questions for identification of projects that may release pollutants or involve use of hazardous pesticides. However, UNDP does not have detailed policy requirements regarding management of pesticides and promotion of Integrated Pest Management (IPM) and Integrated Vector Management (IVM) (although project examples demonstrated capacity to address requirements)	UNDP will elaborate and update requirements related to pest management and align its screening procedure to ensure compliance with the GEF Minimum Requirements under this Standard (5.1 to 5.6)	Spring-2014
5.1	Promote the use of demand driven, ecologically-based biological or environmental pest management practices (referred to as Integrated Pest Management [IPM] in agricultural projects and Integrated Vector Management [IVM] in public health projects) and reduce reliance on synthetic chemical pesticides. Include assessment of pest management issues, impacts and risks in the EA process.	Current UNDP operational policies, procedures, and guidelines do not fully address Minimum Requirements 5.1 through 5.6.	UNDP will address Minimum Requirements 5.1 through 5.6 by updating its policy framework and procedures related to pest management	Spring-2014



**UNDP SAFEGUARDS ACTION PLAN**

#	Criterion / Minimum Requirements	Outstanding Items	Agreed Action(s)	Deadline
5.2	The Agency requires that, in the context of projects that it supports, pesticides are procured contingent on an assessment of the nature and degree of associated risks, taking into account the proposed use and intended users. The Agency also does not allow the procurement or use of formulated products that are in World Health Organization (WHO) Classes IA and IB, or formulations of products in Class II unless there are restrictions that are likely to deny use or access to lay personnel and others without training or proper equipment.			
5.3	The Agency also does not allow the procurement or use in its projects pesticides and other chemicals specified as persistent organic pollutants identified under the Stockholm convention.			
5.4	Follow the recommendations and Minimum Standards as described in the United Nations Food and Agriculture Organization (FAO) International Code of Conduct on the Distribution and Use of Pesticides (Rome, 2003) and its associated technical guidelines and procure only pesticides, along with suitable protective and application equipment that will permit pest management actions to be carried out with well-defined and minimal risk to health, environment and livelihoods.			
5.5	Support policy reform and institutional capacity development to (a) enhance implementation of IPM- and IVM-based pest management, and (b) regulate and monitor the distribution and use of pesticides.			
5.6	Disclose draft mitigation plans in a timely manner, before appraisal formally begins, in a place accessible to key stakeholders including project affected groups and CSOs in a form and language understandable to them.			
<b>6. PHYSICAL CULTURAL RESOURCES</b>				
6	<i>Established policies, procedures, and guidelines require the Agency to ensure physical cultural resources (PCR) are appropriately preserved and their destruction or damage is appropriately avoided. PCR includes archaeological, paleontological, historical, architectural, and sacred sites including graveyards, burial sites, and unique natural values. The impacts on physical cultural resources resulting from project activities, including mitigating measures, may not contravene either the recipient country's national legislation or</i>	UNDP's policy states that UNDP "shall strive to ensure" that programmes and projects "conserve physical cultural resources and avoid the alteration, damage or removal of any physical cultural resources." Screening procedure contains questions for identification of projects that may affect areas of "known" physical or cultural significance." However, UNDP's operational guidelines do not reflect UNDP's policy language and does not contain	UNDP will elaborate and update requirements related to physical cultural resources and align its screening procedure to ensure compliance with the GEF Minimum Requirements under this Standard (6.1 to 6.5, except 6.3 which is fully addressed)	Spring-2014



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#	Criterion / Minimum Requirements	Outstanding Items	Agreed Action(s)	Deadline
	<i>its obligations under relevant international environmental treaties and agreements.</i>	more specific standards regarding physical cultural resources. Requirement 6.3 fully addressed through UNDP consultation requirements		
6.1	Analyze feasible project alternatives to prevent or minimize or compensate for adverse impacts and enhance positive impacts on PCR, through site selection and design.	Current UNDP operational policies, procedures, and guidelines do not fully address Minimum Requirements 6.1 through 6.5 (except 6.3)	UNDP will address Minimum Requirements 6.1, 6.2, 6.4, 6.5 in the Social and Environmental quality standards and updated ESSP.	Spring-2014
6.2	If possible, avoid financing projects that could significantly damage PCR. As appropriate, conduct field-based surveys using qualified specialists to evaluate PCR.			
6.4	Provide for the use of “chance find” procedures that include a pre-approved management and conservation approach for materials that may be discovered during project implementation.			
6.5	Disclose draft mitigation plans, in a timely manner, before appraisal formally begins, in a place accessible to key stakeholders including project affected groups and CSOs in a form and language understandable to them.			
<b>7. SAFETY OF DAMS</b>				
7	<i>Agency systems require the Agency to ensure quality and safety in the design and construction of new dams, and the rehabilitation of existing dams, on a scale that is appropriate to the Agency's mission. In addition, the Agency undertakes appropriate measures to ensure the quality and safety in the performance of existing dams on which the project may have an impact or that may affect the outcome of the project.</i>	UNDP typically only supports small dams and applies its general environmental and social screening, assessment, and risk management procedures to projects involving dams. However, UNDP's guidelines do not contain more specific standards regarding dam safety that address GEF's Minimum Requirements.	UNDP will address these requirements in a quality standard on community health and safety.	Spring-2014
7.1	Use experienced and competent professionals to design and supervise the construction, operation, and maintenance of dams and associated works.	Current UNDP operational policies, procedures, and guidelines do not fully address Minimum Requirements 7.1 through 7.6	UNDP will address Minimum Requirements 7.1 through 7.6 in a quality standard on community health and safety	Spring-2014
7.2	Develop plans, including for construction supervision, instrumentation, operation and maintenance and emergency preparedness.			
7.3	Use independent advice on the verification of design, construction, and operational procedures.			
7.4	Use contractors that are qualified and experienced to undertake planned construction activities.			
7.5	Carry out periodic safety inspections of new/rehabilitated dams after completion of construction/rehabilitation, review/monitor implementation of detailed plans and take appropriate action as needed.			

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#	Criterion / Minimum Requirements	Outstanding Items	Agreed Action(s)	Deadline
7.6	Disclose draft plans, in a timely manner, before appraisal formally begins, in a place accessible to key stakeholders, including project affected groups and CSOs, in a form and language understandable to them.			
<b>8. ACCOUNTABILITY AND GRIEVANCE SYSTEMS</b>				
8.1	<p>GEF Partner Agencies shall have accountability systems or measures that are designed to ensure enforcement of its environmental and social safeguard policies and related systems.</p> <p>GEF Partner Agencies' accountability systems shall be:</p> <ul style="list-style-type: none"> <li>a. Designed to address potential breaches of a GEF Partner Agency's policies and procedures;</li> <li>b. Independent, transparent, and effective;</li> <li>c. Accessible to project-affected people;</li> <li>d. Required to keep complainants abreast of progress with cases brought forward; and</li> <li>e. Required to maintain records on all cases and issues brought forward for review.</li> </ul>	<p>UNDP is currently piloting the implementation of an agency accountability mechanism and dispute resolution processes. The Charter of the Office of Audit and Investigation (OAI) has been revised to include compliance reviews for UNDP's social and environmental policies and procedures. Compliance review experts have been working with OAI since early 2013. UNDP has agreed to implement an interim compliance review and dispute resolution process for those pilot countries UNDP is supporting under the Forest Carbon Partnership Facility and with GEF-financed projects, and intends to set up these pilots in late 2013 and the first half of 2014. The interim approach is designed and implemented partly with the goal of providing lessons and expertise that will assist in the development and implementation of the permanent compliance review and dispute resolution processes. UNDP's piloted compliance and grievance systems are based on UNDP's "Proposal for Environmental and Social Compliance Review and Dispute Resolution Processes" (July 2013) which, if adopted, would address requirements GEF Minimum Standards 8: Accountability and Grievance systems.</p>	<p>UNDP's plans to meet this standard are outlined in the adjacent description of the outstanding items.</p>	End-2014
8.2	<p>GEF Partner Agencies shall also have systems or measures for the receipt of and timely response to complaints from parties affected by the implementation of the Partner Agencies' projects and which seek resolution of such complaints. Such systems are not intended to substitute for the country-level dispute resolution and redress mechanisms.</p> <p>With regard to systems for the receipt and response to</p>	See above (8.1)	<p>UNDP's plans to meet this standard are outlined in the adjacent description of outstanding items under 8.1</p>	End-2014

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#	Criterion / Minimum Requirements	Outstanding Items	Agreed Action(s)	Deadline
	<p>complaints, GEF Partner Agencies shall:</p> <ul style="list-style-type: none"> <li>a. Designate staff or a division that is available to receive and respond to complaints related to the implementation of its projects.</li> <li>b. Work proactively with the complainant and other parties to resolve the complaints or disputes determined to have standing.</li> <li>c. Maintain records on all cases and issues brought forward, with due regard for confidentiality of information.</li> <li>d. Publicly designate the contact information for the staff and/or division responsible for receiving and responding to complaints. This information should preferably be designated both on the Agency’s website and on separate websites, if established, for specific projects. For individual projects, this information should be provided in local languages.</li> <li>e. Inform project stakeholders of the existence of the Agency’s Accountability and Grievance Systems during consultations and inform stakeholders how they may file complaints, including provision of contact information for the responsible staff or division.</li> </ul>			

United Nations Environment Programme (UNEP)

#	Criterion / Minimum Requirements	Outstanding Items	Agreed Action(s)	Deadline
<b>1. ENVIRONMENTAL AND SOCIAL IMPACT ASSESSMENT</b>				
1	<i>Established Agency Systems ensure that the Agency conducts Environmental and Social Impact Assessments of proposed projects to help ensure their environmental and social soundness and sustainability</i>	While it has systems in place to protect people and the environment, UNEP will need to make improvements to meet most of the requirements of this Minimum Standard. Minimum Requirement 1.8 is not applicable to UNEP.	UNEP is developing and will adopt an Environmental, Social and Economic Sustainability Framework and strengthen relevant guidelines to fully meet the requirements of this standard.	End-2014
1.1	The Agency uses a screening process for each proposed project, as early as possible, to determine the appropriate extent and type of environmental and social impact assessment required of the project so that appropriate studies are undertaken proportional to potential risks and to direct, and, as relevant, indirect, cumulative, and associated impacts. The Agency also uses strategic, sectoral or regional environmental assessment, when appropriate.	UNEP's mission and business model are dedicated to environmental protection and it has various environmental programmes, safeguards, and checklists in place. But, it was assessed as not having sufficiently detailed operational policies, procedures, or guidelines needed to meet the Minimum Requirements.	UNEP will make the needed improvements to its environmental and social impact assessment framework through the adoption of its Environmental, Social and Economic Sustainability Framework and related guidelines. UNEP will also update its ESIA training manual for use by project staff.	End-2014
1.2	Assesses potential impacts of the proposed project to physical, biological, socioeconomic, cultural, and physical cultural resources, including transboundary concerns, and potential impacts on human health and safety;			
1.3	Assesses the adequacy of the applicable legal and institutional framework, including applicable international environmental agreements, and confirm that project activities that will contravene such international obligations are not financed;			
1.4	Feasible investment, technical, and siting alternatives, including the "no action" alternative, are assessed, as well as potential impacts, feasibility of mitigating these impacts, their capital and recurrent costs, their suitability under local conditions, and the institutional, training and monitoring requirements associated with them;			
1.5	Agency policy requires executors of projects receiving GEF funds to place a priority on the prevention of harmful social and environmental impacts. And where not possible to prevent such impacts, project executors are required to at least minimize, or compensate adverse project impacts and enhance positive impacts through environmental planning			

## UNEP SAFEGUARDS ACTION PLAN

#	Criterion / Minimum Requirements	Outstanding Items	Agreed Action(s)	Deadline
	and management that includes the proposed mitigation measures, monitoring, institutional capacity development and training measures, an implementation schedule, and cost estimates			
1.6	Involve stakeholders, including project-affected groups, indigenous peoples, and local CSOs, as early as possible, in the preparation process and ensure that their views and concerns are made known to decision makers and taken into account. Continue consultations throughout project implementation as necessary to address environmental and social impact assessment-related issues that affect them; Use independent expertise in the preparation of environmental and social impact assessments, where appropriate. Use independent advisory panels during preparation and implementation of projects that are highly risky or contentious or that involve serious and multi-dimensional environmental and/or social concerns;			
1.7	Use independent expertise in the preparation of environmental and social impact assessments, where appropriate. Use independent advisory panels during preparation and implementation of projects that are highly risky or contentious or that involve serious and multi-dimensional environmental and/or social concerns;			
1.9	Disclose draft environmental and social impact assessments in a timely manner, before appraisal formally begins, in a place accessible to key stakeholders including project affected groups and CSOs in a form and language understandable to them.			
<b>2. PROTECTION OF NATURAL HABITATS</b>				
2	<i>Established policies, procedures, and guidelines require the Agency to ensure that environmentally sustainable development is promoted by supporting the sustainable management, the protection, conservation, maintenance, and rehabilitation of natural habitats and their associated biodiversity and ecosystem functions;</i>	UNEP's mission and business model are devoted to conservation of biodiversity and protection of natural habitat. To this end, UNEP is host to the Convention on Biological Diversity (CBD) and several other multilateral environmental conventions pertaining to endangered and migratory species. Furthermore, UNEP's programme of work includes a major Ecosystem Management Programme and UNEP has developed a Strategic Agenda on Forest Ecosystems. Operationally, UNEP's Checklist for Environmental and Social Safeguards focuses on identifying threats to biodiversity and natural habitats early in project preparation. While it has systems in place to protect natural habitats, UNEP will need to make	UNEP will make the needed improvements to meet the requirements in its Environmental, Social and Economic Sustainability Framework.	End-2014

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#	Criterion / Minimum Requirements	Outstanding Items	Agreed Action(s)	Deadline
		improvements to meet most of the requirements of this Minimum Standard, as shown below. Minimum Requirement 2.7 does not apply to UNEP. UNEP was assessed as meeting Minimum Standards 2.1 and 2.5, but improvements are needed to fully meet the other Minimum Requirements.		
2.2	Give preference to siting physical infrastructure investments on lands where natural habitats have already been converted to other land uses;	UNEP’s mission and business model are dedicated to conservation of biodiversity and protection of natural habitat, but it was assessed as not having sufficiently detailed operational policies, procedures, or guidelines needed to meet the relevant Minimum Requirements.	UNEP will make the needed improvements to its natural habitat protection safeguards operational policies in its Environmental, Social and Economic Sustainability Framework.	End-2014
2.3	Avoid significant conversion or degradation of critical natural habitats, including those habitats that are: a) Legally protected, b) Officially proposed for protection, c) Identified by authoritative sources for their high conservation value, or d) Recognized as protected by traditional local communities.			
2.4	Where projects adversely affect non-critical natural habitats, proceed only if viable alternatives are not available, and if appropriate conservation and mitigation measures, including those required to maintain ecological services they provide, are in place. Include also mitigation measures that minimize habitat loss and establish and maintain an ecologically similar protected area.			
2.6	Do not finance projects that will involve significant conversion or degradation of critical natural habitats, including forests, or that will contravene applicable international environmental agreements.			
2.8	Ensure that forest restoration projects maintain or enhance biodiversity and ecosystem functionality and that all plantation projects are environmentally appropriate, socially beneficial and economically viable.			
2.9	Consult appropriate experts and key stakeholders, including local nongovernmental organizations and local communities, and involve such people in design, implementation, monitoring, and evaluation of projects, including mitigation planning.			
2.10	Disclose draft mitigation plan in a timely manner, before appraisal formally begins, in a place accessible to key stakeholders, including project affected groups and CSOs, in a form and language understandable to them.			

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#	Criterion / Minimum Requirements	Outstanding Items	Agreed Action(s)	Deadline
<b>3. INVOLUNTARY RESETTLEMENT</b>				
3	<i>Established policies, procedures, and guidelines require the Agency to ensure that involuntary resettlement is avoided or minimized. Where this is not feasible, the Agency is required to ensure displaced persons are assisted in improving or at least restoring their livelihoods and standards of living in real terms relative to pre-displacement levels or to levels prevailing prior to the beginning of project implementation, whichever is higher;</i>	In accordance with paragraph 3.11 of the Policy, this standard was assessed as applying to UNEP given that it implements projects “concerning the creation or expansion of protected areas. “ It does not, however, appear that UNEP projects pose a significant risk in terms of causing the physical relocation of people. All requirements under the standard related to restriction of access to protected areas apply to UNEP. Parts of Minimum Requirements 3.5, 3.6, 3.7, 3.8, and 3.10 relating to the <u>physical relocation of people, however, do not apply to UNEP.</u>	UNEP will make the needed improvements to meet the requirements in its Environmental, Social and Economic Sustainability Framework.	End-2014
3.1	Agency policies require it to assess all viable alternative project designs to avoid, where feasible, or minimize involuntary resettlement;	UNEP was assessed as not having sufficient operational policies, procedures, or guidelines that specifically address relevant resettlement issues in its projects, including economic displacement or livelihood impacts caused by restrictions on access to protected areas.	UNEP will make the needed improvements to address resettlement issues in its projects in its Environmental, Social and Economic Sustainability Framework. This will also be tied to the development of UNEP's Grievance mechanism.	End 2014
3.2	Through census and socio-economic surveys of the affected population, the Agency identifies, assesses, and addresses the potential economic and social impacts of the project that are caused by involuntary taking of land (e.g. relocation or loss of shelter, loss of assets or access to assets, loss of income sources or means of livelihood, whether or not the affected person must move to another location) or involuntary restriction of access to legally designated parks and protected areas;			
3.3	The Agency identifies and addresses impacts, also if they result from other activities that are (a) directly and significantly related to the proposed GEF-financed project, (b) necessary to achieve its objectives, and (c) carried out or planned to be carried out contemporaneously with the project. The Agency consults project-affected persons, host communities and local CSOs, as appropriate.			
3.4	For projects that involve the involuntary restriction of access to legally designated parks and protected areas, policies require the Agency to design, document and disclose before appraisal a participatory process for: (a) preparing and implementing project components; (b) establishing eligibility criteria; (c) agreeing on mitigation measures that help improve or restore livelihoods in a manner that maintains the sustainability of			

**UNEP SAFEGUARDS ACTION PLAN**

#	Criterion / Minimum Requirements	Outstanding Items	Agreed Action(s)	Deadline
	the park or protected area; (d) resolving conflicts; and (e) monitoring implementation.			
3.5	If resettlement is required, provide persons to be resettled with opportunities to participate in the planning, implementation, and monitoring of the resettlement program, especially in the process of developing and implementing the procedures for determining eligibility for compensation benefits and development assistance (as documented in a resettlement plan), and for establishing appropriate and accessible grievance mechanisms. Pay particular attention to the needs of vulnerable groups among those displaced, especially those below the poverty line, the landless, the elderly, women and children, Indigenous Peoples, ethnic minorities, or other displaced persons who may not be protected through national land compensation legislation;			
3.6	Inform persons to be resettled of their rights, consult them on options, and provide them with technically and economically feasible resettlement alternatives and assistance. For example (a) prompt compensation at full replacement cost for loss of assets attributable to the project; (b) if there is relocation, assistance during relocation, and residential housing, or housing sites, or agricultural sites of equivalent productive potential, as required; (c) transitional support and development assistance, such as land preparation, credit facilities, training or job opportunities as required, in addition to compensation measures; (d) cash compensation of land when impact of land acquisitions on livelihoods is minor; (e) provision of civic infrastructure and community services; and (f) give preference to land-based resettlement strategies for persons whose livelihoods are land-based;			
3.7	For those without formal legal rights to lands or claims to such land that could be recognized under the laws of the country, provide resettlement assistance in lieu of compensation for land to help improve or at least restore their livelihoods;			
3.8	Disclose draft resettlement plans and/or plans to address involuntary restriction on access to protected areas, including documentation of the consultation process, in a timely manner, before appraisal formally begins, in a place accessible to key stakeholders including project affected groups and CSOs in a form and language understandable to them. Apply these Minimum Requirements described in the involuntary resettlement section, as applicable and relevant, to subprojects requiring land acquisition.			
3.9	Implement all relevant resettlement plans before project completion and provide resettlement entitlements before displacement or restriction of access. For projects involving restriction of access, impose the restrictions in accordance with the timetable in the plan of actions.			
3.10	Upon completion of the project, the Agency assesses whether the objectives of the project resettlement plan have been achieved, taking account the baseline conditions and the results of resettlement monitoring.			



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#	Criterion / Minimum Requirements	Outstanding Items	Agreed Action(s)	Deadline
<b>4. INDIGENOUS PEOPLES</b>				
4	<i>Established policies, procedures, and guidelines require the Agency to ensure projects are designed and implemented in such a way that fosters full respect for Indigenous Peoples' and their members' dignity, human rights, and cultural uniqueness so that they (a) receive culturally appropriate social and economic benefits; and (b) do not suffer adverse effects during the development process.</i>	UNEP has adopted guidance on Indigenous Peoples and is preparing operational guidelines for its implementation, but UNEP will need to make improvements to meet most of the requirements of this Minimum Standard. (See Below for further detail.) UNEP was assessed as meeting Minimum Requirements 4.1, 4.2, and 4.7	UNEP will make the needed improvements to meet the requirements in its operational guidelines for the Indigenous Peoples guidance.	Mid-2014
4.3	Undertake the environmental and social impact assessment, with involvement of Indigenous Peoples, to assess potential impacts and risks when a project may have adverse impacts. Identify measures to avoid, minimize and/or mitigate adverse impacts.	UNEP has adopted a new Indigenous Peoples (IP) Policy Guidance document (2012) and is preparing operational guidelines, an IP checklist, and training toolkit to facilitate its full implementation (by-end 2013). In practice, UNEP has demonstrated its capacity for dealing with IP in its projects in the past but will need to expand its capacity for implementing the IP Policy Guidance and operational guidelines in the future.	UNEP will make the needed improvements to address Indigenous Peoples issues in its projects in its operational guidelines for the Indigenous Peoples guidance. The IP Policy Guidance and operational guidelines are intended to ensure UNEP's engagement with IP in its policies and projects. UNEP will also produce an e-learning Toolkit for staff.	Mid-2014
4.4	Provide socioeconomic benefits in ways that are culturally appropriate, and gender and generationally inclusive. Full consideration should be given to options preferred by the affected Indigenous Peoples for provision of benefits and mitigation measures.			
4.5	Make provisions in plans, where appropriate, to support activities to establish legal recognition of customary or traditional land tenure and management systems and collective rights used by project affected Indigenous Peoples.			
4.6	Where restriction of access of Indigenous Peoples to parks and protected areas is not avoidable, ensure that affected Indigenous Peoples fully and effectively participate in the design, implementation, monitoring and evaluation of management plans for such parks, protected areas, and species and share equitably in benefits from the parks and protected areas.			
4.8	For those projects where the environmental and social impact assessment identifies adverse effects on Indigenous Peoples, Agency policies require that the project develop an Indigenous Peoples plan or a framework that (a) specifies measures to ensure that affected Indigenous Peoples receive culturally appropriate benefits and (b) identifies measures to avoid, minimize, mitigate or compensate for any adverse effects, (c) includes measures for continued consultation during project implementation, grievance procedures, and monitoring and evaluation arrangements, and (d) specifies a budget and financing plan for implementing the planned measures. Such plans should draw on indigenous knowledge and be developed in with the full and effective participation of affected Indigenous Peoples.			

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#	Criterion / Minimum Requirements	Outstanding Items	Agreed Action(s)	Deadline
4.9	Disclose documentation of the consultation process and the required Indigenous Peoples plan or framework, in a timely manner, before appraisal formally begins, in a place accessible to key stakeholders, including project affected groups and CSOs, in a form and language understandable to them.			
4.10	Monitor, by experienced social scientists, the implementation of the project (and any required Indigenous Peoples plan or framework) and its benefits as well as challenging or negative impacts on Indigenous Peoples and address possible mitigation measures in a participatory manner.			
<b>5. PEST MANAGEMENT</b>				
5	<i>Established policies, procedures, and guidelines require the Agency to ensure the environmental and health risks associated with pesticide use are minimized and managed, and that safe, effective, and environmentally sound pest management is promoted and supported.</i>	UNEP will need to make improvements to meet most of the requirements of this Minimum Standard. UNEP was assessed as meeting Minimum Requirement 5.5. (See below for further detail.)	UNEP will make the needed improvements to meet the outstanding Minimum Requirements so as to ensure safe pest management (including promotion of IPM and IVM) in the context of its projects.	End-2014
5.1	Promote the use of demand driven, ecologically-based biological or environmental pest management practices (referred to as Integrated Pest Management [IPM] in agricultural projects and Integrated Vector Management [IVM] in public health projects) and reduce reliance on synthetic chemical pesticides. Include assessment of pest management issues, impacts and risks in the EA process.	UNEP hosts a number of conventions addressing hazardous chemicals, including pesticides, and its Programme of Work 2012-2-13 includes a sub-programme on Harmful Substances and Hazardous Waste that works to minimize the use of harmful chemicals and pesticides and promotes a precautionary approach to potential risks. However, UNEP does not have sufficient operational policies, procedures, or	UNEP will make needed improvements to its safeguards operational policies, guidelines, and procedures to meet the outstanding Minimum Requirements listed	End-2014
5.2	The Agency requires that, in the context of projects that it supports, pesticides are procured contingent on an assessment of the nature and degree of associated risks, taking into account the proposed use and intended users. The Agency also does not allow the procurement or use of formulated products that are in World Health Organization (WHO) Classes IA and IB, or formulations of products in Class II unless there are restrictions that are likely to deny use or access to lay personnel and others without training or proper equipment.			
5.3	The Agency also does not allow the procurement or use in its projects pesticides and			

## UNEP SAFEGUARDS ACTION PLAN

#	Criterion / Minimum Requirements	Outstanding Items	Agreed Action(s)	Deadline
	other chemicals specified as persistent organic pollutants identified under the Stockholm convention.	guidelines in place for ensuring safe pest management in its own projects. UNEP has demonstrated capacity with IVM projects (e.g. particularly concerning the phase-out of DDT) but lacks experience with IPM projects.	in column 2 to the left.	
5.4	Follow the recommendations and Minimum Standards as described in the United Nations Food and Agriculture Organization (FAO) International Code of Conduct on the Distribution and Use of Pesticides (Rome, 2003) and its associated technical guidelines and procure only pesticides, along with suitable protective and application equipment that will permit pest management actions to be carried out with well-defined and minimal risk to health, environment and livelihoods.			
5.6	Disclose draft mitigation plans in a timely manner, before appraisal formally begins, in a place accessible to key stakeholders including project affected groups and CSOs in a form and language understandable to them.			
<b>6. PHYSICAL CULTURAL RESOURCES</b>				
6	<i>Established policies, procedures, and guidelines require the Agency to ensure physical cultural resources (PCR) are appropriately preserved and their destruction or damage is appropriately avoided. PCR includes archaeological, paleontological, historical, architectural, and sacred sites including graveyards, burial sites, and unique natural values. The impacts on physical cultural resources resulting from project activities, including mitigating measures, may not contravene either the recipient country's national legislation or its obligations under relevant international environmental treaties and agreements.</i>	While it follows the policies and strategies of UNESCO on physical cultural resources, UNEP will need to make improvements to meet the requirements of this Minimum Standard.	UNEP will make the needed improvements to meet the requirements in its Environmental, Social and Economic Sustainability Framework.	End-2014
6.1	Analyze feasible project alternatives to prevent or minimize or compensate for adverse impacts and enhance positive impacts on PCR, through site selection and design.	UNEP does not have sufficiently detailed operational policies, procedures, or guidelines for dealing with physical cultural resources in its projects.	UNEP will make the needed improvements to address physical cultural resources in its projects in its Environmental, Social and Economic Sustainability Framework.	End 2014
6.2	If possible, avoid financing projects that could significantly damage PCR. As appropriate, conduct field-based surveys using qualified specialists to evaluate PCR.			
6.3	Consult local people and other relevant stakeholders in documenting the presence and significance of PCR, assessing the nature and extent of potential impacts on these resources, and designing and implementing mitigation plans.			
6.4	Provide for the use of "chance find" procedures that include a pre-approved management and conservation approach for materials that may be discovered during project implementation.			
6.5	Disclose draft mitigation plans, in a timely manner, before appraisal formally begins, in a place accessible to key stakeholders including project affected groups and CSOs in a form and language understandable to them.			

## UNEP SAFEGUARDS ACTION PLAN

#	Criterion / Minimum Requirements	Outstanding Items	Agreed Action(s)	Deadline
<b>7. SAFETY OF DAMS</b>				
7	<i>Agency systems require the Agency to ensure quality and safety in the design and construction of new dams, and the rehabilitation of existing dams, on a scale that is appropriate to the Agency's mission. In addition, the Agency undertakes appropriate measures to ensure the quality and safety in the performance of existing dams on which the project may have an impact or that may affect the outcome of the project.</i>	Because UNEP does not implement projects that involve large-scale dams, the requirements of this standard that apply to large dams are not applicable to UNEP (i.e. the second sentence of Criteria 7 and Minimum Requirement 7.3). UNEP will need to make improvements to meet the other, applicable requirements of this Minimum Standard.	UNEP will make the needed improvements to meet the requirements in its Environmental, Social and Economic Sustainability Framework.	End-2014
7.1	Use experienced and competent professionals to design and supervise the construction, operation, and maintenance of dams and associated works.	UNEP does not have sufficiently detailed operational policies, procedures, or guidelines for ensuring the safety of small dams in its projects,	UNEP will make the needed improvements to its operational procedures to address the safety of small dams in its projects.	End 2014
7.2	Develop plans, including for construction supervision, instrumentation, operation and maintenance and emergency preparedness.			
7.4	Use contractors that are qualified and experienced to undertake planned construction activities.			
7.5	Carry out periodic safety inspections of new/rehabilitated dams after completion of construction/rehabilitation, review/monitor implementation of detailed plans and take appropriate action as needed.			
7.6	Disclose draft plans, in a timely manner, before appraisal formally begins, in a place accessible to key stakeholders, including project affected groups and CSOs, in a form and language understandable to them.			

**UNEP SAFEGUARDS ACTION PLAN**

#	Criterion / Minimum Requirements	Outstanding Items	Agreed Action(s)	Deadline
<b>8. ACCOUNTABILITY AND GRIEVANCE SYSTEMS</b>				
8.1	<p>GEF Partner Agencies shall have accountability systems or measures that are designed to ensure enforcement of its environmental and social safeguard policies and related systems.</p> <p>GEF Partner Agencies' accountability systems shall be:</p> <ul style="list-style-type: none"> <li>a. Designed to address potential breaches of a GEF Partner Agency's policies and procedures;</li> <li>b. Independent, transparent, and effective;</li> <li>c. Accessible to project-affected people;</li> <li>d. Required to keep complainants abreast of progress with cases brought forward; and</li> <li>e. Required to maintain records on all cases and issues brought forward for review.</li> </ul>	<p>UNEP does not have a system or mechanism for ensuring accountability/compliance for the enforcement of its environmental and social safeguard policies, including an accessible, transparent system for receiving, processing, and investigating external stakeholder complaints regarding breaches of such policies.</p>	<p>UNEP will make the needed improvements to meet the accountability system requirements in its Environmental, Social and Economic Sustainability Framework.</p>	<p>End 2014</p>
8.2	<p>GEF Partner Agencies shall also have systems or measures for the receipt of and timely response to complaints from parties affected by the implementation of the Partner Agencies' projects and which seek resolution of such complaints. Such systems are not intended to substitute for the country-level dispute resolution and redress mechanisms.</p> <p>With regard to systems for the receipt and response to complaints, GEF Partner Agencies shall:</p> <ul style="list-style-type: none"> <li>a. Designate staff or a division that is available to receive and respond to complaints related to the implementation of its projects.</li> <li>b. Work proactively with the complainant and other parties to resolve the complaints or disputes determined to have standing.</li> <li>c. Maintain records on all cases and issues brought forward, with due regard for confidentiality of information.</li> <li>d. Publicly designate the contact information for the staff and/or division responsible for receiving and responding to complaints. This information should preferably be designated both on the Agency's website and on separate websites, if established, for specific projects. For individual projects, this information should be provided in local languages.</li> <li>e. Inform project stakeholders of the existence of the Agency's Accountability and Grievance Systems during consultations and inform stakeholders how they may file complaints, including provision of contact information for the responsible staff or division.</li> </ul>	<p>UNEP also does not currently have an agency-wide grievance redress system for receiving, processing, and addressing external stakeholder complaints regarding social and environmental issues of FAO supported projects.</p>	<p>UNEP will make the needed improvements to meet the grievance system requirements in its Environmental, Social and Economic Sustainability Framework. Furthermore, UNEP will design a Grievance Mechanism (for receiving, processing, investigating and addressing complaints) consistent with UN HQ requirements, but decentralized from the main UN HQ system. The design of the system is expected by end 2014; however, its approval and subsequent implementation is subject to review by UN HQ which will aim for end 2015. In the meantime, UNEP has already put into place an Interim Mechanism for Grievance, which includes an expert</p>	<p>Interim Mechanism established Sept 2013 and operational. Permanent Mechanism to be designed by end 2014.</p>

**UNEP SAFEGUARDS ACTION PLAN**

			committee consisting of staff experienced in legal, technical, political, and outreach matters. This Interim Mechanism, housed in the Office for Operations, is sufficiently firewalled, and is now operational.	
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United Nations Industrial Development Organization (UNIDO)

#	Criterion / Minimum Requirements	Outstanding Items	Agreed Action(s)	Deadline
<b>1. ENVIRONMENTAL AND SOCIAL IMPACT ASSESSMENT</b>				
1	<i>Established Agency Systems ensure that the Agency conducts Environmental and Social Impact Assessments of proposed projects to help ensure their environmental and social soundness and sustainability</i>	While UNIDO has a collection of policies, programs, and systems that clearly commit it to environmental protection, sustainable development, and the prevention and mitigation of harm to people and the environment, it has to better/further codify a complete set of policies and procedures that are necessary to support the environmental and social assessment system to meet this Minimum Standard. Minimum Standard 1.8 is not applicable to UNIDO.	UNIDO is in the process of developing a system for environmental and social impact assessment, including an ESIA policy and corresponding guidelines.	End-2014
1.1	The Agency uses a screening process for each proposed project, as early as possible, to determine the appropriate extent and type of environmental and social impact assessment required of the project so that appropriate studies are undertaken proportional to potential risks and to direct, and, as relevant, indirect, cumulative, and associated impacts. The Agency also uses strategic, sectoral or regional environmental assessment, when appropriate.	UNIDO's DGB.120 requires early screening of all technical cooperation projects using a quality review checklist to trigger consideration of environmental and social issues. The screening process and criteria are being updated to include standards for assigning proposed projects an environmental category for determining the type and extent of ESIA required.	UNIDO is in the process of adopting policies and procedures to ensure that its project screening process has criteria based on which proposed projects can be assigned an environmental category for determining the type and extent of ESIA required.	End-2014
1.2	Assesses potential impacts of the proposed project to physical, biological, socioeconomic, cultural, and physical cultural resources, including transboundary concerns, and potential impacts on human health and safety;	UNIDO has extensive experience performing technical environmental studies and ESIA's, as evidenced in a number of its project documents provided to the GEF Secretariat. However, UNIDO has to codify policies and guidelines for assessing the full range of potential impacts (e.g. biological, physical, socio-economic, etc.) of its projects.	UNIDO is in the process of adopting policies and procedures to ensure that assessments for the full range of potential impacts of its projects are conducted as part of the official project assessment process.	End-2014

## UNIDO SAFEGUARDS ACTION PLAN

#	Criterion / Minimum Requirements	Outstanding Items	Agreed Action(s)	Deadline
1.3	Assesses the adequacy of the applicable legal and institutional framework, including applicable international environmental agreements, and confirm that project activities that will contravene such international obligations are not financed;	UNIDO routinely assesses national legal and institutional frameworks in its project preparation and is fully knowledgeable of the GEF conventions. However, the requirement for assessment of the legal and institutional framework is not reflected in UNIDO DGB.120 or other guidelines.	UNIDO is in the process of adopting policies and procedures to ensure that assessments of national legal and institutional frameworks are undertaken during preparation of its projects, as well as demonstrate that its organizational structure and internal capacity ensure the adequacy of applicable legal and institutional frameworks in recipient countries.	End-2014
1.4	Feasible investment, technical, and siting alternatives, including the “no action” alternative, are assessed, as well as potential impacts, feasibility of mitigating these impacts, their capital and recurrent costs, their suitability under local conditions, and the institutional, training and monitoring requirements associated with them;	UNIDO needs to develop written operational policies or guidelines regarding the analysis of project alternatives.	UNIDO is in the process of adopting policies and procedures to ensure analysis of viable project alternatives.	End-2014
1.5	Agency policy requires executors of projects receiving GEF funds to place a priority on the prevention of harmful social and environmental impacts. And where not possible to prevent such impacts, project executors are required to at least minimize, or compensate adverse project impacts and enhance positive impacts through environmental planning and management that includes the proposed mitigation measures, monitoring, institutional capacity development and training measures, an implementation schedule, and cost estimates	UNIDO needs to codify written operational policies or guidelines establishing a mitigation hierarchy (i.e. prevention, minimization, compensation) in the assessment of its projects or that requires preparation of environmental and social management plans (ESMPs) to ensure implementation of mitigation measures, monitoring, and capacity development.	UNIDO is in the process of introducing additional provisions to its contractual arrangements with project executing partners to ensure the use of the mitigation hierarchy (i.e. prevention, minimization, compensation) in assessment of its projects and the preparation of ESMPs.	End-2014
1.6	Involve stakeholders, including project-affected groups, indigenous peoples, and local CSOs, as early as possible, in the preparation process and ensure that their views and concerns are made known to decision makers and taken into account. Continue consultations throughout project implementation as necessary to address environmental and social impact assessment-related issues that affect them; Use independent expertise in the preparation of environmental and social impact assessments, where appropriate. Use independent advisory panels during preparation and implementation of projects that are highly risky or contentious or that involve serious and multi-dimensional environmental and/or social concerns;	UNIDO’s provisions for identification of and consultation with stakeholders are contained in its project template and the quality review checklists of DGB.120, as well as in the <i>Guidelines on Technical Cooperation Programmes and Projects (2006)</i> . These consultation provisions should be strengthened with regard to environmental assessments.	UNIDO is in the process of further strengthening the relevant provisions for stakeholder engagement.	End-2014



## UNIDO SAFEGUARDS ACTION PLAN

#	Criterion / Minimum Requirements	Outstanding Items	Agreed Action(s)	Deadline
1.7	Use independent expertise in the preparation of environmental and social impact assessments, where appropriate. Use independent advisory panels during preparation and implementation of projects that are highly risky or contentious or that involve serious and multi-dimensional environmental and/or social concerns;	UNIDO has demonstrated the use of independent ESIA experts (national and international) in the preparation and review of ESIA reports for its projects; however, UNIDO needs to develop formal guidelines requiring the use of such experts.	UNIDO is in the process of adopting policies and procedures requiring the use of independent ESIA expertise in the preparation, review and implementation of ESIA reports for projects with significant risk as per categorization system (see 1.1).	End-2014
1.9	Disclose draft environmental and social impact assessments in a timely manner, before appraisal formally begins, in a place accessible to key stakeholders including project affected groups and CSOs in a form and language understandable to them.	UNIDO discloses ESIA reports with project stakeholders as early in the process as possible, during project preparation before appraisal, but there are no clear operational policies or guidelines to this effect.	UNIDO is in the process of adopting policies and procedures requiring disclosure of draft ESIA reports (and other types of documents required by following requirements listed below - 2.10, 4.9, and 7.6) in a timely manner (before appraisal formally begins) in a place, form and language accessible to key stakeholders.	End-2014
<b>2. PROTECTION OF NATURAL HABITATS</b>				
2	<i>Established policies, procedures, and guidelines require the Agency to ensure that environmentally sustainable development is promoted by supporting the sustainable management, the protection, conservation, maintenance, and rehabilitation of natural habitats and their associated biodiversity and ecosystem functions;</i>	UNIDO employs a precautionary approach to sustainable management of natural habitats in all of its technical assistance projects. However, the Organization needs to codify relevant policies or procedures for ensuring the conservation and sustainable management of natural habitats in order to meet the requirements of this minimum standard. Given the nature of its projects, UNIDO does not (and will not) have many projects that will have significant adverse impacts on critical or other natural habitats. Therefore, Minimum Requirements 2.7 and 2.8 are not applicable to UNIDO.	UNIDO will include a general policy, in the overarching ESIA policy, on protection of natural habitats, with a statement that it will not engage in any projects dealing with critical habitats.	End-2014
2.1	Use a precautionary and ecosystem approach to natural resource conservation and management to ensure opportunities for environmentally sustainable development. Determine if project benefits substantially outweigh potential environmental costs;	As a matter of practice, UNIDO employs a precautionary approach to natural resources management in all of its technical assistance projects, but it	UNIDO is in the process of introducing in its project screening and appraisal system an early screening step employing a	End-2014

## UNIDO SAFEGUARDS ACTION PLAN

#	Criterion / Minimum Requirements	Outstanding Items	Agreed Action(s)	Deadline
		needs to codify policies or guidelines promoting the precautionary and ecosystem approach for management of natural habitats.	precautionary and ecosystem approach. This will ensure that projects that do not comply with this specific requirement either: (i) employ an alternative design/siting arrangement in order to avoid any conflict with the requirement or (ii) fail to get approved for further development.	
2.2	Give preference to siting physical infrastructure investments on lands where natural habitats have already been converted to other land uses;	UNIDO does not finance large-scale infrastructure/investment projects that might require siting in natural habitats and thus does not have corresponding policies for siting such infrastructure. However, UNIDO does finance small-scale infrastructure projects that may involve trade-offs with natural habitats.	UNIDO is in the process of adopting policies and procedures to ensure that its projects give preference to siting physical infrastructure on lands where natural habitats have already been converted to other land uses.	End-2014
2.3	Avoid significant conversion or degradation of critical natural habitats, including those habitats that are: a) Legally protected, b) Officially proposed for protection, c) Identified by authoritative sources for their high conservation value, or d) Recognized as protected by traditional local communities.	As a matter of practice, UNIDO avoids significant conversion or degradation of critical natural habitats in its work, since UNIDO's projects are of a nature where such conversion would not generally occur. UNIDO needs to codify written operational policies or guidelines to ensure that its projects comply with this statement.	UNIDO is in the process of introducing in its project screening and appraisal system an early screening step that would ensure that projects that do not comply with this specific requirement either: (i) employ an alternative design/siting arrangement in order to avoid any conflict with the requirement or (ii) fail to get approved for further development.	End-2014
2.4	Where projects adversely affect non-critical natural habitats, proceed only if viable alternatives are not available, and if appropriate conservation and mitigation measures, including those required to maintain ecological services they provide, are in place. Include also mitigation measures that minimize habitat loss and establish and maintain an ecologically similar protected area.	UNIDO needs to come up with written operational policies or guidelines to ensure that its projects avoid adverse impacts on non-critical habitats.	UNIDO is in the process of introducing in its Project Screening and Appraisal System an early screening step employing a precautionary approach that would ensure that projects non-compliant with this specific standard either: (i) consider alternative designs/siting arrangements to avoid any conflict	End-2014

## UNIDO SAFEGUARDS ACTION PLAN

#	Criterion / Minimum Requirements	Outstanding Items	Agreed Action(s)	Deadline
			with the standard or (ii) are not approved for further development.	
2.5	Screen as early as possible for potential impacts on health and quality of important ecosystems including forests, and on the rights and welfare of the people who depend on them.	UNIDO needs to develop screening procedures to assess potential project impacts on the quality and health of important ecosystems.	UNIDO is in the process of introducing in its Project Screening and Appraisal System an early screening step employing a precautionary approach that would screen for potential impacts on important ecosystems and the people who depend on them.	End-2014
2.6	Do not finance projects that will involve significant conversion or degradation of critical natural habitats, including forests, or that will contravene applicable international environmental agreements.	See 2.3 above.	See 2.3 above.	End-2014
2.9	Consult appropriate experts and key stakeholders, including local nongovernmental organizations and local communities, and involve such people in design, implementation, monitoring, and evaluation of projects, including mitigation planning.	See 1.6 above.	See 1.6 above.	End-2014
2.10	Disclose draft mitigation plan in a timely manner, before appraisal formally begins, in a place accessible to key stakeholders, including project affected groups and CSOs, in a form and language understandable to them.	See 1.9 above.	See 1.9 above.	End-2014
<b>3. INVOLUNTARY RESETTLEMENT</b>				
3	<i>Established policies, procedures, and guidelines require the Agency to ensure that involuntary resettlement is avoided or minimized. Where this is not feasible, the Agency is required to ensure displaced persons are assisted in improving or at least restoring their livelihoods and standards of living in real terms relative to pre-displacement levels or to levels prevailing prior to the beginning of project implementation, whichever is higher;</i>	UNIDO's agreed comparative advantage in the GEF is that it implements technical assistance and capacity-building projects, not investment projects. UNIDO does not implement investment projects; therefore, the risk that involuntary resettlement impacts would arise from UNIDO projects is extremely low. Because of this, and consistent with guidance contained in the Safeguards Policy, this minimum standard largely does not apply to UNIDO.	In order to ensure that no involuntary resettlement actually occurs in its projects in the future, UNIDO will put in place a policy statement banning projects that would result in involuntary resettlement. Furthermore, to enforce this policy statement, UNIDO is in the process of introducing into its Project Screening and Appraisal System an early screening process to screen projects for such potential impacts.	Dec-2014

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#	Criterion / Minimum Requirements	Outstanding Items	Agreed Action(s)	Deadline
<b>4. INDIGENOUS PEOPLES</b>				
4	<i>Established policies, procedures, and guidelines require the Agency to ensure projects are designed and implemented in such a way that fosters full respect for Indigenous Peoples' and their members' dignity, human rights, and cultural uniqueness so that they (a) receive culturally appropriate social and economic benefits; and (b) do not suffer adverse effects during the development process.</i>	To date, UNIDO has not needed to develop written operational policies or procedures to properly identify and adequately address Indigenous Peoples issues in its projects because UNIDO's mandate is focused on promoting industrial development. In line with its mandate, UNIDO rarely works in the more remote and rural areas where Indigenous Peoples communities are normally present. The instances in which UNIDO would engage in projects that involve or affect IP have been, and will continue to be, quite rare. It should be noted that UNIDO does not implement projects relating to natural protected areas. As such, Minimum Standard 4.6, and the parts of other minimum requirements relating to protected areas do not apply to UNIDO.	UNIDO will include an Indigenous Peoples policy, in the overarching ESIA policy, with corresponding guidelines to ensure that its projects are designed and implemented to foster full respect for Indigenous Peoples.	End-2014
4.1	Screen early for the presence of Indigenous Peoples in the project area, who are identified through criteria that reflect their social and cultural distinctiveness. Such criteria may include: self-identification and identification by others as Indigenous Peoples, collective attachment to land, presence of customary institutions, indigenous language, and primarily subsistence-oriented production.	As noted in criterion 4 above, UNIDO has not yet developed policies or procedures for addressing IP in its projects.	UNIDO is in the process of adopting policies and procedures to ensure early screening of its projects for the presence of IP in project areas.	End-2014
4.2	Undertake free, prior, and informed consultations with affected Indigenous Peoples to ascertain their broad community support for projects affecting them and to solicit their full and effective participation in designing, implementing, and monitoring measures to (a) ensure a positive engagement in the project (b) avoid adverse impacts, or when avoidance is not feasible, minimize, mitigate, or compensate for such effects; and (c) tailor benefits in a culturally appropriate way.	As noted in criterion 4 above, UNIDO has not yet developed operational policies or procedures for addressing indigenous peoples in its projects.	In further strengthening the relevant provisions for stakeholder engagement, UNIDO is in the process of adopting policies and procedures to ensure free, prior and informed consultations with IP to ascertain their broad community support for projects affecting them and solicit their participation in project preparation	End-2014

**UNIDO SAFEGUARDS ACTION PLAN**

#	Criterion / Minimum Requirements	Outstanding Items	Agreed Action(s)	Deadline
			and implementation.	
4.3	Undertake the environmental and social impact assessment, with involvement of Indigenous Peoples, to assess potential impacts and risks when a project may have adverse impacts. Identify measures to avoid, minimize and/or mitigate adverse impacts.	As noted in criterion 4 above, UNIDO has not yet developed policies or procedures for performing social assessments for projects involving indigenous peoples.	UNIDO is in the process of adopting policies and procedures to ensure that its projects perform appropriate ESIA's with the involvement of IP to assess potential impacts and identify appropriate measures.	End-2014
4.4	Provide socioeconomic benefits in ways that are culturally appropriate, and gender and generationally inclusive. Full consideration should be given to options preferred by the affected Indigenous Peoples for provision of benefits and mitigation measures.	As noted in criterion 4 above, UNIDO has not yet developed policies or procedures for addressing indigenous peoples in its projects and thus has not yet developed requirements for preparing indigenous peoples plans.	UNIDO is in the process of adopting policies and procedures to ensure that the benefits of its projects are appropriate for IP and reflect their preferred options.	End-2014
4.5	Make provisions in plans, where appropriate, to support activities to establish legal recognition of customary or traditional land tenure and management systems and collective rights used by project affected Indigenous Peoples.	As noted in criterion 4 above, UNIDO has not yet developed policies or procedures for addressing indigenous peoples in its projects. Thus, it has not yet developed provisions supporting legal recognition of customary or traditional land tenure systems.	Where applicable, UNIDO will support activities for recognition of traditional land tenure systems used by Indigenous Peoples.	End-2014
4.7	Refrain from utilizing the cultural resources or knowledge of Indigenous Peoples without obtaining their prior agreement to such use.	As noted in criterion 4 above, UNIDO has not yet developed policies or procedures for addressing indigenous peoples in its projects and thus has not yet developed provisions regarding the use of cultural resources or knowledge of IP.	UNIDO will make sure that appropriate reference is introduced in the policy documentation ensuring that agreement by Indigenous Peoples is obtained prior to any use of their cultural resources or knowledge.	End-2014
4.8	For those projects where the environmental and social impact assessment identifies adverse effects on Indigenous Peoples, Agency policies require that the project develop an Indigenous Peoples plan or a framework that (a) specifies measures to ensure that affected Indigenous Peoples receive culturally appropriate benefits and (b) identifies measures to avoid, minimize, mitigate or compensate for any adverse effects, (c) includes measures for continued consultation during project implementation,	As noted in criterion 4 above, UNIDO has not yet developed policies or procedures for addressing indigenous peoples in its projects.	UNIDO is in the process of introducing in its Project Screening and Appraisal System an early screening step employing a precautionary approach that would ensure that projects non-compliant with this specific standard either: (i)	End-2014

## UNIDO SAFEGUARDS ACTION PLAN

#	Criterion / Minimum Requirements	Outstanding Items	Agreed Action(s)	Deadline
	grievance procedures, and monitoring and evaluation arrangements, and (d) specifies a budget and financing plan for implementing the planned measures. Such plans should draw on indigenous knowledge and be developed in with the full and effective participation of affected Indigenous Peoples.		consider alternative designs/siting arrangements to avoid any conflict with the standard or (ii) not be approved for further development.	
4.9	Disclose documentation of the consultation process and the required Indigenous Peoples plan or framework, in a timely manner, before appraisal formally begins, in a place accessible to key stakeholders, including project affected groups and CSOs, in a form and language understandable to them.	See 1.9 above.	See 1.9 above.	End-2014
4.10	Monitor, by experienced social scientists, the implementation of the project (and any required Indigenous Peoples plan or framework) and its benefits as well as challenging or negative impacts on Indigenous Peoples and address possible mitigation measures in a participatory manner.	As noted in criterion 4 above, UNIDO has not yet developed policies or procedures for addressing indigenous peoples in its projects and therefore needs to come up with specific monitoring requirements for projects involving indigenous peoples.	UNIDO is in the process of adopting policies and procedures to monitor the implementation and adherence to the recommendations provided in the Project Approval and Appraisal process by its projects involving IP. This would include a requirement that individual projects recruit experienced social science experts to monitor compliance with this standard.	End-2014
<b>5. PEST MANAGEMENT</b>				
5	<i>Established policies, procedures, and guidelines require the Agency to ensure the environmental and health risks associated with pesticide use are minimized and managed, and that safe, effective, and environmentally sound pest management is promoted and supported.</i>	UNIDO does not implement projects involving sustainable land or forest management, agricultural production or pest management; as such this minimum standard largely does not apply to UNIDO. Only parts of Minimum Requirements 5.2, 5.3, and 5.4 apply to UNIDO.	In order to ensure that it does not procure or use pesticides contrary to this minimum standard in the future, UNIDO will develop guidelines to add to its Procurement Manual and/or other relevant documentation to ensure that its projects comply with the applicable requirements of this minimum standard.	End-2014
5.2	The Agency requires that, in the context of projects that it supports, pesticides are procured contingent on an assessment of the nature and degree of associated risks, taking into account the proposed use and intended users. The Agency also does not allow the procurement or use of formulated products that are in World Health Organization (WHO) Classes IA and IB, or formulations of products in Class II unless there are restrictions that are likely to deny use or access to lay personnel and others without training or proper equipment.	See criterion 5 above.	UNIDO will develop guidelines to add to its Procurement Manual and/or other relevant documentation to ensure that any procurement of pesticides in its projects complies with WHO regulations.	End-2014

## UNIDO SAFEGUARDS ACTION PLAN

#	Criterion / Minimum Requirements	Outstanding Items	Agreed Action(s)	Deadline
5.3	The Agency also does not allow the procurement or use in its projects pesticides and other chemicals specified as persistent organic pollutants identified under the Stockholm convention.	See criterion 5 above.	UNIDO will develop additional provisions as part of its Procurement Manual and/or other relevant documentation banning procurement in its projects of any persistent organic pollutants (POPs) identified by the Stockholm Convention.	End-2014
5.4	Follow the recommendations and minimum standards as described in the United Nations Food and Agriculture Organization (FAO) International Code of Conduct on the Distribution and Use of Pesticides (Rome, 2003) and its associated technical guidelines and procure only pesticides, along with suitable protective and application equipment that will permit pest management actions to be carried out with well-defined and minimal risk to health, environment and livelihoods.	See criterion 5 above.	UNIDO will develop guidelines to add to its Procurement Manual and/or other relevant documentation to ensure that any management and disposal of pesticides in its projects complies with the FAO Code of Conduct.	End-2014
<b>6. PHYSICAL CULTURAL RESOURCES</b>				
6	<i>Established policies, procedures, and guidelines require the Agency to ensure physical cultural resources (PCR) are appropriately preserved and their destruction or damage is appropriately avoided. PCR includes archaeological, paleontological, historical, architectural, and sacred sites including graveyards, burial sites, and unique natural values. The impacts on physical cultural resources resulting from project activities, including mitigating measures, may not contravene either the recipient country's national legislation or its obligations under relevant international environmental treaties and agreements.</i>	Given its mandate and agreed comparative advantage in the GEF (i.e. it implements only technical assistance and capacity-building projects, not investment projects) UNIDO is not likely to implement projects that would have potential adverse effects on physical cultural resources. For this reason, this minimum standard largely does not apply to UNIDO.	In order to ensure that its projects do not adversely impact physical cultural resources, UNIDO will adopt a policy banning projects that adversely impact such resources, including procedures in case chance finds occur. UNIDO will also introduce into its Project Screening and Appraisal System an early screening step employing a precautionary approach to ensure enforcement of this policy.	End-2014
<b>7. SAFETY OF DAMS</b>				
7	<i>Agency systems require the Agency to ensure quality and safety in the design and construction of new dams, and the rehabilitation of existing dams, on a scale that is appropriate to the Agency's mission. In addition, the Agency undertakes appropriate measures to ensure the quality and safety in the performance of existing dams on which the project may have an impact or that may affect the outcome of the project.</i>	UNIDO does not engage in projects that involve large-scale dams, so the requirements of this standard that apply to large dams are not applicable to UNIDO (i.e. the second sentence of Criteria 7 and Minimum Requirement 7.3). But, in its Small Hydropower Programme, UNIDO does construct micro dams (i.e. 1-3 m. in height) for	UNIDO will develop guidelines to ensure quality and safety in the design, construction, operation and maintenance of new dams and the rehabilitation of existing dams on the micro scale appropriate to its mission, taking into consideration UNIDO's project-based experience with such micro dams.	End-2014



**UNIDO SAFEGUARDS ACTION PLAN**

#	Criterion / Minimum Requirements	Outstanding Items	Agreed Action(s)	Deadline
		<p>hydropower purposes and should have policies for ensuring the safety of these dams. UNIDO was assessed as meeting Minimum Requirements 7.1 and 7.5 with regard to the use and experienced professionals and qualified contractors in its projects involving small dams. It was assessed as not fully meeting Minimum Requirements 7.2, 7.5, and 7.6, as noted below.</p>		
7.2	<p>Develop plans, including for construction supervision, instrumentation, operation and maintenance and emergency preparedness.</p>	<p>UNIDO has a Small Hydropower Strategy that addresses the environmental and social considerations involved in constructing micro dams and uses Guidelines for SHP Systems developed by UNEP to assess and mitigate the environmental and social risks, however, UNIDO needs to have dam safety guidelines that apply to its micro hydropower dams and require appropriate safety measures in its project environmental management or other plans.</p>	<p>UNIDO will develop appropriate requirements for environmental management plans (EMPs), environment and social management frameworks (ESMFs) or similar plans. These would include appropriate safety measures for the operation and maintenance of micro dams that UNIDO finances.</p>	End-2014
7.5	<p>Carry out periodic safety inspections of new/rehabilitated dams after completion of construction/rehabilitation, review/monitor implementation of detailed plans and take appropriate action as needed.</p>	<p>UNIDO performs safety inspections after construction of its micro dams and has demonstrated capacity in this area, but UNIDO needs to codify guidelines requiring periodic safety inspections of its micro dams.</p>	<p>UNIDO will develop guidelines requiring individual projects to carry out periodic safety inspections of new/rehabilitated small dams after completion of construction/remediation activities and take appropriate action as needed.</p>	End-2014
7.6	<p>Disclose draft plans, in a timely manner, before appraisal formally begins, in a place accessible to key stakeholders, including project affected groups and CSOs, in a form and language understandable to them.</p>	<p>See 1.9 above</p>	<p>See 1.9 above.</p>	End-2014



**UNIDO SAFEGUARDS ACTION PLAN**

#	Criterion / Minimum Requirements	Outstanding Items	Agreed Action(s)	Deadline
<b>8. ACCOUNTABILITY AND GRIEVANCE SYSTEMS</b>				
8.1	<p>GEF Partner Agencies shall have accountability systems or measures that are designed to ensure enforcement of its environmental and social safeguard policies and related systems.</p> <p>GEF Partner Agencies' accountability systems shall be:</p> <ul style="list-style-type: none"> <li>a. Designed to address potential breaches of a GEF Partner Agency's policies and procedures;</li> <li>b. Independent, transparent, and effective;</li> <li>c. Accessible to project-affected people;</li> <li>d. Required to keep complainants abreast of progress with cases brought forward; and</li> <li>e. Required to maintain records on all cases and issues brought forward for review.</li> </ul>	<p>UNIDO needs to develop a mechanism for ensuring accountability/compliance for the enforcement of its environmental and social safeguard policies, including an accessible, transparent system for receiving, processing, and investigating external stakeholder complaints regarding breaches of such policies.</p>	<p>UNIDO will adopt a mechanism for ensuring accountability for and enforcement of its environmental and social safeguards.</p>	End-2014
8.2	<p>GEF Partner Agencies shall also have systems or measures for the receipt of and timely response to complaints from parties affected by the implementation of the Partner Agencies' projects and which seek resolution of such complaints. Such systems are not intended to substitute for the country-level dispute resolution and redress mechanisms.</p> <p>With regard to systems for the receipt and response to complaints, GEF Partner Agencies shall:</p> <ul style="list-style-type: none"> <li>a. Designate staff or a division that is available to receive and respond to complaints related to the implementation of its projects.</li> <li>b. Work proactively with the complainant and other parties to resolve the complaints or disputes determined to have standing.</li> <li>c. Maintain records on all cases and issues brought forward, with due regard for confidentiality of information.</li> <li>d. Publicly designate the contact information for the staff and/or division responsible for receiving and responding to complaints. This information should preferably be designated both on the Agency's website and on separate websites, if established, for specific projects. For individual projects, this information should be provided in local languages.</li> <li>e. Inform project stakeholders of the existence of the Agency's Accountability and Grievance Systems during consultations and inform stakeholders how they may file complaints, including provision of contact information for the responsible staff or division.</li> </ul>	<p>UNIDO does not currently have a mechanism for receiving and responding to complaints from parties affected by implementation of its projects.</p>	<p>As noted above, UNIDO will adopt a mechanism to address complaints from parties affected by implementation of its projects, along with a system for receiving and responding to complaints from parties affected by implementation of its projects.</p>	End-2014

## UNEP GENDER MAINSTREAMING ACTION PLAN

### GENDER MAINSTREAMING ACTION PLANS

#### United Nations Environment Programme (UNEP)

#	Minimum Requirements	Outstanding Items	Agreed Action(s)	Deadline
1	The GEF Agency has established either a policy (or policies), a strategy, or an action plan that requires it to design and implement projects in such a way that both women and men (a) receive culturally compatible social and economic benefits, (b) do not suffer adverse effects during the development process; and that (c) fosters full respect for their dignity and human rights.	UNEP was assessed as fully meeting the Minimum Requirements of the Policy except with regards to the Minimum Requirements listed in Paragraphs 16 and 18 of the Policy.	UNEP will take the actions listed below to make improvements in these areas, as noted below.	End-2014
16	The Agency is required to identify measures to avoid, minimize and/or mitigate adverse gender impacts.	UNEP was assessed as not fully meeting this requirement because it has not yet implemented sufficient institutional measures or a methodology that require it to “avoid, minimize, and/or mitigate adverse gender impacts” in the context of its projects. The reviewer could not find sufficient evidence of implementation of such measures in project examples submitted.	UNEP's proposed Environmental, Social, and Economic Sustainability Framework will institutionalize the mechanisms necessary to avoid and mitigate potentially adverse impacts, in terms of gender and other disadvantaged or vulnerable groups in the context of its projects.	End-2014
18	The Agency has a system for monitoring and evaluating progress in gender mainstreaming, including the use of gender disaggregated monitoring indicators.	UNEP was assessed as not fully meeting this minimum requirement because gaps remain in how the Agency monitors and evaluates its progress in terms of gender issues. Moreover, UNEP is finalizing how it monitors and evaluates progress on gender mainstreaming institution wide through its previously agreed Gender Policy and Action Plan. Once that is completed, UNEP will undertake regular monitoring.	UNEP will complete implementation of its Gender Policy and Action Plan to strengthen its framework for monitoring and evaluating progress on gender mainstreaming. UNEP has already enhanced the staffing in its Gender Unit, and is undertaking a series of training modules for HQ-based and regional staff. UNEP will finalize its plans for M&E of gender mainstreaming by end-2014.	End-2014

**UNIDO GENDER MAINSTREAMING ACTION PLAN**

**United Nations Industrial Development Organization (UNIDO)**

#	Minimum Requirements	Outstanding Items	Agreed Action(s)	Deadline
1	The GEF Agency has established either a policy (or policies), a strategy, or an action plan that requires it to design and implement projects in such a way that both women and men (a) receive culturally compatible social and economic benefits, (b) do not suffer adverse effects during the development process; and that (c) fosters full respect for their dignity and human rights.	UNIDO was assessed as fully meeting the criteria and Minimum Requirements of the Policy except with regards to the Minimum Requirements listed in Paragraphs 13 and 16 of the Policy.	UNIDO will take the actions listed below to make improvements in these areas, as noted below.	End-2014
13	The Agency has instituted measures to strengthen its institutional framework for gender mainstreaming, for example, by having a focal point for gender, or other staff, to support the development, implementation, monitoring, and provision of guidance on gender mainstreaming.	UNIDO has made considerable progress on gender mainstreaming in recent years. However, UNIDO was assessed as needing some further strengthening with regard to this minimum requirement. Specifically, it was agreed that UNIDO is on the right track in terms of the planned establishment of a Gender Office. It was found that additional gender experts should be assigned to this office.	UNIDO is strengthening its institutional framework and capacity to implement the UNIDO Gender Policy and Action Plan. UNIDO will report to the GEF Council on the progress it makes in strengthening its institutional framework by supporting the development, implementation, monitoring, and provision of guidance on gender mainstreaming. This will include: <ul style="list-style-type: none"> <li>• The establishment of its new Office for Gender mainstreaming</li> <li>• Providing additional staff working full time on gender</li> </ul>	End-2014
16	The Agency has a system for monitoring and evaluating progress in gender mainstreaming, including the use of gender disaggregated monitoring indicators.	UNIDO was assessed as not fully meeting this minimum requirement. UNIDO has developed written strategies, implementation plans, and has developed some guidance material on theme specific gender analyses and gender sensitive monitoring and evaluation, but based on the evidence submitted, it was recommended that UNIDO further strengthen its performance in this area. UNIDO's Gender Policy states that the "continuous monitoring of progress towards results on gender equality and the empowerment of women in UNIDO's policies and substantive programs and projects" will be ensured through	UNIDO will continue to implement the ISAP, which will be updated for the 2014-2015 biennium, to further strengthen its policies and practices with regard to monitoring and evaluation of gender-related impacts. Specifically, it will develop indicators for project specific gender mainstreaming frameworks, integrating a gender perspective throughout the project cycle, to enable effective monitoring and evaluation of gender	End-2014

**UNIDO GENDER MAINSTREAMING ACTION PLAN**

#	Minimum Requirements	Outstanding Items	Agreed Action(s)	Deadline
		<p>its Implementation Strategy and Action Plan (ISAP). The 2011-2013 (ISAP) for UNIDO’s Policy on Gender Equality and the Empowerment of Women provides strategic objectives and actions to ensure oversight through monitoring and evaluation. Further, guidance is extended to project managers on a practical level in gender analysis frameworks. The gender analysis frameworks include operational input on how to formulate sex-disaggregated performance indicators, but UNIDO is just at the beginning of this process. Due to a gender architecture that needs strengthening, the assessment found that there is not sufficiently strong evidence that UNIDO is fully able to monitor and evaluate progress in gender mainstreaming.</p>	<p>mainstreaming in UNIDO projects and programmes.</p>	