International Union for Conservation of Nature

Country: South Africa

MAINSTREAMING SUSTAINABLE LAND MANAGEMENT (SLM) FOR LARGE-SCALE IMPACT IN THE GRAZING LANDS OF LIMPOPO AND NORTHERN CAPE PROVINCES IN SOUTH AFRICA: **ENVIRONMENTAL AND SOCIAL MANAGEMENT FRAMEWORK (ESMF)**

PREAMBLE

This Environmental and Social Management Framework (ESMF) sets out the principles, rules, guidelines and procedures to ensure the social and environmental risks and impacts of the forthcoming activities are fully assessed and management measures in place prior to implementation of risk related activities. It contains measures and plans to avoid and reduce adverse risks and impacts, and information on responsibilities for addressing project risks and impacts. The ESMF includes reference to a COVID 19 Risk Assessment as included in the ProDoc.

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1. PROJECT DESCRIPTION

1.1.   Objectives and geographic location

The Department of Environment, Fisheries and Forestry (DEFF) and the Department of Agriculture, Land Reform and Rural Development (DALRRD) are the executing agencies for the IUCN-GEF 7 Project entitled, "Mainstreaming Sustainable Land Management (SLM) for Large-Scale Impact in the Grazing Lands of Limpopo and Northern Cape Provinces in South Africa."

The project has identified two sites, one in the Olifants catchment in Limpopo and one in the Mier region in Northern cape where activities will be conducted to identify innovative models for use in scale-up of SLM. The primary rural livelihood in both of these regions is livestock keeping, with the leading driver of land degradation being a weakness in the institutional arrangements for effective coordination of communal management.

As a measure to safeguard the subsistence agricultural livelihoods of these communities there is therefore a crucial need for mainstreaming Sustainable Land Management (SLM) in the communal grazing lands of Limpopo and Northern Cape province. This requires an innovative approach to SLM and requires firstly, the support of on the ground implementation of SLM to achieve Land Degradation Neutrality (LDN) and secondly, strengthen decision-making processes around SLM. The project will establish a strengthened SLM landscape at a communal level of which the approaches and requirements will be scaled up through integration into various levels of developmental planning. This will include building SLM capacity, organising and aligning objectives of land users, and implementing improved SLM at target sites. Sustainability of SLM implementation at pilot sites will be incentivised through facilitating improved access to markets and finance for scale-up. The process will then be mainstreamed into governance mechanisms for scale up at regional level.

The proposed project has four outcomes:

- Outcome 1 will develop a platform by which the scale up of improved information management and knowledge and capacity development, as it pertains to SLM, can be implemented at a larger scale. Outputs will support the development of regionally specific capacity in SLM.
- Outcome 2 will improve the transparency of landscape level approaches and align objectives of government, communal governance structures and land users through the development of a variety of formalised mechanisms. Mechanisms include community level implementation plans, formalisation of community level Rangeland/Biodiversity Stewardship Agreements and local Sustainable Land Management Plans that facilitate regional scale up of activities conducted at target sites and support the implementation of improved SLM on key rangelands in the regions.
- Outcome 3 will provide markets and finance for scale up through a three-part approach. Part one will be to invest project funding into community validated priority value chains that will enable improved SLM and allow for the development and additional penetration of communities in SLM related value chains. Part one will be to validate a suite of integrated innovative finance solutions towards establishment into the two landscapes. Part two will be to make investments into validated priority value chains through targeted investment and

establishment of mechanism that incentivises ongoing SLM through market access and unlocking opportunities towards developing financial capacity and partnerships. Part three will be to provide opportunities for microfinance through small grants programmes and financial capacity training and business case development towards submitting investment proposals to established financial.

- Output 4 will inform SLM related national policies and processes based on the results and best practices from the implementation of the project actions under the first, second and third components. Component 4 supports dialogue with key stakeholder groups at national and local levels to develop consensus over good practices and policies.

The project will be implemented at two target sites: The first in the Fetakgomo-Thubatse and Makhuduthamaga Local Municipality in the Limpopo Province and the second in the Dawid Kruiper Local Municipality in the Northern Cape Province (Figure 1-1).
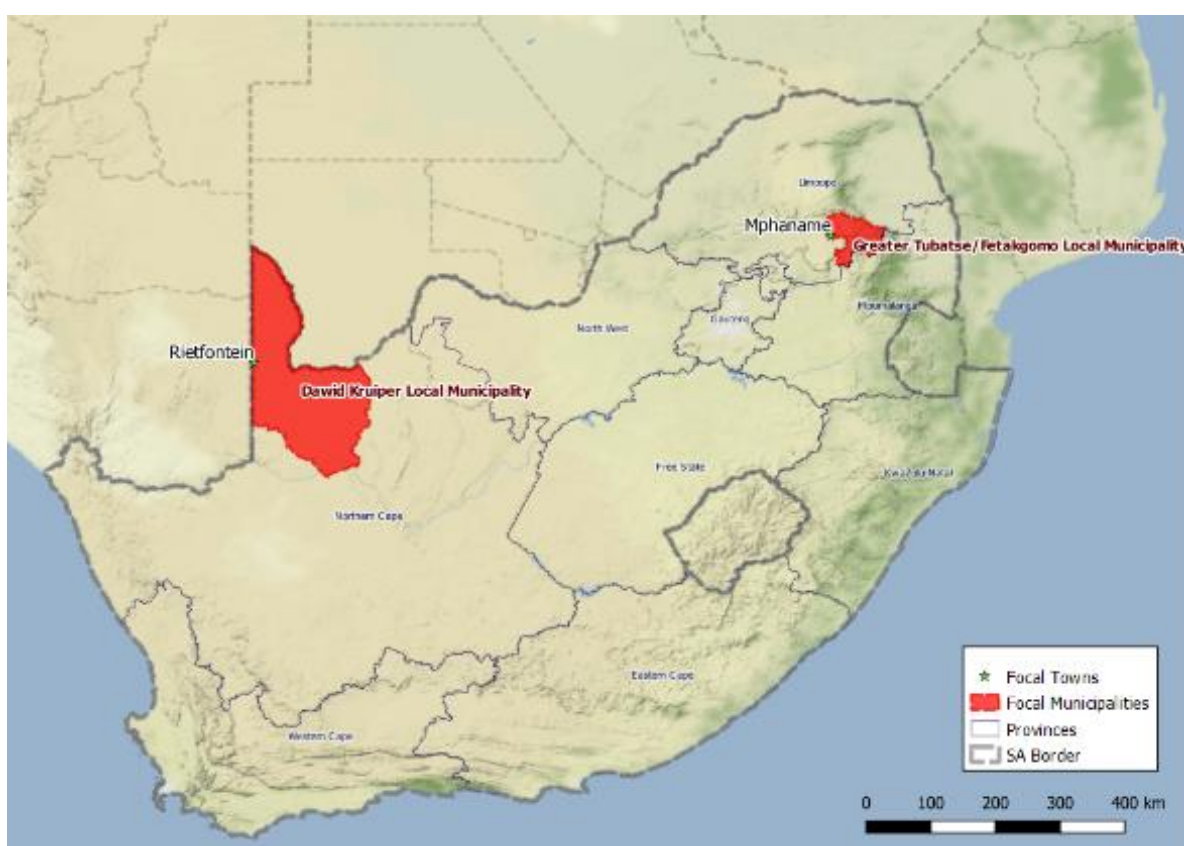
Figure 1-1: Target area (Landscapes)

More precisely, within the Fetakgomo-Thubatse Local Municipality in the Limpopo Province the activities are concentrated in the Mphanama Village. Mphanama village lies on the eastern side of the Fetakgomo-Thubatse Local Municipality, which itself is centrally located in the south-western Sekhukhune District Municipality of Limpopo Province (Figure 1-2).

Figure 1-2: Locality of target sites identified for the Fetakgomo-Thubatse Local Municipality

Within the Dawid Kruiper Local Municipality in the Northern Cape Province the project targets the town of Rietfontein. Rietfontein is located on the border of South Africa and Namibia in the northern portion of the Dawid Kruiper Local Municipality (Figure 1-3).

Figure 1-3: Locality of target sites identified for the Dawid Kruiper Local Municipality

1.2.   Rationale for the ESMF

Under outcome 2 the project will support the implementation of improved SLM on key rangelands. The identification of the sites for the actual restoration actions, as well as the actions itself, depend on outcomes of the the landscape level Sustainable Land Management Plans (SLMP), the community level implementation plans (PRMP) as well as on the community level Rangeland/Biodiversity Stewardship Agreements. All three of these mechanisms are inclusive and participatory stakeholder processes which are promoted and facilitated by the project. It is, therefore, not possible to assess potential environmental or social adverse impacts of the different restoration actions implemented under Output 2.1.6 at this stage.

Under component 3 the project will mediate linkages to finances and markets to promote community validated priority value chains that will enable improved SLM. The selection of the value chains requires a two-key process. Firstly, profiling of value chains against the identified SLM and secondly, the outcomes of the capacity assessment which will be conducted towards adopting an upgraded business model. Although likely to include fodder production, meat and hide production but also non-livestock sectors, the final value chains to be supported are not known at this stage.

Under component 3 the project will financially support alternative livelihoods through the projects small grants program (SGP). This will focus either on those livelihoods that drive improved SLM (e.g. fodder/ meat/ skins/ bone-meal/ para-veterinary services) or else benefit through the improved SLM (i.e. increased production or tourism related products to promote value chain activities and SLM practices). The identification and support of these alternative livelihoods will be facilitated through the project and therefore are not known at this time.

Because the final value chains, the projects funded by the SGP and the actual SLM interventions are not are not known, it is not possible to judge potential environmental or social adverse impacts of these interventions at this stage.

The purpose of the ESMF is to serve as guidance for ensuring that the sub-projects – once defined - will be assessed on potential environmental and social impacts and appropriately managed, in line with the requirements of the IUCN Environmental and Social Management System (ESMS) and with the GEF Safeguard policies. In order to ensure that the application of the safeguard procedures described in chapter 3 are cost-effective and commensurate to the size of the interventions, they will be clustered in form of sub-projects in the following way:

- Restoration works: Restoration activities to be implemented under Output 2.1.6 are established under specific PRMP's and as such, each PRMP is considered one sub-project.
- Value chain activities: The ensemble of SLM-related value chains activities supported by the project in each site (province) are considered one sub-project. It will be at the discretion of the executing partners and PMU as whether to split the ensemble into two or more sub-projects, e.g. depending on the characteristics and timing of the activities.
- Small Grant Program: Each grant allocated under the SGP will be considered as an individual sub-project.
- Investment proposal: Each investment proposal submitted to development banks will be considered an individual sub-project.

The project executing partners and the project management unit (PMU) will follow this ESMF to ensure environmental and social risks of sub-projects are identified and appropriately assessed, and

management measures are in place prior to the implementation of the relevant project activities. The ESMF will be publicly disclosed via electronic links on the website of the Accredited Entity (IUCN) and the Executing Agencies (DEFF and DALRRD).

2. LEGAL AND INSTITUTIONAL FRAMEWORK

This ESMF is designed to comply with the following frameworks:

1. National environmental and social laws and regulations
2. IUCN Environmental and Social Management Systems (ESMS)

2.1.   National Legislation, Policies and Regulations

- Constitution of Republic of South Africa
- National Environmental Management Act, No 14 of 2009
- National Environmental Management: Biodiversity Act, No 10 of 2004
- National Environmental Management: Protected Areas Act, No 181 of 2004
- National Water Act, No 36 of 1998
- National Environmental Management: Waste Act, No 32 of 2009
- Occupational Injuries and Diseases Act, No 61 of 1997
- Basic Conditions of Employment Act, No 11 of 2002
- Occupational Health and Safety Act, No 85 of 1993
- The Protection, Promotion, Development and Management of Indigenous Knowledge Act No 6 of 2019
- The Disaster Management Act, No 57 of 2002

2.2.   IUCN Environmental and Social Management Systems (ESMS)

This ESMP has been prepared in line with IUCN's Environmental and Social Management Systems (ESMS). The overarching ESMS Framework Policy (illustrated in Figure 2-1), the ESMS Principles and ESMS Standards as well as procedural steps are established in the ESMS Manual which has been updated in May 2016.[1] Through the procedural steps it will be ensured that social and environmental risks and impacts of a proposed project are identified and assessed and that measures to avoid, minimise and mitigate the negative risks and impacts are identified and integrated into project design, or where appropriate, the projects' environmental and social management plan (ESMP) or other project safeguard tools.

This policy has been complemented in October 2020 with the Guidance Note on Assessment, Management and Monitoring of Environmental and Social Risks[2]. This note further substantiates the process of identifying environmental and social risks by establishing seven specific risk areas that are common to biodiversity conservation projects but are not explicitly addressed and formulated in the form of an IUCN ESMS Standard. These are (i) adverse gender-related impacts (including gender-based violence), (ii) risks of affecting vulnerable groups, (iii) risks of undermining human rights, (iv) community health, safety and security risks, (v) labour and working conditions, (vi) resource efficiency,

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[1] The ESMS Manual and the four standards are available at: www.iucn.org/esms
[2] Available at: https://www.iucn.org/sites/dev/files/iucn_esms_gn_risk_management.pdf

pollution, wastes, chemicals and GHG emissions and (vii) risk of project design failing to take climate change into account.
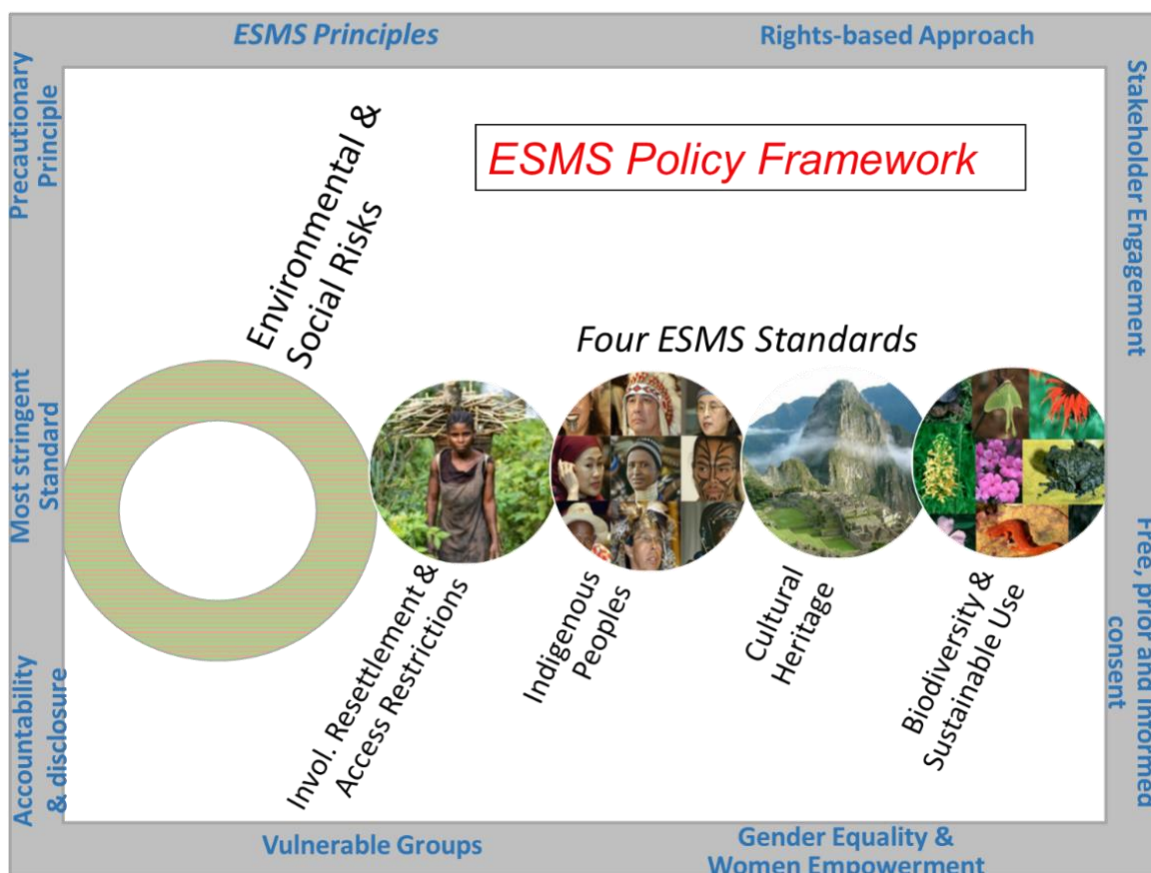

Figure 2-1: ESMS Policy Framework

The ESMS is aligned with globally recognized standards on environmental and social matters. With IUCN being an accredited agency to the Global Environment Facility (GEF) and to the Green Climate Fund (GCF), the ESMS has been rigorously examined by these two entities and found fully compliant with the requirements of the following:

1) The updated (December 2018) Minimum Standard 1: Environmental and Social Assessment, Management and Monitoring of the Global Environmental Facility (GEF); and
2) The Performance Standards of the International Finance Corporation (IFC) as relevant to the nature of projects implemented by IUCN which form the basis of the GCF safeguards policy.

For the purpose of this document, the following ESMS principles should be born in mind:

- **Principle on Stakeholder Engagement:** Engage stakeholders meaningfully in the process of identifying, reviewing, managing and monitoring potential impacts and risks. Stakeholder engagement is central to the assessment and management processes in that it promotes public participation in decision-making; helps identify the full range of a project's potential risks, impacts, and concerns; incorporates local knowledge and expertise in project design; and strengthens local support for project activities and maintaining project outcomes.
- **Principle on Accountability:** To guarantee that the ESMS policy is consistently followed, IUCN has created an organisational structure to operationalise the ESMS and mechanisms to assure

internal control and enforcement of compliance. Accountability is further reinforced by ensuring transparency and access to information and actively enabling feed-back from external parties. This includes requirements for disclosing relevant information on IUCN projects in a timely manner, in an accessible place, and in an appropriate form and language to help affected communities and other stakeholders to understand the opportunities, risks and potential impacts of supported activities. It further includes the requirement to put in place a dedicated mechanism to capture concerns or grievances related to an IUCN project's lack of compliance with the ESMS.

- **Precautionary principle**: The "precautionary principle" should be applied when designing management plans and protocols. In other words, the lack of full scientific certainty shall not be used as a reason for postponing measures to prevent serious threats of social harm or environmental degradation. Applying the principles further requires that rigorous assessment should be sought whenever social or environmental risks or uncertainties are encountered. If uncertainty about potential adverse impacts is high, the project should be either re-designed avoiding such risks or dismissed

- **Principle on Precedence of the Most Stringent Standards:** Project design and implementation should assure full compliance with the laws and regulation of the host country; however, when IUCN ESMS standards are more stringent, those standards should be adhered to.

- **Mitigation hierarchy:** A fundamental design element of the ESMS is the application of the "mitigation hierarchy" that favors avoidance of potential adverse impacts over minimization, and where adverse residual impacts remain, rehabilitation and, as a last resort, measures to offset impacts that cannot be avoided or mitigated.

- **Direct and indirect adverse impacts:** Consider all relevant direct and indirect social and environmental risks and impacts that may be caused by project activities not just in the immediate project area but also in the project's area of influence. Within indirect risks, induced impacts, cumulative impacts, and impacts of associated facilities/activities are considered. Induced impacts are defined as impacts on areas and communities from unplanned but predictable activities or developments induced/enabled by the project (incl. impacts that might occur later or in different locations) .Cumulative impacts are Project's incremental impacts added to impacts from past, current, predictable (reasonably foreseen) future developments. Impacts of associated facilities/activities are impacts caused by associated facilities/activities which are not funded by project, but the project's viability and existence depend on this.

3. PROCEDURES FOR ADDRESSING ENVIRONMENTAL AND SOCIAL RISKS OF SUB-PROJECTS

Due to the participatory nature of the project and the need of technical assessment processes for informing decisions about the project's on-the-ground interventions, these interventions and their locations will only be determined during the implementation phase of the project. In order to ensure that none of these interventions (in the following referred to as sub-projects) might give rise to unintended environmental and social risks, guidance is provided in this chapter on risk identification, risk management and monitoring.

The ESMS Screening that was carried out during the project development, provided a first and high-level analysis of potential risks. The analysis was based on elements that were already available at screening stage. Table 3-1 summarizes the result of this initial screening. Despite the overall positive expected outcomes of the project, the ESMS Screening concluded that project activities within certain outputs might give rise to potential unintended negative social and environmental impacts. The identified risks, however, are not expected to result in any significant adverse impact, many of them are considered of minor magnitude, all of them are limited in scale and duration and they are expected to be readily avoided, managed or mitigates with known and accepted measures.

To assess the significance of the individual risk issues, a rating of likelihood and magnitude of potential risk has been established (methodology for assessment of significance is presented in Table 3-2). Note however, that the significance rating is considered only preliminary as the screening was done based on generic activities without knowing further details of the sub-projects and their location.

The screening also provided high-level recommendations for risk identification as well as for risk management, also presented in Table 3-1. These measures serve as basis for developing the actual mitigation strategy in form of an Environmental and Social Management Plan (ESMP) for each risk issue once the sub-projects are known.

Table 3-1: Indicative risk and mitigation matrix (L: likelihood; M: magnitude; S: significance) – rating is explained in table 3-2 below.

	Preliminary ESMS Screening				**Indicative Mitigation strategy**	**Scope of measure**	**Resources**
	Potential Risks and specific considerations of project design to avoid / mitigate risks	L	M	S	Recommendations for risk identification and mitigation measures - to be specified during the project		
E&S Risk Areas							
B1[3]: Gender equality and risks	The project has been designed as gender-responsive intervention and will help tackling some of the more deeply rooted gender inequality issues, such as access and rights to environmental resources. In addition, a Gender Action Plan (GAP) has been formulated with specific gender responsive objectives.	n/a	n/a	n/a	Gather socio-economic gender data as part of SLMP development and associated PRAGA process for each site (Limpopo and Northern Cape) (A2.1) and as part of the Governance Assessment (NRGF) (A2.4). Conduct a site-specific gender analysis when developing the Participatory Rangeland Management Plan (PRMP) (A2.10). The objective of these processes is to update and refine the existing Gender Analysis and the GAP with site-specific data including the following: - Role of women in natural resource management and risks of marginalization - Identify risks from project activities on livelihoods and rights situation of women, incl. risks from losing access to economic rangelands resources through SLM, but also to cultural resources or natural features/sites with cultural, spiritual or symbolic significance. - Identify opportunities for engagement of women stakeholders in project activities and to ensure equal access to resources, benefits or services provided by the project - Define the site-specific targets for the GAP (Table 4.1 in GAP) - Identify risks faced through the TRANCA process (NC only) - Identify risks faced through restrictions introduced through COVID-19 response frameworks (i.e. ability for remote consultations) or risks to safety and security.	For entire project	Budgeted under A2.1; A2.4 and A2.10

[3] Note: numbers reflect numbering of the E&S Risk Areas and ESMS Standards established in the ESMS Questionnaire

Preliminary ESMS Screening				Indicative Mitigation strategy		
	Potential Risks and specific considerations of project design to avoid / mitigate risks	L	M	S	Recommendations for risk identification and mitigation measures - to be specified during the project	Scope of measure	Resources
					Ensure involvement of women stakeholders in reviewing the GAP Gender Action Plan and when agreeing on site-specific targets (mid-term and final). Where adverse project effects and risks to women (that are not addressed in the original GAP)are identified, these should be included, together with mitigation measures, responsible persons, resources and schedule in the updated GAP.		
Gender-based violence	The ESMS Screening identified the risk of gender-based violence. While this is considered mainly an external, contextual factor and not an ESMS risk triggered by actual project activities, it is nevertheless recommended, as way of precaution, to put in place measures to prevent such risks from occurring in the project context	2	3	low	Put in place procedures to identify risks and prevent incidents related to sexual exploitations, abuse or harassment caused by persons employed or engaged by the project. This should include procedures that describe how to act in case of incidents (e.g. report, investigate, remedy such actions). A link to the integrated Grievance Redress (GRM) is possible for capturing incidents occurred to project stakeholders; but in line with IUCN policy on Protection from Sexual Exploitation, Sexual Abuse, and Sexual Harassment the EA also needs to ensure reporting, protection and redress modalities for victims among project staff. Both procedures need to ensure safe reporting conditions including anonymity and confidentiality, and protection from retaliation.	For entire project	Budgeted under the PMU
B2: Risk of affecting vulnerable groups (VG) Risk of disproportional negative impacts on VG	Project design already includes some form of mitigation: • PRAGA methodology (A2.1 and A2.10) will identify VG in each site and classify linkages between identified groups and resources in question outlining rights, responsibilities, relationships and returns. • Development of a Fair-Use Land Tenure Checklist aiming to ensure land use and/or tenure arrangements are not influenced in a way to affect vulnerable groups disproportionately. Chapter 3.1.4 provides a list of generic VG (youth; children; elderly; disabled; households living in poverty; etc.) and a high-level analysis of communities in terms of potential vulnerabilities. The analysis identified general high-risk groups and assessed them against project activities/aspects. However actual risks can only be identified when details about VG in the sites and about restoration activities are	3	3	mod	a. Conduct a high–level vulnerability analysis as part of the SLMP development and the application of PRAGA for the 2 sites (Limpopo and Northern Cape) to identify vulnerable groups. Considerations during the assessment must include the following: - Identify potential risks as introduced by the project on livelihoods of vulnerable groups - Identify potential impacts of disproportionate access to resources, benefits or services provided by the project - Understand linkages between identified groups and resources in question outlining rights, responsibilities, relationships and returns. - Identify risks to sensitivities around indigenous groups (if any).	a. For the 2 sites	a. Budgeted under A2.1 and A2.4

Preliminary ESMS Screening				Indicative Mitigation strategy		
	Potential Risks and specific considerations of project design to avoid / mitigate risks	L	M	S	Recommendations for risk identification and mitigation measures - to be specified during the project	Scope of measure	Resources
	known. Once this is available, a dedicated assessment of potential impacts of the promoted land use changes on VG is needed.				b. Conduct a targeted vulnerability analysis for each PRMB or R/BSA to assess whether project activities would affect vulnerable groups or individuals in a disproportionate way (including by losing access to rangelands through implemented SLM). c. If impacts are identified, develop and implement measures for mitigating adverse impacts	b. For each PRMB sub-project c. For each PRMB sub-project	b. Budgeted under A2.10 c. Budgeted under A2.10
Risk of discrimination (in terms of participation in project implement. or access services /benefits)	Some services/benefits under outcome 3 are directed at actors who are economically stronger and entrepreneurial and dispose means for investing in SLM or value chains (e.g. output 3.1.1 and 3.1.4). However, the project tries to overcome potential risks of social discrimination by supporting investments through the small grant program and by explicitly strengthening market access for local land users. It is also acknowledged that for achieving effective transition to SLM champions are needed to demonstrate potential of SLM investments.	3	2	low	a. PRAGA to produce a comprehensive list of stakeholders and identify opportunities for vulnerable groups when developing the SLMP b. Ensure that the eligibility criteria of the SGP and market access mechanism does not exclude VG (also see B3)	a. For the 2 sites b. For the SGP sub-project	a. Budgeted under A2.1 and A2.4 b. Budgeted under A3.4 and A3.5
B3: Human Rights Risk of negatively influencing land use/ tenure - risk of adversely affecting peoples' rights or livelihoods	The project will influence land tenure arrangements and therefore may affect current land use and tenure including customary systems. Overall this is assumed to be beneficial for land users as it is expected to improve tenure security and lead to improved governance. However, the process might require trade-offs between conservation objectives and (short-term) interests of land users and benefits might vary between different user groups. Also, it needs to be recognized that the project's level of influence might be limited, hence changes might trigger undesired side-effects	3	3	mod	In addition to improving governance (which is part of project design) mitigation focuses on avoiding impacts of changes in land use/tenure on vulnerable groups – which is covered in B2 above	n/a	n/a
Risk of preferential treatment	There is a risk of unjustified preferential treatment and elite capture with regards to the allocation of project benefits, e.g. decisions about grant approval (SGP) or microfinancing support administered through the project. The risk It is partly mitigated through the approach of developing Rangeland/ Biodiversity Stewardship Agreement (R/BSA), which provide a clear link between benefit realization and conservation objectives.	3	2	low	Develop and implement a **Benefit Eligibility Checklist** that conforms with national and institutional best use management approaches to ensure, together with the R/BSA approach, fair and transparent allocations of benefits or compensations. It should include a list of clear criteria that enshrine the principles of inclusivity and equality as well as environmental considerations such as: - Promote local business development projects which improve resilience to climate change	For PRMP, value chain, SGP and business case submission sub-projects	Budgeted under A2.13 A3.3, A3.5 and A3.8

Preliminary ESMS Screening					Indicative Mitigation strategy		
	Potential Risks and specific considerations of project design to avoid / mitigate risks	L	M	S	Recommendations for risk identification and mitigation measures - to be specified during the project	Scope of measure	Resources
					- Promote supply chains using circular economy approaches - Promoting energy efficiency improvements and low to zero carbon technologies. Ensure adherence to these criteria by making the decisions about grant selection public.		
B4: Community health and safety Risk of exacerbating existing conflicts	Due to population density (in Limpopo) and increasing water stress (both sites), there seems a risk that project activities inadvertently lead to exacerbating such conflicts. It is envisioned that these conflicts may be mitigated or managed by improving governance of resources and land management. But because impacts of escalation might be significant, prevention and close monitoring is needed.	2	3	low	Ensure good communication, transparency of decision making and resource allocation and regular engagement with communities (including with different sectors within the communities). Wide communication about the existence of the GRM to ensure access for all relevant groups.	For all sub-projects	Budgeted for under each sub-project activity
Health risks for communities	The project will conduct a needs assessment for infrastructure required by the community to effectively implement SLM and this is likely to include water related infrastructure, e.g. boreholes to access groundwater for livestock, as well as reservoirs or troughs. Improper management of water resources could lead health risks. Risks could also emanate from water infrastructure developed related to the project's value chains activities. Overall, the risk is considered unlikely to have health impacts as water management is focused on agro-pastoral systems.	2	2	low	The screening to check for health risks for communities; where risks are identified, develop health and safety protocols and ensure adherence for all infrastructure works.	For PRMP, value chain and SGP sub-projects	Budgeted for under A2.10, A3.3, A3.5 and A3.8
B5: Labor/ working conditions Risks of failure to comply with national labor laws and	Risks of failure to comply with labor laws related to project workers. Project workers include (i) people employed or engaged directly by the project executing entity to work specifically in relation to the project, (ii) people employed or engaged through third parties to perform work related to core functions of the project, (iii) individuals engaged by the project in public or community work programs or as volunteers. Also, direct and indirect work relationships established by the project need to be considered as well as	2	2	low	Develop and implement an **Employment Management Checklist** that is in line with the Basic Conditions of Employment Act, No 11 of 2002as well as with the requirements set out in the ESMS Guidance Note on Assessment, Management and Monitoring of E&S Risks[4]. The Checklist will ensure due diligence and clauses on labour conditions are included in contracts and implementation agreements; including in the contracts with the component implementer for individual Rangeland or Biodiversity Stewardship Agreements (R/BSA).	Entire project	Covered in ESMF budget

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[4] Available at: https://www.iucn.org/sites/dev/files/iucn_esms_gn_risk_management.pdf

Preliminary ESMS Screening				Indicative Mitigation strategy		
	Potential Risks and specific considerations of project design to avoid / mitigate risks	L	M	S	Recommendations for risk identification and mitigation measures - to be specified during the project	Scope of measure	Resources
international commitments	work relationships of project stakeholders, including farmers and other enterprises that receive benefits or services from the project. Overall considered unlikely to occur as legislative mechanisms are operational.				Provide for high-level check for labor conditions on farms and enterprises that receive benefits or services from the project (including risk of child labor).		
Exposure to occupational health and safety (OHS) risks	OHS risks including specific hazards in the work areas could occur in value chain activities (e.g. mobile abattoirs) as well as in restoration activities (including where implemented by volunteers or through public or community work program). However, overall considered unlikely to occur due to small scale of activities and as legislative mechanisms are operational.	2	2	low	Where the screening has identified significant OHS risks, a targeted assessment is needed. This is done based on a simple **Occupational, Health and Safety Management Checklist** that is in line with the Occupational Health and Safety Act, No 85 of 1993 and the Occupational Injuries and Diseases Act, No 61 of 1997. This will ensure the management of risks of exposure to occupational health and safety (OHS) risks including specific hazards in the work areas. The Checklist will also be included in contracts and implementation agreements, including with component implementers for R/BSAs and with grantees from the SGP. If the are carried out by the communities, appropriate training on OHS needs to be ensured.	For PRMP, value chain and SGP sub-projects	Budgeted for under A2.10, A3.3 and A3.5
COVID 19 risks	see separate project risk assessment						
B6: Pollution, wastes, chemicals	Through the development of PRMP and SLMP best practices in waste management related to land use are promoted. Risks however may arise through the development of SLM related value chains such as dairies or abattoirs (e.g. using cleaning agents or other hazardous materials that might be released in routine or non-routine circumstances or due to inappropriate disposal of waste). Without knowing the actual value chains the risks cannot be fully judged.	3	3	mod	Where the screening identifies risks, carry out targeted risk assessment. This might recommend the development and implementation of a **Waste Management Protocol and Checklist** that conforms with the National Environmental Management: Waste Act, 2008 (Act No 59 of 2008). Waste risks associated with enterprises supported by the project will be mitigated through ensuring eligibility of activities as per standards for waste management. The eligibility of an enterprise will be assessed against a waste management protocol and checklist which is in line with best use waste management methodologies. The process will act as a screening tool to prioritize enterprises who have the least adverse risk. The Protocol must ensure specific considerations are made to minimize waste that threaten GEBs by contributing to POPs and GHG emissions. Ensure that no activities are implemented or funded that would involve use of any substances listed under the Stockholm Convention on Persistent Organic Pollutants, or other chemicals or hazardous materials subject to international bans, restrictions or	For value chain sub-projects	Budgeted for under A3.3

	Preliminary ESMS Screening				Indicative Mitigation strategy		
	Potential Risks and specific considerations of project design to avoid / mitigate risks	L	M	S	Recommendations for risk identification and mitigation measures - to be specified during the project	Scope of measure	Resources
					phase-outs due to high toxicity to living organisms, environmental persistence, potential for bioaccumulation, or potential depletion of the ozone layer, consistent with relevant international treaties and agreements.		
ESMS Standards							
C1: Involunt. Resettlement and Access Restrictions	The land use planning processes might result in the decision to put in place access or use restrictions. However, such decisions are considered voluntary as they will be taken by the landowners/ users themselves. The Standard is therefore not triggered. However, the project should ensure the voluntary nature of such decisions. It should further be ensured that such decision do not affect other users, in particular vulnerable groups. While not triggering the standard, such impacts will require mitigations but this is covered in section B2 above (risks for vulnerable groups).	n/a	n/a	n/a	The standard is not triggered. However, it should be ensured that decision about land use and restrictions are entirely voluntary.	n/a	n/a
C2: Indigenous Peoples	See chapter 4 below						
C3: Cultural Heritage	The project implementation of PRMP's or development of value chains may physically impact on cultural heritage. Although the non-intrusive nature of envisioned development and implementation activities will likely not impact on cultural resources, the risk remains pending final definition of site-specific activities.	2	2	low	Sub-projects should be screened on potential impacts on tangible or intangible cultural heritage; this should include the following considerations: - Clarify whether the sub-project might involve physical works or excavation or movement of earth that might damage resources, including hidden / buried resources; - Identify potential risks to intangible resources such as values, norms or practices of local communities; - Check whether the project area includes any sites with natural features or resources that are of cultural or spiritual significance that may be affected by project activities; - Identify risks of project-imposed restrictions on local users' access to cultural resources or natural features/sites with cultural, spiritual or symbolic significance. Sub-projects that include physical works will ensure that Chance Find procedures are provided in any contracts for civil works, as	For each sub-project	Budgeted for under A2.10., A2.13, A3.3, A3.5 and A3.8

Preliminary ESMS Screening				Indicative Mitigation strategy		
	Potential Risks and specific considerations of project design to avoid / mitigate risks	L	M	S	Recommendations for risk identification and mitigation measures - to be specified during the project	Scope of measure	Resources
					per the responsibility of this executing entity. Chance find procedure will include[5]: - Clear indication of roles of parties involved; - Procurement of services of qualified expert(s) or entity to assess the find and its conservation requirement; - Temporary work suspension, and site protection during this time, in order to conduct the assessment; - Inclusion of local, national and international level stakeholder consultations ; - A culturally appropriate and publically available release of the assessment results; - Implementation of the protection or mitigation measures.		
C4: Biodiv./ Sustainable Use natural Resources Risks for water resources	The project will conduct a needs assessment for infrastructure required for SLM and this is likely to include water related infrastructure, e.g. boreholes, reservoirs or troughs. It must be noted that no large dams or large reservoirs will be developed, and development will likely be restricted to groundwater resources. Water use is highly likely to increase in water scarce landscapes.	3	3	m od	Check compliance with National Water Act and whether EIA is needed according to South African legislation. Where the Screening has identified risks (e.g. increased use of water resources that might negatively affect water dynamics or water flows through extraction, diversion or containment of surface or ground water; or altering existing stream flow and/or reduces seasonal availability of water resources) analyze risk through a targeted risk assessment (even if EIA is not mandatory). Develop and implement a **Best Use Water Resources Management Protocol and Checklist** that conforms with the National Water Act, No 36 of 1998. At a project level, communal water users should be sensitized as to sustainable and efficient water use and management through the development of the Best Use Water Resources Management Protocol and Checklist. The Checklist should be used to ensure all water users, as driven through project activities, comply to minimum requirements. The Protocol must ensure specific consideration is made to avoiding and minimizing freshwater pollution as a result of COVID19 due to rise in use of disposables.	For PRMB sub-projects	Budgeted under A2.10

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[5] Detailed guidance see Annex of ESMS Standard on Cultural Heritage, available at www.iucn.org/esms

	Preliminary ESMS Screening				Indicative Mitigation strategy		
	Potential Risks and specific considerations of project design to avoid / mitigate risks	L	M	S	Recommendations for risk identification and mitigation measures - to be specified during the project	Scope of measure	Resources
Risks from invasive species	The project will not promote the propagation or spread of non-native species with invasive characteristics. The region in Northern Cape, however, represents a region of extensive non-native plant species (Prosopis spp) used by local land users as an alternative fodder for livestock during the dry season. Hence, there might be pressure from stakeholders (including land owners) that would to like to see the use of these species as an adaptive measure in the dry season promoted.	3	4	mod	As the detailed activities and sites are not known, the probability of this risk cannot be decided conclusively. The IUCN Biodiversity Standard and the GEF requirements for Minimum Standard 3 do not allow the introduction or use of potentially invasive, non-indigenous species. Hence, the screening needs to diligently review sub-projects on this matter and ensure that no sub-project will be approved that might involve the introduction or use of potentially invasive, non-indigenous species (including Prosopis spp). It needs further be ensured that activities of the sub-projects conform with Conservation of Agricultural Resources Act, 1983 (Act No 43 of 1983) (CARA) and the National Environmental Management: Biodiversity Act (Act No 10 of 2004) (NEM:BA), including the regulation guiding management, monitoring, control and eradication of invasive species (National Environmental Management: Biodiversity Act (10/2004): Alien and Invasive Species Regulations, 2014).	For PRMB sub-projects	Budgeted under A2.10
Risk of adverse impacts from pesticides use	The project may promote the use of livestock related pesticides for control of parasites. This will only be determined in project implementation. Two specific pest management techniques are envisioned: (i) physical methods (alien plant removal) and (ii) application of small amounts of synthetic biocides or natural biocides (livestock related parasite and pest management). If only these 2 techniques are promoted, no further action is required. However, as the activities will only be determined during the project, it cannot be excluded that other technique might be chosen and invasive species management in South Africa often involves the use of herbicides.	3	3	Mod	All sub-projects must be screened to identify whether proposed activities involve the use of herbicides or other biocides. The screening must be guided by the IUCN ESMS Guidance Note on Pest Management Planning[6] to determine whether mitigation measures need to be developed and/or the development of a pest management plan will be needed for any of the sub-projects. Mitigation measures are WfW herbicide applicators are trained on how to apply herbicide and are certified. A selective herbicide will be used and this kills only the applied stem.	For PRMB and SGP sub-projects	Budgeted under A2.10 and A3.5

Table 3-2: Rating of significance of impacts based on likelihood and magnitude of impact of planned activities

	Likelihood of occurrence

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[6] Available at: https://www.iucn.org/sites/dev/files/iucn_esms_pest_management_guidance_note.pdf

		Very unlikely to occur (1)	*Unlikely to occur (2)*	*Likely – could occur (3)*	*Known to occur - almost certain (4)*	*Common occurrence (5)*
Magnitude of Impact	*Severe (5)*	Moderate	Moderate	High	High	High
	Major (4)	Low	Moderate	Moderate	Moderate	High
	Medium (3)	Low	Low	Moderate	Moderate	Moderate
	Minor (2)	Low	Low	Low	Moderate	Moderate
	Negligible (1)	Low	Low	Low	Low	Low

a. ESMS Screening

The purpose of the screening is to understand whether a sub-project might give rise to negative social and environmental impacts and, if risks have been identified, to determine the need for conducting further assessments for better understanding of the risks. The risk screening will be done for each sub-project once the sites have been defined as well as the main details of the intervention. The following are considered individual sub-projects:

- Restoration activities to be implemented under Output 2.1.6 are established under specific PRMP's and as such, each PRMP is considered one sub-project.
- The ensemble of SLM-related value chains activities supported by the project in each site (province) are considered one sub-project.
  - This would require a level of discretion by the executing partners and PMU as whether to split the ensemble into two or more sub-projects.
- Each grant allocated under the SGP will be considered as an individual sub-project.
- Each investment proposal submitted to development banks will be considered an individual sub-project.

Table 3-1 indicates which of the identified impact issues will be covered in the screening (see column "Scope of measure". Note that some measures (e.g. gender analysis) are conceived as measures to cover the entire project and may not need to be included in the screening of the individual sub-projects. This means that the respective measure will be implemented irrespective of the results of the sub-project screening.

Given the low risk level of the project it is not commensurate to complete the generic ESMS Screening Questionnaire for each sub-project. A simplified template for screening has been developed which is attached in Annex 2. The ESMS Guidance Note on Assessment, Management and Monitoring of Environmental and Social Risks should be used as general guidance on risk areas.[7]

The screening will be undertaken by a safeguard consultant hired by the PMU, supported by the IUCN regional ESMS officer.

b. Impact assessment and mitigation measures

If environmental or social risks have been identified by the Screening, appropriate measures for mitigating the risks should be identified. Table 3-1 provides recommendations for mitigating measures based on the preliminary screening. These recommendations form the basis for the sub-project related mitigation measures. For each sub-project a separate ESMP will be established to document the relevant mitigation measures using the template attached as Annex 3. The ESMS Guidance Note on Assessment, Management and Monitoring of E&S Risks should be consulted as it provides further guidance on the management requirements for the specific risk areas – in order to ensure compliance with the GEF Minimum Standard 1: Environmental and Social Assessment, Management and Monitoring of the Global Environmental Facility (GEF) .

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[7] Available at www.iucn.org/esms

4. SPECIFIC CONSIDERATION RELATED TO ESMS STANDARD ON INDIGENOUS PEOPLES

The International Work Group for Indigenous Affairs (IWGIA), the Development Bank South Africa (DBSA) and the African Development Bank (AfDB) and the African Commission's Working Group of Experts on Indigenous Populations/Communities recognize the San and more precisely the Khoi (Khoekhoe or Khoisan) ethnic groups in South Africa as Indigenous Peoples. The Khoisan are decedents of the San found in South Africa of which there are various traditional authorities and tribal councils (i.e. Khomani san, Kouga Khoisan etc.).

The South African Government is not a ratified signatory of the ILO convention 169 (Indigenous and Tribal peoples convention) and therefore do not classify specific ethnic groups as "indigenous peoples" (as per ILO). The government does however recognise indigenous people in the Constitution.

The Limpopo project site does not account for the presence of Khomani San. The ethnic groups present in the Fetakgomo-Thubatse and Makhuduthamaga Local Municipality predominantly are the Northern Sotho/Pedi people. The Sotho communities are currently residing under their Traditional Authorities (of which there are many >40). The standard is therefore not triggered.

In the Dawid Kruiper Local Municipality in the Northern Cape Province and in Rietfontein more specifically the situation is different and more complex. The Khomani San which are considered the most established San tribes in South Africa (in terms of formal structures and representation), are situated within the Northern Cape province about 70Km west from the implementation site. The community is approx. 1500 people large. The geographical site where the project intervention will be focussed on, is Rietfontain. The project will support the development and implementation of SLM strategies and facilitate the establishment of PRMP and R/BSA. This site is populated by the Mier people. The Mier are not decedents of the San and are not considered as indigenous peoples. The Mier communities are managed through the local municipality and have no Tribal Authority.

It is recognized that the project includes interventions that aim at improving SLM-based landscape planning at the regional scale including through the development of regional Sustainable Land Management Plan (SLMP). These SLMP are anchored at the Municipality level and as such would geographically cover areas where the Khomani San tribes are present. However, it is important to note that the SLMP's will only be relevant for land that is under commonage (public land). The land of the Khomani San tribes, however, is registered as a Community Property Association (CPA) and therefore is considered private land. The CPA acts as a collective trust that manages the land on behalf and for the benefit of the Khomani San community by the Khomani San Traditional Authority. It is as private as it was transferred from the state to the CPA through the land restitution process in 1999 and the CPA in owns the land.

It was therefore decided that the Standard is not triggered. Instead the project will focus on vulnerability issues as described in section B2 in Table 3-1. Additional risks related to cultural rights are included in section C3 on Cultural Heritage (Table 3-1).

The decision to not trigger the Standard, however, should be reassessed at a later date and monitored throughout the project implementation in case a situation of indigenous people's self-identification becomes evident.

5. MONITORING AND SUPERVISION

The identified mitigation measures are specified in an ESMP developed for each individual sub-project. The executing entity will implement these mitigation measures and monitor progress of implementing the mitigation measures. An ESMP monitoring template is attached as Annex 3. This is to be completed by the executing entity annually. The executing entities will compile the ESMPs of the individual sub-projects into one progress reports that will be reviewed as part of the annual supervision mission. Aside from reviewing implementation progress this step will also involve checking the effectiveness of measures in mitigating risks and screening for additional risks that may have emerged since the sub-project start and whether it is responded with adaptive management. Depending on the risk issues and their significance, the supervision mission might also include consultation with stakeholders and affected groups to gather feed-back on the effectiveness of measures.

Based on the executing entity's ESMP progress reports and the findings of the supervision mission, the Project Manager will prepare the submission of the Project implementation Report (PIR) on the environmental and social performance of the project to GEF.

6. PROVISIONS FOR STAKEHOLDER CONSULTATION, DISCLOSURE AND GRIEVANCE MECHANISM

6.1. Stakeholder Engagement and Disclosure

Provisions for Stakeholder Engagement and disclosure are described in the project's Stakeholder Engagement Plan (Project Document, chapter 6). Additional disclosure requirements might be needed and will be decided for each sub-project by the Screening in accordance with the IUCN ESMS disclosure policy and with the requirements of the GEF Information Disclosure Policy. Detailed guidance on stakeholder engagement is provided in the IUCN Guidance Note on Stakeholder Engagement.[8] Aside from establishing the IUCN ESMS disclosure policy and guiding principles for stakeholder engagement, the Guidance Note also determines the mandatory procedures for stakeholder engagement along the project cycle.

6.2. Grievance Mechanism

IUCN has an institution-wide ESMS grievance and redress mechanism in place to address stakeholders' complaints related to issues where IUCN projects have failed to respect ESMS principles, standards, and procedures. The aim of the grievance mechanism is to provide people or communities fearing or suffering adverse impacts from a project with the assurance that they will be heard and assisted in a timely manner. The IUCN Grievance Mechanism Guidance Note[9] describes the system's overall principles, roles and responsibilities, the overall processes for lodging grievances, and provides guidance for recording or logging grievances, resolving and escalation, and monitoring any agreed

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[8] Available at www.iucn.org/esms
[9] Available at www.iucn.org/esms

corrective actions. It also establishes which requests are **not eligible**, including complaints with respect to actions or omissions that are the responsibility of parties other than IUCN and the relevant executing entity; complaints that relate to the laws, policies, and regulations of the country, unless this directly relates to the entity's obligation to comply with IUCN's ESMS principles, standards and procedures; and complaints that relate to IUCN's non-project-related housekeeping matters, such as finance, human resources and administration because they fall under different mechanisms.

a. Three-stage process for resolving a grievance

To be practical and cost-effective, resolution of complaints should be sought at the lowest possible level. The IUCN grievance mechanism is conceptualized as a three-stage escalating process as shown in Figure 6-1. It starts with the executing entity and the affected party reviewing the conflict and deciding together on a way forward that advances their mutual interests (stage 1). 'Deciding together' approaches are often the most accessible, immediate and cost-effective ways to resolve differences.

Executing entity and affected party resolving grievance together	→	IUCN South Africa country office to resolve grievance	→	Project Complaints Management System (PCMS)
Stage 1		Stage 2		Stage 3

Figure 6-1: Three-stage process for resolving a grievance

While recognizing that many complaints may be resolved immediately between the executing entity (through its PMU or the respective executing partner) and complainant, the concern can be escalated to a next higher level (stage 2) if no solution to the complaint is found by contacting the IUCN South Africa Country Office.

If these two stages have not been successful, the complaint can be forward to the centralized IUCN Project Complaints Management System (PCMS) – stage 3. Complainants should explain that good-faith efforts have been made to first address the problem directly with the respective executing entity and then with the PMU office. If the concern is sensitive, the complainant fears retaliation or any other justified reason, the first two stages can be skipped and the complaint can be escalated by the complainant directly to the PCMS.

Complaints can be received either orally (to the field staff), by phone or in writing placed in complaints box provided at the project sites or submitted by mail to the PMU or IUCN. The receiving party - executing entity (stage 1), the IUCN Country Office (stage 2) or IUCN PCMS (stage 3) – are required to maintain a register of complaints received. The register also documents the response actions and status (solved/not solved). The executing entities are mandated to submit a copy of the complaint register to the IUCN Country Office every six months and provide an annual report in preparation for the annual supervision mission.

All complainants shall be treated respectfully, politely and with sensitivity. Every possible effort should be made by the executing entity to resolve the issues referred to in the complaint within their purview. However, there may be certain problems that are more complex and cannot be solved at the local level. Such grievances will be escalated within ten working days to stage 2 (IUCN Country Office).

Where also the Country Office does not succeed in solving the issue, it will need to be submitted (within 20 working days) to the PCMS where a dedicated complaint review and response mechanism will be triggered. The mechanism including timeline for responses and responsibilities is described in the IUCN Grievance Mechanism Guidance Note.

All complaints received through the PCMS trigger a formal review and response process following the action steps outlined in the IUCN Grievance Mechanism Guidance Note quoted above. In cases where the situation is complex or contentious or the relationship between the executing agency and the complainant is conflictual, an investigator will carry out a formal compliance review (including site-visit) to allow for an in-depth investigation of the issues of non-compliance and their root causes and develop a plan for corrective actions.

b. Project-level configuration of the mechanism

In order to increase the effectiveness of the grievance mechanism in receiving, addressing and resolving grievances and to ensure it is appropriate for the socio-cultural setting in the project sites, a number of adaptions will be made during the inception phase. These include:

1. **Publication** – The PMU will publish information about the project, detailed guidance about the functioning of the grievance mechanism and ways to submit complaints. These documents, together with a complaint template (see IUCN website[10]), will be translated into the local dialects in the project site and made available in different forms targeting different concerned parties and widely disseminated through different social media, print, radio, local signage and IUCN and executing entities' websites. Grievance boxes will be installed at all project sites.
2. **Receipt of Grievance** – The procedures for submitting grievances will be adapted to take the special conditions of specific groups, notably groups identified as vulnerable or affected by the project, into account in order to remove potential barriers of access.
3. **Orientation to the Local Communities** – Targeted outreach events will be organised at local level, with an aim to orient local communities about the existence of the grievance mechanism, eligibility criteria and options for submission of grievances. Explanation about protection against retaliation.
4. **Appeal provision** – The published information about the mechanism will include an explanation about the form the complainant can appeal against the grievance resolution process if not satisfied with solution provided.
5. **Conflict resolution** – Where relevant local conflict resolution mechanism will be involved for solving grievances (e.g. using a locally recognized mediator, using traditional conflict solving mechanisms).

The effectiveness of the Grievance mechanism will be monitored through the following indicators:

- Number of outreach events organized;
- The total number of complaints received;
- The total number and percentage of complaints that have been addressed.

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[10] Available at https://www.iucn.org/sites/dev/files/iucn_esms_complaint_form_template.docx

7. IMPLEMENTATION ARRANGEMENTS AND BUDGET

The Project Manager is responsible for implementing the EMSF. The overall supervision of ESMF implementation is with IUCN's Regional ESMS Officer in accordance with IUCN's role as implementing and supervising agency. The procedures for identifying, assessing and managing risks of sub-projects have been described in chapter 4. Roles and responsibilities are summarized in the below table 7-1.

Table 7-1: Roles and responsibilities for risk procedure applied to sub projects

ESMS steps	Responsible entity	Involved entity	Guidance[11] or Template
Safeguards training for projects staff and stakeholders (including fine-tuning of safeguard tools)	International Safeguard Consultant	National safeguard consultant, IUCN Regional ESMS Officer	
Continuous Stakeholder Engagement as specified in the Stakeholder Engagement Plan	Project Manager	Technical Administration Officer (TAO)	IUCN Guidance Note on Stakeholder Engagement
Establish project-level grievance mechanism	National safeguard consultant	Project Manager, TAO	
Complete ESMS Questionnaire for sub-projects	Project Manager	Technical Administration Officer	Template Annex 2
ESMS Screening for sub-projects and report	National safeguard consultant	IUCN Regional ESMS Officer	Template Annex 2
Targeted risk assessment of sub-projects (as required by screening) including development of ESMP	National safeguard consultant		GN Guidance Note E&S Risk Assessment and Management
Development ESMP for sub-projects that do not require risk assessment	Project Manager	Technical Administration Officer, IUCN Regional ESMS Officer	GN ESMP and Template Annex 2
ESMP implementation & monitoring	Project Manager	Technical Administration Officer	Template Annex 3
Supervision ESMP implementation	Regional ESMS Officer IUCN, IUCN global ESMS Coordinator	National safeguard consultant	
Effectiveness ESMP (part of project evaluation)	Safeguard consultant	IUCN Regional ESMS Officer	

The budget for implementing the ESMF is described in table 7-2 below.

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[11] All Guidance Notes and Templates are available at www.iucn.org/esms

Table 7-2: Indicative budget for ESMF

ESMS steps	USD	Description (only items in bold are reflected in the column on the right, other items are included in project budget)
Safeguards training for projects staff and stakeholders (including fine-tuning of safeguard tools)	30,400	**Staff time and travel/DSA Consultants** (staff time and travel/DSA for IUCN Regional ESMS Officer covered by agency fee); **meeting costs**
Translation of documents		**Fees translator** (USD 5 000 included in component budgets)
Stakeholder engagement in accordance with Stakeholder Engagement Plan (5 years)	45,000	**Meeting costs** (facilities, PPE, catering, facilitation, financial support for participants, where needed), **reports/ publications;** staff time and travel/DSA project manager and TAO considered in project budget as part of their PM role
Establishment of project-level Grievance mechanism	30,000	**Publications, outreach events, staff time and travel/DSA consultant;** staff time project manager and TAO considered in project budget,
Complete ESMS Questionnaire		Staff time project manager/TAO covered in project budget
ESMS Screening of sub-projects and report	20,000	**staff time and travel/DSA Consultant;** staff time Regional ESMS Officer covered by agency fee
Targeted risk assessment of sub-projects (as required by screening) including development of ESMP	17,000	**staff time and travel/DSA Consultant**
Development ESMP for sub-projects that do not require risk assessment		Staff time and travel/DSA project manager/TAO in project budget; IUCN Regional ESMS Officer covered by agency fee
ESMP implementation & monitoring		Staff time project manager/TAO covered in project budget, cost mitigation measures covered by project budget /activity line item
Annual Supervision ESMP implementation	15,000	**Costs stakeholder meetings, staff time and travel/DSA Consultant;** staff time and travel/DSA regional ESMS officer and global ESMS coordinator covered by agency fee
Effectiveness ESMP (part of project evaluation)	10,000	**Staff time and travel/DSA Consultant**
Total	167,400	

8. APPENDICES

Appendix 1: Completed ESMS Questionnaire for the Project

Appendix 2: ESMS Screening Form (to be completed for each sub-project)

Appendix 3: Template 2 - ESMP

Appendix 4: Template 3 - ESMP Monitoring

8.1.   Appendix 1: Completed ESMS Questionnaire

To be inserted

6.2 Appendix 2: ESMS Screening Form (to be completed for each sub-project)

ESMS Screening					
	Identified risks	**L[i]**	**M**	**S**	**Proposed Mitigation Measures**
E&S Risk Areas					
B1: Gender equality & risks					
Gender equality					
Gender-based violence					
B2: Risk of affecting vulnerable groups (VG)					
Risk of disproportional negative impacts on VG					
Risk of discrimination (in terms of participation in project implement. or access services /benefits)					
B3: Human Rights					
Risk of negatively influencing land use/ tenure - risk of adversely affecting peoples' rights or livelihoods					
Risk of preferential treatment					
B4: Community health and safety					
Risk of exacerbating existing conflicts					
Health risks for communities					

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[i] L: likelihood; M: magnitude; S: significance – rating is explained in table below.

ESMS Screening					
	Identified risks	**L[i]**	**M**	**S**	**Proposed Mitigation Measures**
B5: Labor/working conditions					
Risks of failure to comply with national labor laws and international commitments					
Exposure to occupational health and safety (OHS) risks					
B6: Pollution, wastes, chemicals					
ESMS Standards					
C1: Involuntary Resettlement and Access Restrictions					
C2: Indigenous Peoples					
C3: Cultural Heritage					
C4: Biodiv./ Sustainable Use natural Resources					
Risks for water resources					
Risks from invasive species					
Risk of adverse impacts from pesticides use					

Rating of significance of impacts based on likelihood and impact of planned activities

	Likelihood of occurrence

		Very unlikely to occur (1)	Unlikely to occur (2)	Likely – could occur (3)	Known to occur - almost certain (4)	Common occurrence (5)
Impact	Severe (5)	Moderate	Moderate	High	High	High
	Major (4)	Low	Moderate	Moderate	Moderate	High
	Medium (3)	Low	Low	Moderate	Moderate	Moderate
	Minor (2)	Low	Low	Low	Moderate	Moderate
	Negligible (1)	Low	Low	Low	Low	Low

6.3 Appendix 3: ESMP Form (to be developed for each sub-project)

Environmental and Social Management Plan (ESMP)				
Category	**Activities to comply with ESMS policy and provisions**	**Resources**	**Responsibility**	**Schedule**
Disclosure Requirements				
Stakeholder Engagement				
Grievance Mechanism				
Risks	**Mitigation measures[ii]**	**Resources**	**Responsibility**	**Schedule**
E&S Risk Areas				
B1: Gender equality & risks				
B2: Risk of affecting vulnerable groups (VG)				
B3: Human Rights				
B4: Community health and safety				

[ii] Where mitigation measures have already been conceptualized as project activities, only the codes of the activities need to be entered (e.g. "-> see Activity 1.2.3"); other columns are not applicable to avoid repetition.

B5: Labor/working conditions				
B6: Pollution, wastes, chemicals				
ESMS Standards				
C1: Involuntary Resettlement and Access Restrictions				
C2: Indigenous Peoples				
C3: Cultural Heritage				
C4: Biodiv./ Sustainable Use natural Resources				

6.4 Appendix 4: ESMP Monitoring (to be completed for each sub-project)

Template 2: ESMP Monitoring				
Period covered by the report:				
ESMS Standards	**Describe the progress of implementing the required tools** (Indigenous Peoples Plan, Process Framework etc.):			
Social & Environmental Impacts[iii]	**Mitigation measures**	**Color coding**	**Describe status of completion,** suggest solutions where problems are encountered	**Early judgement: Does this measure seem effective?**
New ESMS risks that have emerged				
Other ESMS provisions	**Describe status of completion and evidence**			**Outstanding action and timing**
Disclosure				
Grievance Mechanism				
Gender Mainstreaming				

[iii] Column A and B are copied from the ESMP.

Stakeholder Engagement		
TO BE COMPLETED BY IMPLEMENTING AGENCY (IUCN)		**Date/Name of reviewer:**
ESMP monitoring - main findings:		**Status ESMP** ☐ **on schedule** ☐ **slightly delayed** ☐ **major delays/issues**

Note: The progress of implementing mitigation measures should be color-coded in column C:
Green = On Schedule/ Ahead of Schedule/ Completed, Orange = Slightly Delayed, Red = Delayed

ON SCHEDULE / AHEAD OF SCHEDULE/ COMPLETED	SLIGHTLY DELAYED	MAYOR DELAYS/ ISSUES