



# Enhanced climate resilience in the Trois-Rivières region of Haiti through integrated flood management

## Environmental and Social Management Framework

7 June 2023

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### 1 EXECUTIVE SUMMARY

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This Environmental and Social Management Plan (ESMF) has been prepared in support of a project proposal on “Enhanced climate resilience in the Trois-Rivières region of Haiti through Integrated Flood Management” by the Government of Haiti (GoH) to the Green Climate Fund (GCF). As the United Nations Development Programme (UNDP), in its role as a GCF Accredited Entity, supports this project, it has been screened against the UNDP’s Social and Environmental Screening Procedure (SESP).

The ESMF was prepared based on the social and environment screening procedure (UNDP’s SESP) that was completed as part of the project design phase. Information included within the SESP procedure and ESMF included community consultation, on site visits and desk review of relevant policy frameworks and national conditions. Information included within the ESMF and SESP considers the project’s Feasibility Study (Annex 2 of the Funding Proposal) to inform on the implementation of project activities. The project’s SESP has categorized the project’s overall risk as substantial according to UNDP SES policy which is equivalent to GCF’s moderate risk rating. The Project will avoid any high risk activities and has an exclusionary criterion in place as well (Section 6.1.8).

The ESMF outlines the processes that will be undertaken during the project implementation phase for the additional assessment of impacts and development of appropriate risk management measures, consistent with UNDP’s Social and Environmental Standards (SES). It contains measures and plans to avoid, and where avoidance is not possible, to reduce, mitigate and/or offset adverse risks and impacts. The ESMF specifies the most likely applicable social and environmental policies and requirements and how those requirements will be met through procedures for the screening, assessment, approval, mitigation, monitoring and reporting of social and environmental risks and impacts associated with the project activities.

The Project’s design has avoided all high-risk environmental and social impacts, and favoured a green infrastructure approach to flood management. Furthermore, the project does not require any physical displacement and/or resettlement, does not promote the use of pesticides and fertilizers, prohibits the use of alien invasive species in planting, and promotes diverse agroforestry systems and reforestation that will not only build climate resilience and food security, and decrease the impact of floods, but also provide significant environmental and social co-benefits.

Based on initial screening (following the UNDP Social and Environmental Screening Procedure (SESP), the overall risk of the Project was rated SUBSTANTIAL, on account of the presence of security concerns, activities within a Key Biodiversity Area (KBA), as well as the potential risk for economic displacement derived from reforestation actions related to Activity 1.2.

Substantial risks identified with the Project are:

- Restricted access to land and natural resources (economic displacement)
- Impact on Key Biodiversity Areas and potential critical habitats
- Security concerns
- Moderate risks identified with the Project are:
  - Water abstraction
  - Limited institutional capacity towards Safeguards standards
  - Perpetuation of discriminations against women
  - Consultations may not be comprehensive
  - Physical displacement, under potential scenarios such as earthquakes
  - Introduction of exotic tree species
  - Risk of gender-based violence and PSEAH
  - Risk of use of pesticides or other chemicals
  - Environmental and Physical Hazards during agroforestry and reforestation activities
  - Effect of climate change
  - Child Labour
  - Non-compliance with labour standards



- Exposing communities to COVID-19 and other disease outbreaks
- Impact of cultural resources

This ESMF identifies the steps that will be followed during the implementation phases for the completion of the safeguards instruments required for SES compliance, including a Strategic Environmental and Social Assessment (SESA), an Environmental and Social Impact Assessment (ESIA), an Environment and Social Management Plans (ESMP). The ESMF also details the roles and responsibilities for its implementation and includes a budget, a monitoring and evaluation plan, and guidelines for the development of the required assessments and management plans (see Appendices).

The Ministry of Environment (MoE) is the National Designated Authority (NDA) of Haiti, and will be the Executing Entity for the project as such is accountable to UNDP for managing the project, including the monitoring and evaluation of project interventions achieving project outcomes and for the effective use of GCF resources. UNDP is the Accredited Entity proposing the Project and will be providing Implementation Support as requested by the Government of Haiti under the LoA. Other partners will support project activities within the scope of their mandates, most significantly the Ministry of Agriculture, Natural Resources and Rural Development (MANRRD). Notably, the BAC (Bureau of Agriculture at the Commune level) is responsible for the technical support that the ministry aims at giving to communities at the local level.

The PM will be supported by the technical staff under the PMU, including: i) national and international consultants and support staff; ii) an Agroforestry Expert who will coordinate activities under Outputs 1 and 2; iii) a Governance and Policy Expert who will coordinate activities under Output 2; iv) a full-time Gender and Safeguards Specialist, who will be responsible for tracking project interventions against the Environmental and Social Environment Framework and Gender Assessment and Action Plan (Annex 8); and v) a full-time Monitoring and Evaluation (M&E) Expert, who will be responsible for detailed monitoring of the progress of project activities against the targets specified in the Logical Framework”.

The number of direct beneficiaries was estimated based on the population in the target intervention area directly affected by floods which include the number of farmers that will be adopting climate-resilient livelihood practices in the agriculture sector with the project’s support and GCF financing, encompassing households benefiting from activities for improving food security and the percentage of the population living next to the rivers in all communal sections of communes integrating the catchment plus 50% of the total number of farmers in Trois Rivières (TR). It is estimated that 292,600 people (152,152 women) will directly benefit from the implementation of agroforestry systems and rehabilitation of water towers to increase communities’ resilience to flooding. Indirect beneficiaries account for 441,272 (229,461 women) with both direct and indirect beneficiaries representing the totality of the TR population (733,800 people; 381,576 women) as project adaptation measures will result in reduced climate change-induced flooding, which impacts health, transportation, livelihoods, and the economy of the TR catchment as a whole.

The project has developed a Gender Analysis and Action Plan (GAAP), a Stakeholder Engagement Plan (SEP), and a Grievance Redress Mechanism (GRM) to address any complaints and/or grievances and issues that may arise as a result of the project. This Grievance Redress Mechanism has been developed in line with UNDP Social and Environmental Standards and has been harmonized with local experience in administering such mechanisms.

Building the resilience and adaptive capacity of Haitian population living within the Trois Rivières watershed, that are among the most vulnerable to flooding and food insecurity in the country, is an essential investment to support the basic socio-economic human rights of beneficiaries, in regards risks of catastrophic floods associated to extreme weather events. Agroforestry, reforestation and the creation of an Integrated Flood Management system, will have a positive environmental benefit by increasing soil-water retention and infiltration, reducing erosion and sedimentation, and improving drainage water quality in watersheds. Additional environmental co-benefits will be generated in regards to biodiversity, with improvements in land cover and habitat through agroforestry systems and reforestation. Significant social benefits will be accrued through the creation of employment and resilient livelihoods, which will generate additional income for the extreme poor in Haiti’s TR region.



The development of an equitable and inclusive flood management framework and the establishment of a multi-stakeholder group to coordinate adaptation projects in the watershed will create positive social change in regards to equity and gender dynamics. These activities will engage and empower women, and ensure that their voices, needs and priorities are included in decision-making. Moreover, the project will increase livelihood resilience of the most vulnerable, and improve health through the reduction of water borne diseases risks following extreme climate events.

## 2 INTRODUCTION

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This Environmental and Social Management Framework (ESMF) has been prepared in support of a project proposal for the Project “Enhanced climate resilience in the Trois-Rivières region of Haiti through integrated flood management” to the Green Climate Fund (GCF). As this project is supported by UNDP in its role as a GCF Accredited Entity, the project has been screened against UNDP’s Social and Environmental Standards (SES) utilizing the UNDP Social and Environmental Screening Procedure (SESP) and deemed a Substantial Risk project, which is equivalent to GCF’s moderate risk rating.

This ESMF sets out the principles, rules, guidelines and procedures for screening, assessing, and managing the potential social and environmental impacts of the forthcoming but as yet undefined interventions. It contains measures and plans to avoid, and where avoidance is not possible, to reduce, mitigate and/or offset adverse risks and impacts. The ESMF specifies the most likely applicable social and environmental policies and requirements and how those requirements will be met through procedures for the screening, assessment, approval, mitigation, monitoring and reporting of social and environmental risks and impacts associated with the activities to be supported.

For the project components that have been defined with a reasonable degree of certainty, this ESMF includes as annexes initial management plans (or outlines thereof) for addressing likely social and environmental impacts and to address the requirements of applicable policies and standards, including the UNDP SES.

This ESMF was developed based on a desktop-based impact risk assessment through remote meetings with Project Team, review of the outcomes of community consultation and site visits, review of project-related documents, review of relevant policy frameworks and review of literature on Haiti and Trois-Rivières watershed). The risk assessment was undertaken using the UNDP Social and Environmental Screening Procedure to assess the probability and the impact of the risk.

## 3 PROJECT DESCRIPTION

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The Government of Haiti (GoH) is requesting US\$22.4 million in GCF grant finance to implement climate-resilient integrated water resources management (IWRM) to respond to the impacts of flooding on the Trois Rivières (TR) watershed. This GCF investment will be supported by the Heifer International, which has committed US\$8.3 million in co-financing for the implementation of project interventions.

The proposed project will seek to contribute to GCF’s paradigm shift objective of increased climate-resilient sustainable development by enhancing the resilience of Haiti’s Trois-Rivières (TR) watershed to the impacts of climate change-induced flooding. This shift will be achieved by implementing a transformative approach to the way in which the GoH addresses flood impacts.

Specifically, the funds will be used to:

- implement agroforestry systems and rehabilitate ‘water towers’ through reforestation of degraded landscapes at priority intervention sites;
- enhance technical and institutional capacity for productive climate-resilient land management at the national and local levels; and





- establish the required governance framework for integrated water resources management (IWRM) to support the climate-resilient land management systems and facilitate sustainable use and management of water resources over the long term.

The combined effect of project interventions will result in the adoption and implementation of a climate-resilient, integrated approach to flood management that can be readily scaled up and replicated nationally and across the Caribbean region.

### 3.1 OVERVIEW OF THE PROJECT

#### 3.1.1 Country context

Haiti forms part of the Caribbean island Hispaniola, sharing a border with the Dominican Republic to the east. Hispaniola is the second-largest island in the Greater Antilles, and at 27,750 km<sup>2</sup>, Haiti is the third-largest country in the Caribbean. As a Small Island Developing State (SIDS) and the only Least Developed Country (LDC) in the Western Hemisphere, Haiti is exposed to multiple natural hazards, including hurricanes, floods, earthquakes, landslides and droughts. Many of the country's primary economic activities (including agricultural production and industry), as well as more than 96% of the country's population of 11.1 million people), are situated in areas that are at risk of being impacted by two or more of the hazards mentioned above.

The vulnerability of the population is compounded by high levels of poverty and longstanding macroeconomic challenges experienced in the country — with approximately 59% of Haitians living under the national poverty line of US\$2.41 per day and approximately 24% living under the national extreme poverty line of US\$1.23 per day (World Bank, 2022). The existing exposure and vulnerability to natural hazards are being exacerbated by the impacts of climate change, with Haiti ranking first on the Global Climate Risk Index and third on the Long-Term Climate Risk Index (GermanWatch, 2016). Moreover, climate change impacts — particularly regarding floods, hurricanes and tropical storms — have considerable implications for health and livelihoods, as well as the local economy.

Haiti is very mountainous. While cities are mostly located in the coastal plains, much of the most productive land is located along steep mountainsides. As a result, agricultural production mainly occurs in these mountainous areas. Soil conditions in the country are intrinsically fragile, comprised of newly formed shallow soils that can support forests and grasslands but that are also susceptible to erosion and leaching of water-soluble nutrients.

This erosion, combined with the steep topography of the country, has severe consequences for some of the country's most populous cities which are situated in valleys along the coast. When it rains, the steep hills in the upper reaches of the valleys channel rainwater towards urban areas. Given the widespread degradation of the watersheds and the associated surface runoff and erosion, the resulting floodwaters contain substantial sediment loads which are deposited downstream. These sediments block already limited drainage infrastructure in the urban areas, which, coupled with the intensity of rainfall events, creates an environment conducive to intense flooding.

#### 3.1.2 Project context

The conditions mentioned above are particularly evident in the Trois-Rivières (TR) watershed, where the project will be active — one of the largest and most productive watersheds in the country. The TR watershed is particularly important to the country in that it provides critical ecosystem goods and services (including aquifer recharge), as well as contributing to food security through its high potential for agricultural production and opportunities for economic development. While frequent and intense flooding, soil erosion and sedimentation of rivers have considerable adverse impacts on the landscape and agriculture in the TR watershed, they also have severe consequences for water resources and human health. The erosion of riverbanks and sedimentation build-up in rivers caused by flooding decreases water quality in the watershed considerably, with multiple impacts on freshwater and marine biodiversity as well as increasing the risk of waterborne diseases in surrounding communities. Women and girls are





particularly at risk as their household duties — including cooking and cleaning — involve the highest level of exposure to potentially contaminated food and water.

Without urgent intervention in the management of land and water resources, the vulnerable population of the TR region in Haiti will continue to become increasingly at risk to flooding and the associated negative impacts on the environment and the population's health and livelihoods. An integrated approach to flood management under future climate change conditions is consequently required to adequately address the diverse impacts of climate change-induced flooding on the TR watershed in Haiti.

An approach to flood management in Haiti's TR watershed that is underpinned by green infrastructure is considered the more sustainable and cost-effective option for the proposed project (please review the Feasibility Study for further analysis). A comprehensive suite of recommended interventions has been designed to enable Haiti to reduce flood-related impacts in the TR watershed. These interventions include: i) implementing green infrastructure (agroforestry and reforestation activities) to strengthen flood resilience, supported by capacity-building programmes for land-use management; ii) establishing and promoting climate-resilient agricultural and land-use practices to enhance food security in the watershed; and iii) improving national and local governance frameworks for the implementation of integrated water resources management at national, catchment and sub-catchment levels to contribute to creating an enabling environment for climate-resilient flood management in Haiti.

Seven target communes in the TR watershed (Port-de-Paix, Chansolme, Bassin Bleu, Plaisance, Pilate, Marmelade, Gros Morne) with a combined total population of ~715,000 have been identified and selected to receive agroforestry and reforestation activities under the proposed project. Projected flood reduction benefits from the implementation of these activities will result from, inter alia, increased surface roughness, reduced overland flow and improved groundwater infiltration. This will enhance flood attenuation across the TR watershed in upstream and downstream communities as previously degraded ecosystems will be restored through increasing vegetative cover. As stated previously, this is evidenced by a projected 50% reduction in the number of households affected by 100-year flood events and a 35% reduction in the number of households at risk to 20-year flood events in the TR watershed. Moreover, considerable co-benefits will be seen by households within the target area as green infrastructure interventions also enhance ecosystem goods and services provisioning. By providing non-timber forest products: i) livelihoods will be diversified alongside enhanced market access and therefore reduced pressure will be placed on forests for charcoal production; ii) water quality and quantity will be improved; and iii) agricultural productivity will improve with the increased fertility of soils.

The project will enable the Government of Haiti (GoH) to reduce climate change-induced flood related impacts and extreme vulnerability through a targeted intervention in the Trois Rivières region in Haiti (Figures 1-3), using a three-fold approach:

- Output 1: Ecosystem-based flood management solutions implemented in 25,440 hectares of the Trois-Rivières watershed ;
- Output 2: Output 2: Climate-resilient agricultural practices, optimised value chains and social safety nets established to promote SLM and reduce degradation in the Trois-Rivières watershed;
- Output 3: Strengthened governance and capacity for climate-resilient integrated water resources management (IWRM)

The Haitian government's prioritization of flood resilience and watershed management, and food security as key elements of building resilience to climate change threats is clearly demonstrated by several policies and assessment reports, including the National Adaptation Programme of Action (NAPA) highlight the importance of managing watersheds to combat the extreme climate risks. The Risks Disaster Management National Framework (PNGRD), which addresses vulnerability in Haiti, highlights the importance of harmonizing the efforts and applying better practices for watershed management. National Watershed Policy, an initiative by the Ministry of Agriculture, Natural Resources and Rural Development (MARNDR), focuses on building resilience through participatory planning.



Social issues form an integral part of the climate change driven flood management process. In addition to extreme weather events linked to climate change, the community's vulnerability and capacity to anticipate and cope with flood risks heavily determine the socio-economic impact of flooding. Therefore, effective integrated flood management requires appropriate options for managing flood risks for different social groups. Social norms and values also determine how well the negative impacts of flooding can be overcome and how well the positive effects of flood management use can be utilized and shared equitably. Therefore, the proposed project will give special attention to the gender and social dynamics that influence access to flood management decision-making, with emphasis on promoting the empowerment of women and other disadvantaged groups.

The project will also contribute to strengthening of farmers' technical capacities in soil conservation and agroforestry and dis-incentivize deforestation, contributing to the up scaling of soil conservation practices and decreasing negative impacts of floods downstream. Development of an inclusive and equitable flood management governance framework and capacity building of local women and men to increase community resilience to climate change induced floods impacts. As it is necessary to tackle poverty and development issues in the TR catchment to ensure sustainability of the CCA interventions. The project through its second output (co-financed) and focuses on promoting livelihoods, improving supply chains and improving food security for vulnerable households.

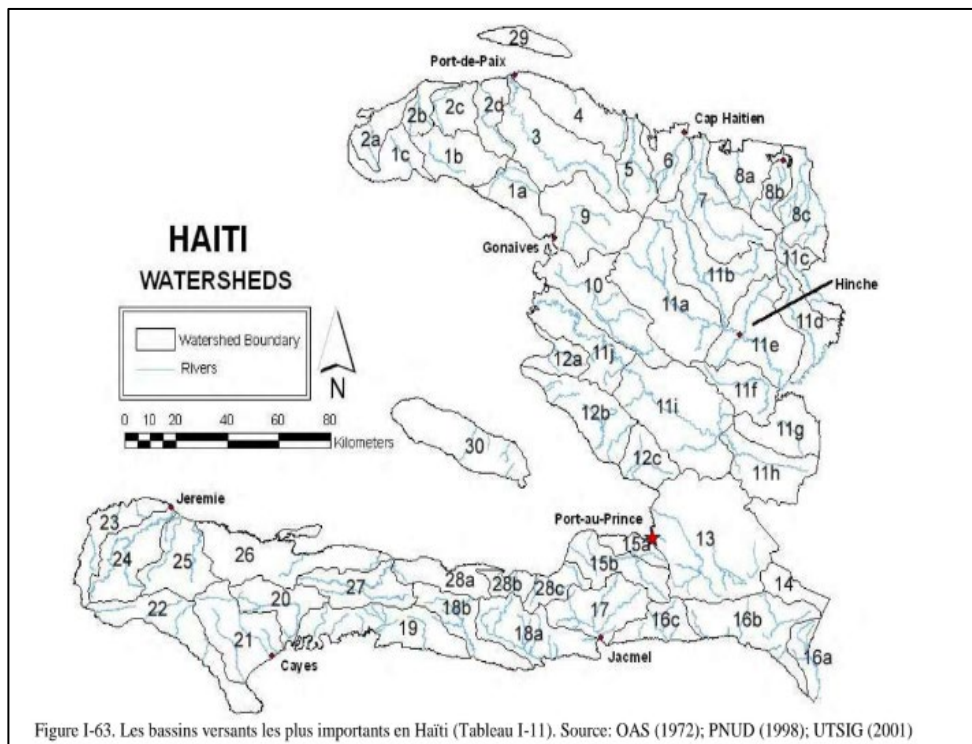


Figure 1: Map of Haiti's Watersheds: Trois Rivières is #3 in this map. (Source: NATHAT 2)

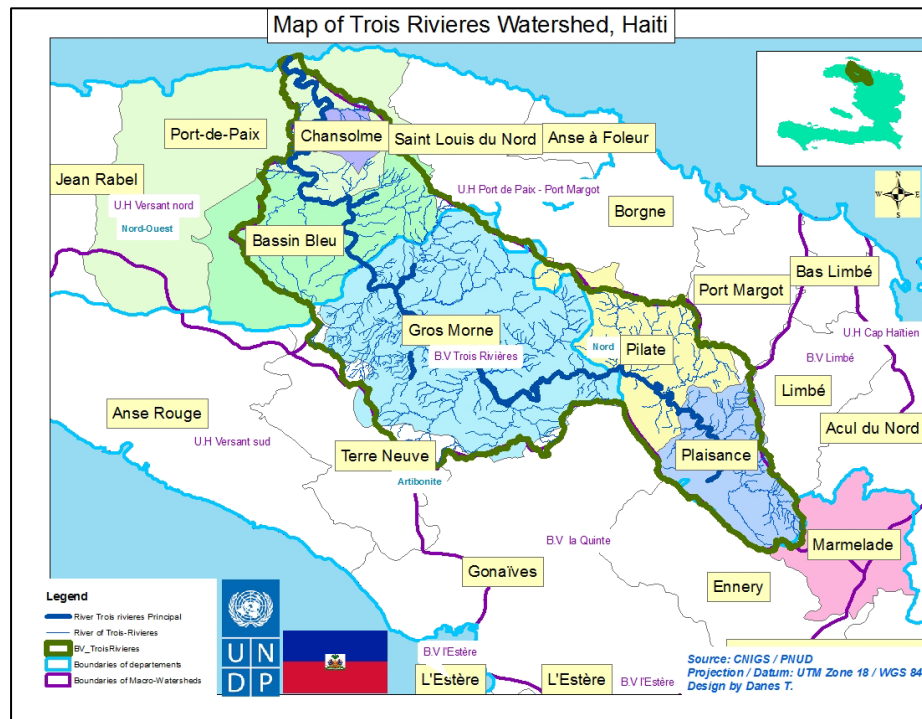


Figure 2: Map of Trois Rivières watershed (where project will be active) (Source: NATHAT 2)

### 3.1.3 Description of baseline environmental conditions

#### Physical context

Haiti is situated in the Caribbean Archipelago and forms part of Hispaniola Island, together with the Dominican Republic. While the Dominican Republic occupies the east of Hispaniola, Haiti occupies the west, covering an area of 27,750 km<sup>2</sup>, with land covering 27,560 km<sup>2</sup>, and water 190 km<sup>2</sup>. Haiti is located between the Atlantic Ocean and Caribbean Sea and includes five satellite islands (Figure 1), namely: i) La Gonave (670 km<sup>2</sup>); ii) La Tortue (180 km<sup>2</sup>); iii) Ile-à-Vache (52 km<sup>2</sup>); iv) Cayémites (45 km<sup>2</sup>); and v) Navassa Island (7 km<sup>2</sup>). The country has a rough and rocky terrain — approximately 80% of the total land area is mountainous — coupled with river valleys and coastal flatlands. More than half of the landscape is steep at a minimum gradient of 40%, while ~21% of the landscape is at 10% or less. The plains, or flatlands, occupy ~20% of the total land area (~5,500 km<sup>2</sup>).



Figure 3: Geographical map of Haiti

### Geological context

Hispaniola Island borders two large tectonic plates, namely the North American and Caribbean plates. Consequently, two major fault lines run through Haiti — the Enriquillo-Plantain Garden fault in the south, which forms part of the North American and Caribbean plate boundary; and the Septentrional fault in the north (Figure 4). This geological occurrence makes Haiti vulnerable to earthquakes and aftershocks, compromising both the livelihoods of Haitians and the natural environment. Earthquakes, and the aftershocks that follow, result in: i) deaths of people in Haiti; ii) the disruption of water systems, which compromise water safety; and iii) the disruption of emergency medical systems. The impacts of earthquakes on Haiti's ecosystems include landslides which result in river blockages, therefore increasing the potential of rapid flooding. Landslides also increase deposits of sediment and debris in rivers and dams. Haiti's most severe earthquake in over 200 years occurred in January 2010, along the Enriquillo-Plantain Garden fault near the capital city of Port-au-Prince (Figure 4). With a magnitude of 7.0, the earthquake resulted in ~200,000 deaths, the displacement of ~1.7 million people and damages estimated at ~US\$7.8 billion.



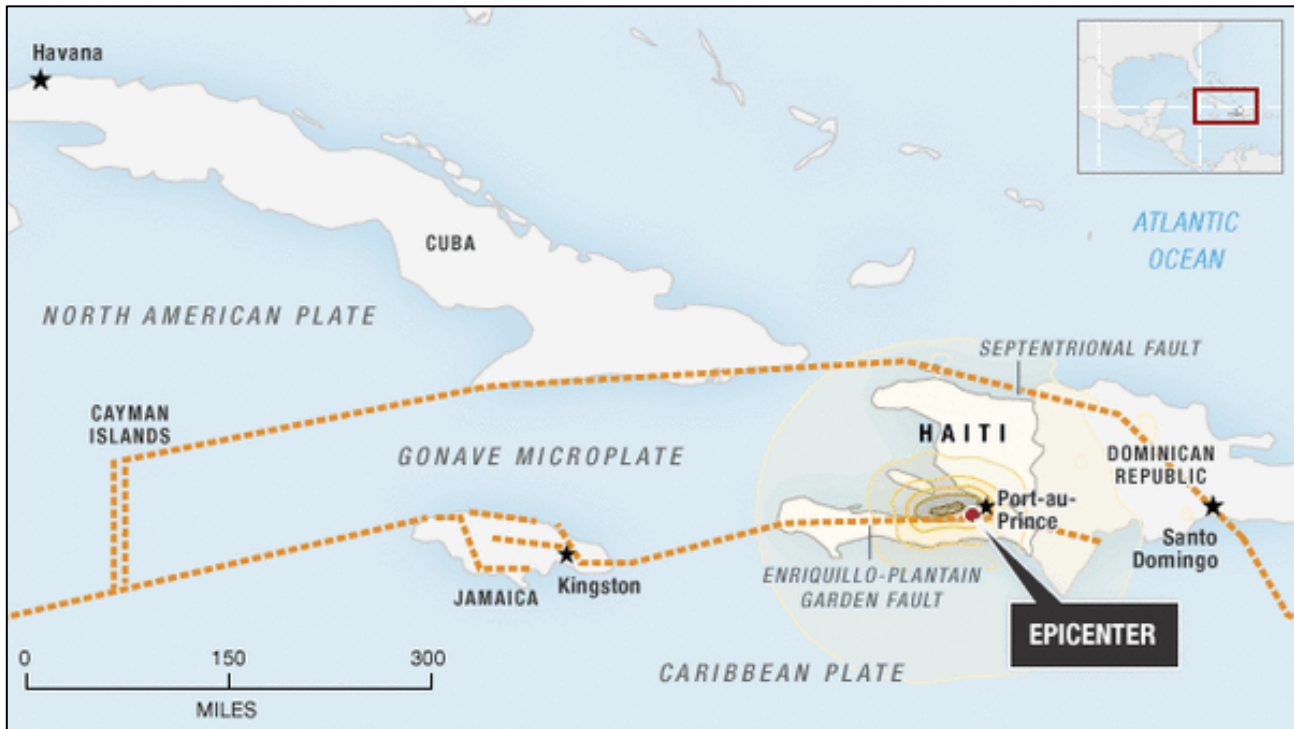


Figure 4: Image illustrating the Septentrional and Enriquillo-Plantain Garden Faults which run through Haiti, as well as the epicentre of the earthquake which occurred in 2010.

Soil conditions

Soil conditions in Haiti are intrinsically fragile, comprising of newly formed shallow soils that can support forests and grasslands, but that are also susceptible to leaching of water-soluble nutrients and erosion. In 1999, Haiti’s annual soil erosion was estimated at 1,316 tonnes km<sup>-2</sup>yr<sup>-1</sup>. Although largely attributed to the severe deforestation mentioned above, soil erosion is exacerbated by varying biophysical and anthropogenic factors, such as: i) soil types; ii) climatic conditions; iii) topography; iv) extent of deforestation; and v) unsustainable agricultural practices.

Ecological context

Haiti’s geographic isolation has enabled unique speciation of national fauna and flora, which has resulted in one of the highest levels of biodiversity in the Caribbean region. The tropical climate, combined with the rugged terrain, have contributed to a variety of ecosystems and habitats. However, severe deforestation has adversely affected Haiti’s natural ecosystems, creating conditions for erosion and intense flooding. Deforestation has been attributed to, *inter alia*, fuelwood harvesting, increasing population growth and food insecurity. Consequently, indigenous tree cover has been reduced to less than 1% of the total original indigenous tree cover in Haiti, compared to the 13% in its neighbouring country, the Dominican Republic. However, traditional agroforestry practices and agroforestry initiatives in Haiti have resulted in an increase in vegetative cover of ~30%. Unlike Haiti’s indigenous forests, which were located within the mountain slopes, the current agroforests are primarily located in valleys and accessible agricultural lands (such as those in the north of the country).

Critical Habitats including Key Biodiversity Areas (KBAs)

Critical habitats include those areas that are (i) legally protected, (ii) officially proposed for protection, (ii) identified by authoritative sources for their high conservation value (such as areas that meet criteria of the World Conservation Union classification, the Ramsar List of Wetlands of International Importance, and the



United Nations Scientific and Cultural Organization’s world heritage sites), or (iv) recognized as protected by traditional local communities.

The identification of Key Biodiversity Areas (KBAs) in Haiti began in 2009 through local expert consultation led by BirdLife International. A preliminary set of 17 KBAs were identified that represented the majority of threatened terrestrial species on the IUCN Red List. This resulted in a 2009 draft that was reviewed and expanded in 2011 to refine the scientific basis for the KBAs and to merge the KBAs toward the nascent *Système Nationale des Aires Protégées* being developed under the UNDP and the Ministry of Environment (UNDP, 2011).

List of KBAs in Haiti<sup>1</sup>

KBAs including IBAs	KBAs not including IBAs	Proposed KBAs
Massif de la Hotte (Aux Bec-Croisés, Bois Musicien)	Cavaillon, Cayemites-Baradères, Côtes du Nord, Chaines des Cahos, Dame Marie, Dépression de Jacmel, Dubedou – Morne Balance, Fond des Nègres – L’Etang Miragoâne, Ile à Vache, Ile de la Tortue Ouest, La Gonâve – Côte Sud, La Gonâve – Côte Nord, Le Delta de l’Artibonite, Madicaque, Môle Saint Nicolas, Morne Bailly, Nan L’Etat, Neiba d’Haïti, Pic Tête Boeuf, Picmi, Plaisance, Port-de-Paix, Saint Michel de l’Atalaye-Morne Basile.	Arcadins, Banc de Rochelois
Massif de la Selle (Aux Cornichons, Aux Diablotins)		
Lac Azuéli-Trou Caïman (Lac Azuéli, Trou Caïman)		
Citadelle-Grottes Dondon (Les Todiers)		
Ile de la Tortue Est (Coquillage – Pointe Est, Les Grottes)		
Lagons du Nord-Est (Lagons-aux-Boeufs)		

KBAs in Haiti cover an area of 9,340 km<sup>2</sup> – about a third of the country’s land area. The estimated area of the KBAs include significant areas of marine ecosystems. The KBAs vary widely in their sizes, from the smallest at Picmi (1.6 km<sup>2</sup>) to the 2 largest, Massif de la Hotte (1981 km<sup>2</sup>) and Massif de la Selle (1934 km<sup>2</sup>).

Relevant to the project is the Port-de-Paix KBA (27,322 ha; marine and terrestrial), which is also an Alliance for Zero Extinction (AZE) site.<sup>2</sup> Of significant concern, this KBA is one of several in Haiti with no coverage by protected areas (PAs) or Other Effective Area-Based Conservation Measures (OECMs), and the opportunity for Haiti to increase protection of KBAs such as Port-de-Paix has been noted.<sup>3</sup> This KBA falls within the project’s AREA 2 (semiarid: Gros-morne, Chansolme and Port-de-Paix, Bassin Bleu). It is expected that community land use plans (LUPs; Sub activity 1.1.1) may be developed along the Port de Paix region, potentially within or adjacent to this KBA (SESP risk 15). The decision as to whether activities will take place within or adjacent to this KBA (and other critical habitats) must follow the mitigation hierarchy (see ESMF section 6.3.1) as described in chapter 6 of this ESMF. If project activities take place within or adjacent to a KBA, then those activities must be guided by an appropriately scoped and detailed Biodiversity Action Plan (BAP) if required (see Appendix 9 for the SES outline), and must contribute to its conservation (see ESMF section 6.3.3). As noted in ESMF section 6.1.2 below, avoidance of potential negative impacts to this KBA is of utmost importance; the preparation and implementation of all relevant assessments and management plans must adhere to the requirements of SES Standard 1 and the associated SES Guidance Note.<sup>4</sup>

<sup>1</sup> Critical Ecosystem Partnership Fund 2011. Key Biodiversity Areas of Haiti.

[http://ciat.bach.anaphore.org/file/misc/126\\_Key\\_biodiversite\\_areas\\_final-EN.pdf](http://ciat.bach.anaphore.org/file/misc/126_Key_biodiversite_areas_final-EN.pdf)

<sup>2</sup> <https://www.keybiodiversityareas.org/site/factsheet/26675>, <https://www.protectedplanet.net/country/HTI>

<sup>3</sup> <https://www.cbd.int/pa/doc/dossiers/haiti-abt11-country-dossier2021.pdf>

<sup>4</sup> [UNDP SES Guidance Note on Standard 1 Biodiversity and Sustainable Natural Resource Management](#)

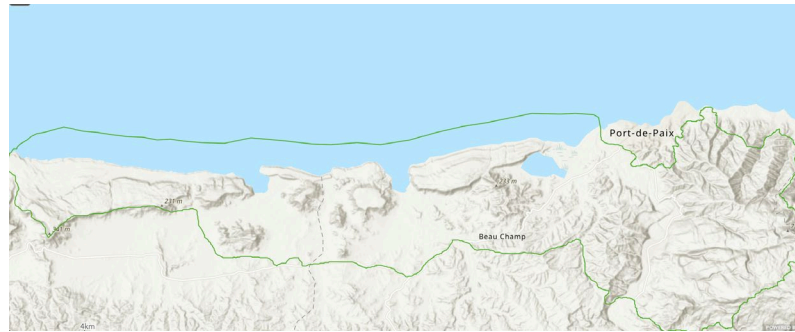


Figure 5a: Map of Port-de-Paix KBA (Source: <https://www.keybiodiversityareas.org/>)

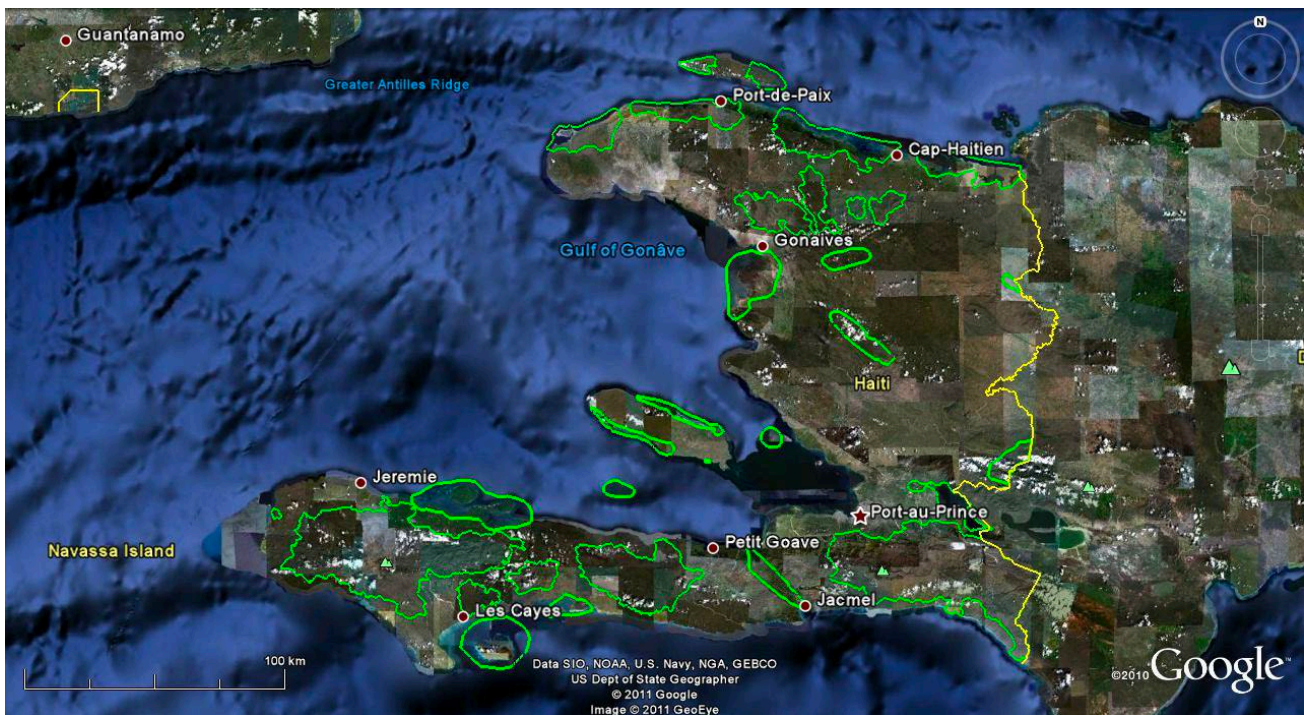


Figure 5b: Map of Haiti’s KBAs (Port-de Paix indicated in the north, Source: Google Earth)

Threatened Animals and Plants of Port-de-Paix KBA. CR = Critically Endangered, EN = Endangered, VU = Vulnerable according to the IUCN Red List.





CLASS	SPECIES	STATUS	
AMPHIBIANS	<i>Eleutherodactylus rhodesi</i> Schwartz, 1980	CR	
TREES	<i>Cedrela odorata</i> L.	VU	
	<i>Copernicia ekmanii</i> Burret	EN	
	<i>Ekmanianthe longiflora</i> (Grisebach) Urban	EN	
	<i>Guaiacum officinale</i> L.	EN	
	<i>Guaiacum sanctum</i> L.	EN	
	<i>Juniperus barbadensis</i> L.*	VU	
REPTILES	<i>Caretta caretta</i> L., 1758	EN	
	<i>Celestus curtissi</i> Grant, 1951	VU	
	<i>Chelonia mydas</i> L., 1758	EN	
	<i>Cyclura cornuta</i> Bonnaterre, 1789	VU	
	<i>Dermochelys coriacea</i> Vandelli, 1761	CR	
	<i>Eretmochelys imbricata</i> L., 1766	CR	
CRUSTACEANS	<i>Epilobocera haytensis</i> Rathbun, 1893	VU	
FISH	<i>Balistes vetula</i> L., 1758	VU	
	<i>Epinephelus striatus</i> Block, 1792	EN	
	<i>Hippocampus erectus</i> Perry, 1810	VU	
	<i>Hyporhodus flavolimbatus</i> Poey, 1865	VU	
	<i>Hyporhodus nigritus</i> Holbrook, 1855	CR	
	<i>Lachnolaimus maximus</i> Walbaum, 1792	VU	
	<i>Lutjanus analis</i> Cuvier, 1828	VU	
	<i>Lutjanus cyanopterus</i> Cuvier, 1828	VU	
	<i>Mycteroperca interstitialis</i> Poey, 1865	VU	
	<i>Thunnus obesus</i> Lowe, 1839	VU	
	<i>Isurus oxyrinchus</i> Rafinesque, 1810	VU	
SHARK	<i>Acropora cervicornis</i> Lamarck, 1816	CR	
	<i>Acropora palmata</i> Lamarck, 1816	CR	
	<i>Agaricia lamarcki</i> Edwards & Haime, 1851	VU	
	<i>Dendrogyra cylindrus</i> Ehrenberg, 1834	VU	
	<i>Dichocoenia stokesii</i> Edwards & Haime, 1848	VU	
	<i>Montastraea annularis</i> complex <sup>1</sup>	VU	
	<i>Mycetophyllia ferox</i> Well, 1973	VU	
	<i>Oculina varicosa</i> Leseuer, 1821	VU	
	<p>Endemic Species: <i>Consolea falcata</i>, <i>Opuntia acaulis</i>, and <i>O. ekmanii</i> are among the cactus species that are endemic Haiti and found in this KBA. However, they have not been assessed by IUCN. The monotypic palm genus, <i>Zombia antillarum</i> Bailey, has not assessed by IUCN, though it 's populations are vulnerable. Several live-bearing fish species of the <i>Limia</i> genus are Hispaniola island endemics that occur in fresh and brackish water bodies including <i>L. dominicensis</i>, <i>L. meloanogaster</i>, <i>L. melanotata</i>, <i>L. nigrofasciata</i> and <i>L. tridens</i>. These have not been assessed by IUCN. The purple copepod, <i>Mastigodiaptomus purpureus</i> Marsh, 1907, VU, is found in freshwater systems of Haiti, but uncertain extent of its range. * Likely extinct in Haiti (IUCN, 2011). <sup>1</sup> Comprised of 3 species: <i>Montastraea annularis</i>, <i>M. faveolata</i> and <i>M. franksi</i>.</p>		

Hydrological conditions

Haiti has 160 major rivers and 31 main watersheds, of which 25 watersheds have been, or are being, degraded by deforestation. During rainfall events, the limited vegetation results in higher overland flow speed, decreased water infiltration into soils and, subsequently, increased levels of surface water run-off. Consequently, the rate at which aquifers recharge is also reduced, further compromising the freshwater output of the aquifer-fed rivers in the country. Haiti’s poor water quality was illustrated by its 2002 ranking on the Water Poverty Index as having the lowest indices on environmental indicators, including: i) water quality; ii) water stress; iii) water management capacity; and iv) aquatic biodiversity. In addition, Haiti’s rivers lack levees and embankments which further exacerbates erosion and consequently increases sedimentation of rivers.

Despite only 15% of the country comprising plains and valleys, these landscapes contain ~85% of Haiti’s available groundwater. The remaining 15% of groundwater is found in mountainous areas and comes from springs that originate from multiple aquifer types including karstic, fractured, low permeability, and indigenous aquifers (Figure 5). Because of deforestation, the ability of aquifers to recharge has decreased to the extent that the water table now seasonally fluctuates by up to 15 meters in many parts of the country. Freshwater is nevertheless still available locally from varied aquifers, including fractured limestones, sandstones, conglomerates, and schist aquifers.

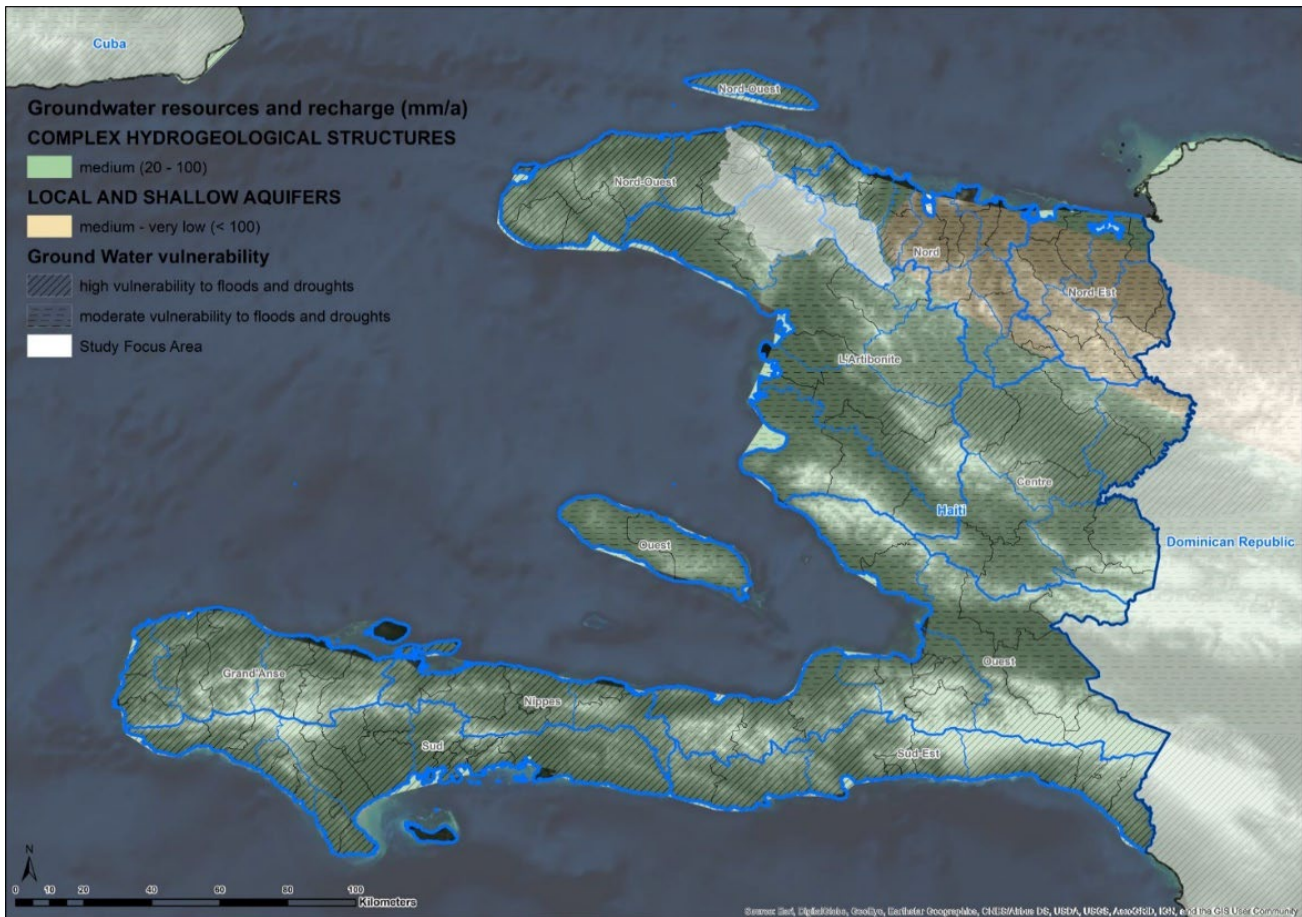


Figure 5: A map of groundwater resources in Haiti.

The Trois-Rivières (TR) watershed, which has a catchment area of 897 km<sup>2</sup>. In 2000, the TR watershed had an average flow of 6.5m<sup>3</sup> per second and a runoff coefficient of 18%. The TR watershed is particularly vulnerable to floods, with an erosion and soil potential index of 70 and 26 (out of 100), respectively. The vegetation cover surrounding the TR watershed has been severely over-utilised and degraded. This has been largely attributed to: i) increasing population growth; ii) unsustainable agricultural practices; iii) food insecurity; and iv) limited land-use regulation and enforcement resulting in deforestation. The resultant limited vegetation cover reduces water infiltration and retention, consequently exposing topsoil to further erosion caused by extreme rainfall events and storms.

Climate profile

Haiti is characterised by a year-round hot and humid tropical climate and is subject to variability driven by the El Niño Southern Oscillation (ENSO). It is divided into tropical rainforest and tropical monsoon climates with small areas of arid steppe and temperate climates (Figure 6). The rainy season is long, particularly in the northern and southern regions of the island, with two pronounced peaks in rainfall occurring between March and November. Haiti is located in the middle of a hurricane belt, with the most severe storms routinely occurring from June to October and typically causing widespread flooding.

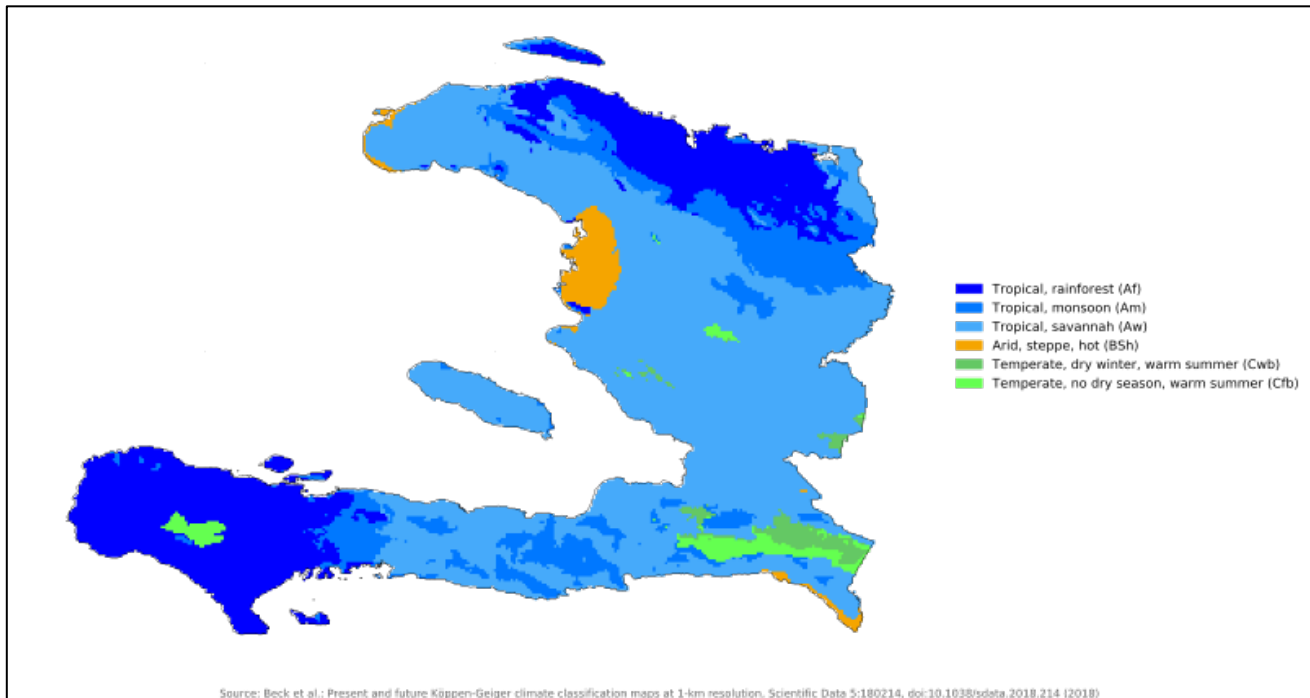


Figure 6: Köppen-Geiger climate classification map for Haiti (1980–2016).

### Temperature

The average annual temperature in Haiti is 24.4°C (Figure 10), with monthly temperatures typically ranging between 19–28°C in winter and 23–33°C during summer (Figure 11). The size of the country allows for latitudinal variation in mean monthly temperatures. Still, temperatures are consistently high in the lowland areas, ranging between 15–25°C in winter and 25–35°C during the summer months. Across the island, cooler temperatures occur during the northern hemisphere winter (December to February), and warmer temperatures occur in summer (July to August). Temperatures peak in July to August and the mean annual range in temperatures between the coolest and warmest months of the year is between 3°C and 4°C. Occasional surges of cooler air from North America — occurring from October through early April during the passage of cold fronts — contribute to minimum temperatures that can fall below 20°C, particularly for northern portions of the island.

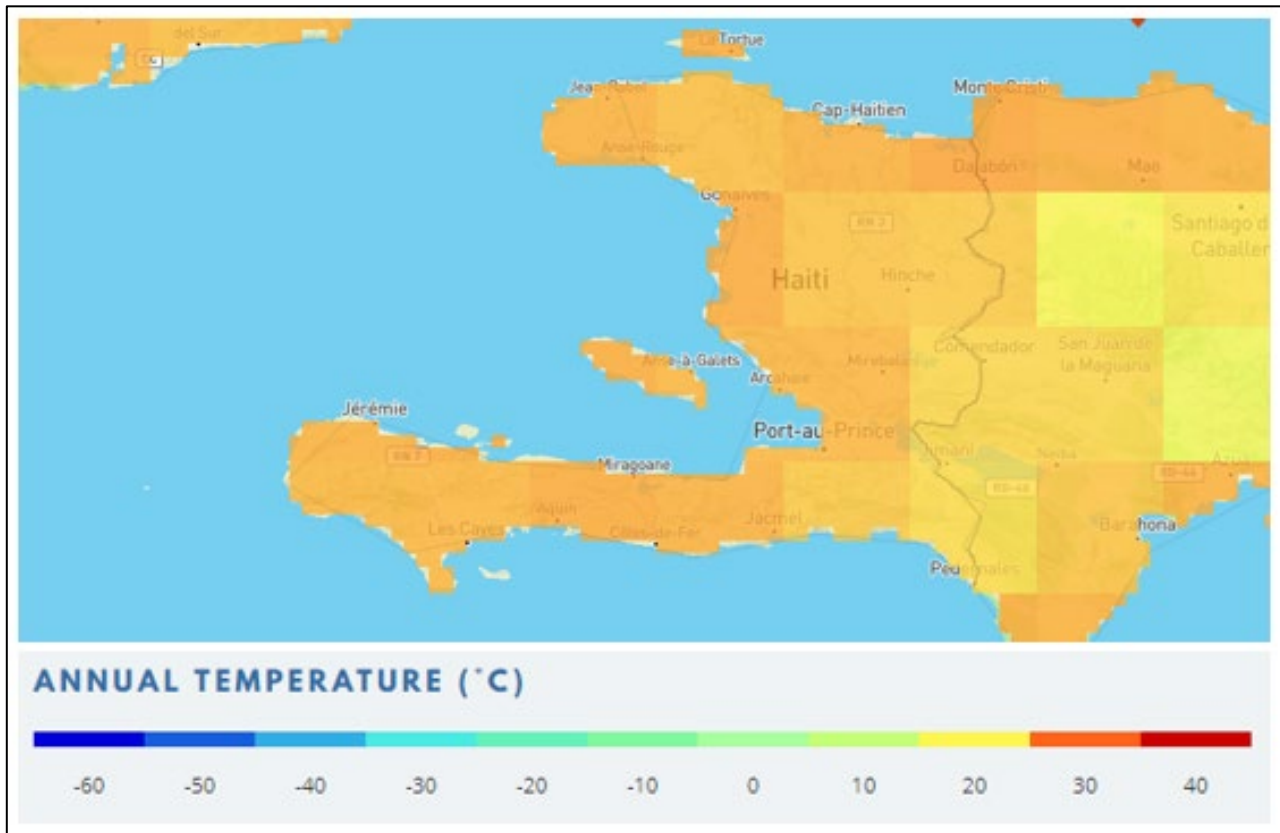


Figure 7: Average annual temperature of Haiti (1901–2016)

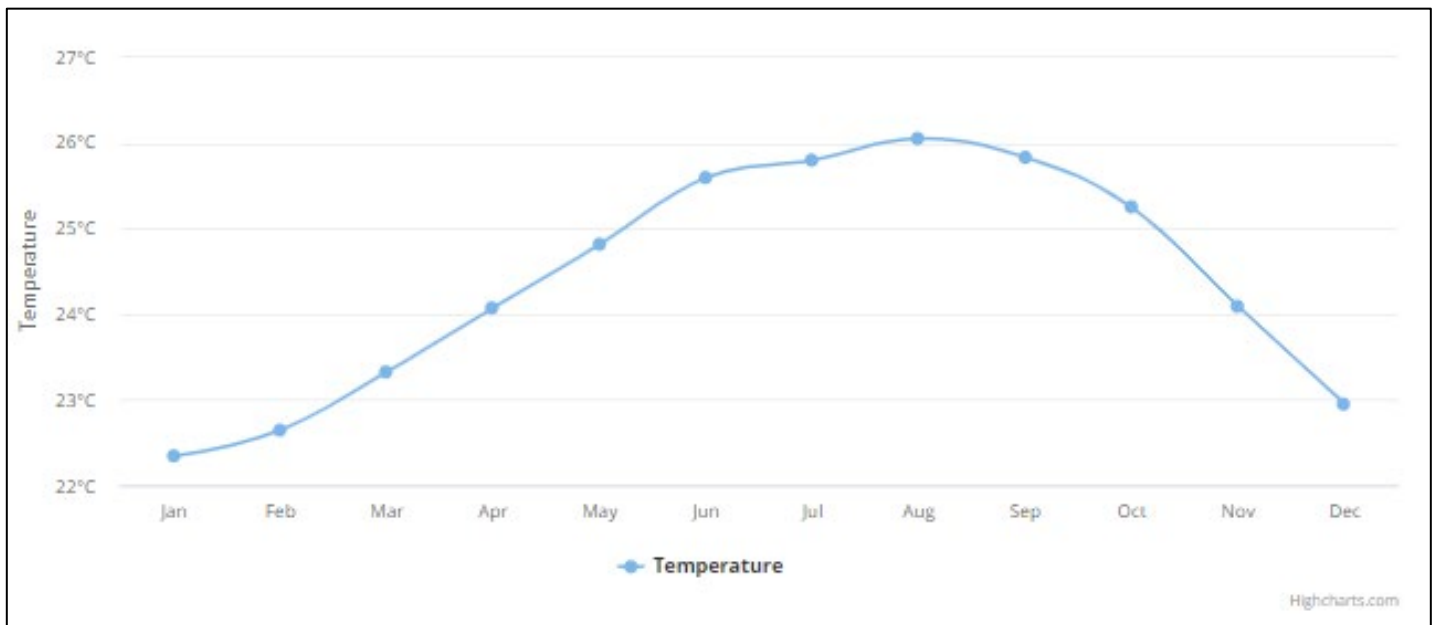


Figure 8: Average monthly temperature of Haiti (1901–2016).



Rainfall

The average annual rainfall in Haiti ranges between 1,400–2,000 mm, with uneven distribution across the country (Figure 12), while the average monthly rainfall ranges from 40–210 mm (Figure 9, 10). Heavier rainfall occurs in the southern peninsula and on the northern plains and mountains, whilst rainfall decreases from east to west across the northern peninsula. The eastern central region receives a moderate amount of precipitation, while the western coast from the northern peninsula to Port-au-Prince, is dry.

Rainfall levels differ according to the island’s varied topography, with the central regions receiving more rainfall than the northern and western regions. Northern and windward slopes in the mountainous regions receive up to three times more precipitation than the leeward side. Annual precipitation in mountainous areas averages 1,200 mm, while the annual precipitation in the plains is as low as 550 mm. The Plaine du Gonaïves and the eastern part of the Plaine du Cul-de-Sac are the driest regions in the country, where, combined with the effects of high temperatures, evaporation rates are high. The North-West, Artibonite, North-East, and Central Departments frequently experience repeated droughts caused by erratic rainfall patterns coupled with limited water management infrastructure.



Figure 9: Average annual precipitation of Haiti (1901–2016).

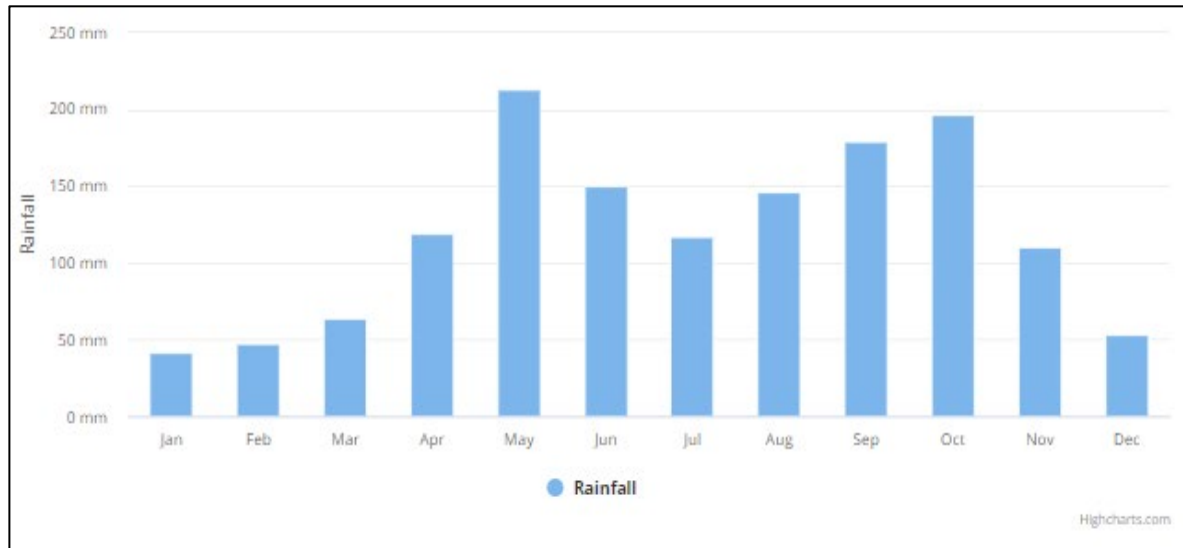


Figure 10: Average monthly rainfall of Haiti (1901–2016).

#### Baseline flood conditions

Floods are the leading contributor to climate change vulnerability in Haiti, resulting from intense rainfall events, tropical storms and hurricanes. The country’s most populous cities are located both along the valleys leading to the coast, as well as along or near the coastline. This means that when it rains, steep hills upstream direct rainwater towards urban areas, exacerbating flooding. Widespread deforestation in the upper reaches of these valleys, coupled with limited drainage infrastructure, creates an environment conducive to flooding. This flood risk is compounded by the steep topography of the island, with approximately two-thirds of all land in Haiti being sloped at more than 20% — further contributing to erosion and landslide risk. The capital city of Haiti, Port-au-Prince, is particularly vulnerable, with a large portion of its inhabitants residing on floodplains in poorly constructed housing. While the government administers a flood early-warning system, it does not yet provide adequate, accurate and real-time data, restricting the ability of communities to respond to flood events promptly. Disaster risk reduction and management systems are further limited by the fact that there are few accessible and adequate shelters located on high ground and equipped with the food and medicine necessary to serve vulnerable communities.

The low-lying plains of the Ouest and Artibonite Departments and the narrow coastal zones of the Sud, Sud-Est, Grande Anse, and Nippes Departments are particularly vulnerable to flooding. Additionally, on the Cul-de-Sac Plain of the Ouest Department, the Rivière Blanche and Rivière Grise basins are subject to severe flooding. Heavily populated coastal towns, such as Jacmel, Les Cayes, and Gonaïves, are also at high risk of flooding as they lie in the direct path of tropical storms (Figure 11). Low-income communities located near rivers and coastal floodplains are particularly vulnerable to the impacts of hurricanes, experiencing fatalities during the storm season as a result of both flooding and gale-force winds. For example, in 2004, more than 2,800 people died in Gonaïves following Hurricane Jeanne. In addition to the inland flood impacts of intense rainfall, hurricanes result in storm surges which flood coastal plains with saltwater. This saltwater increases the salinity of soils and groundwater reserves, with considerable economic losses resulting from the negative impacts on agriculture. Other priority sectors, such as public health, are also negatively affected by torrential rains through inundations, as they facilitate the spread of diseases such as cholera. These impacts are often compounded by deliberate overflowing of the Peligre hydropower dam to maintain the power supply in metropolitan Port-au-Prince, exacerbating flooding in the Artibonite Valley. The Canot irrigation dam was built to divert irrigation water to larger and wider areas and to ease flooding via two channels on either side of the Artibonite River. Instead of alleviating floods, however, these diversion spillways facilitate inundations because of the overflow events caused by the upstream release of water behind the Peligre and Dominican Republic hydropower dams.

Haiti’s vulnerability to flooding (described above) is attributable to a variety of climate- and non-climate-related drivers. Climate-related drivers include: i) the changes in variability of rainfall and extreme weather events;



ii) intense seasonal rainfall; and iii) storm surges in coastal zones. Non-climatic drivers include: i) degraded and eroded watersheds; and ii) sedimented river channels. Many of these drivers, both climatic and non-climatic, are interlinked and combine to increase the impacts of flooding. For example, as a result of the reduced infiltration linked to deforestation and catchment degradation, heavy rainfall during tropical storms and hurricanes (sometimes as much as 40 mm/hour) causes rapid runoff and extensive erosion. This erosion reduces the depth of fertile soils, while the resulting sedimentation reduces storage capacities of water bodies. The degradation of forests also reduces water retention capacity of soils in the catchment, exacerbating surface runoff. As a result of the combination of these effects, the impacts of future floods become increasingly more intense, leading to loss of lives and livelihoods in larger numbers. Additionally, by destroying fertile soils and damaging property and livelihoods in communities within flood-prone areas, flooding causes low-income communities located near these areas to experience considerable economic losses.

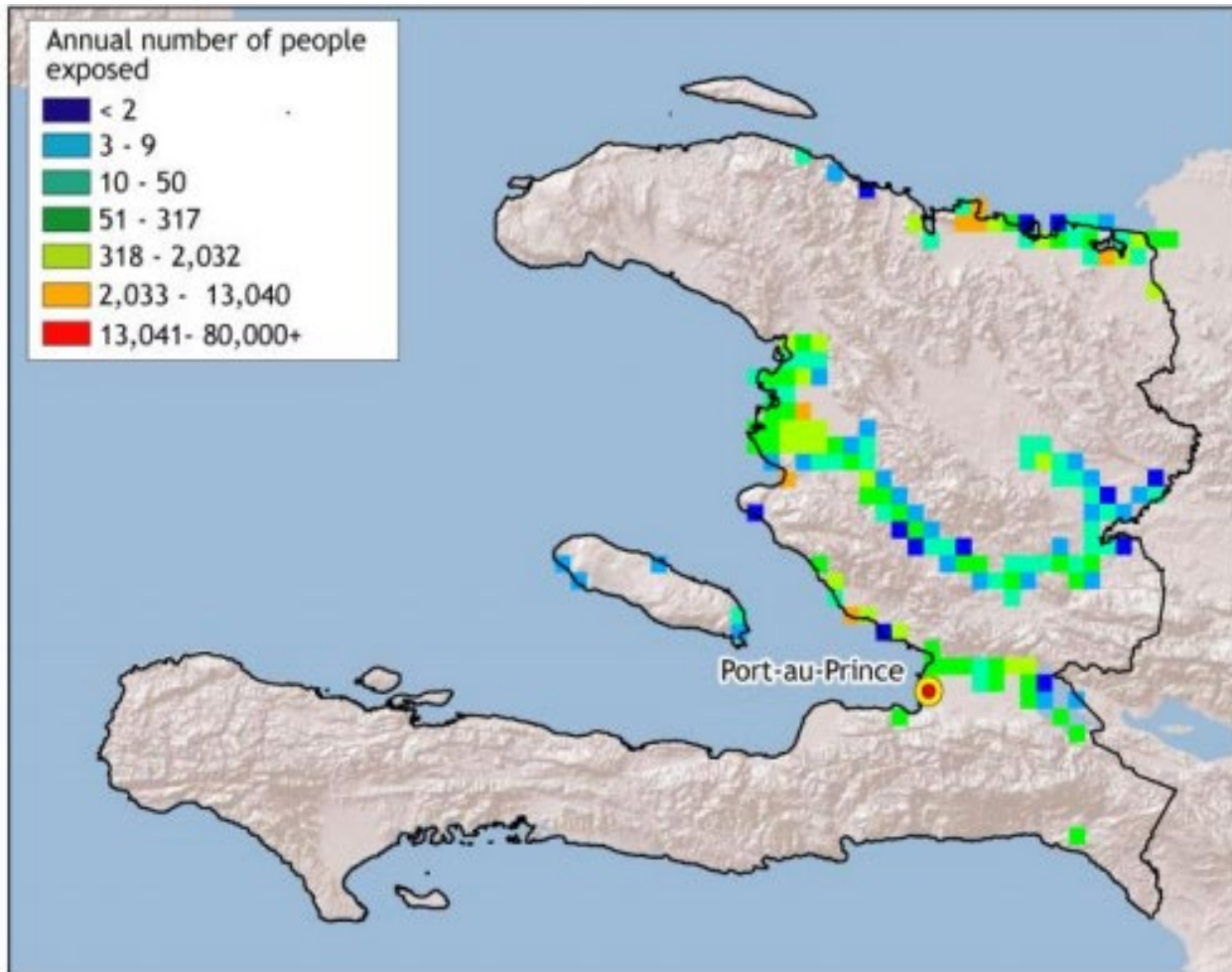


Figure 11: Physical exposure to flooding in Haiti.

### 3.1.4 Description of baseline socio-economic conditions

There are several socio-economic factors which influence the vulnerability of Haitian citizens to climate change, particularly to extreme climate events such as hurricanes and heavy rainfall. These include: i) high levels of poverty and food insecurity; ii) rising urbanisation; iii) limited access to secure water and sanitation facilities; iv) gender inequality; and v) the structure and dynamics of the Haitian economy. These factors will be elaborated on in the following sections.

#### Population dynamics





Haiti has a population of ~11 million people, of which ~51% are women. Despite accounting for more than half the population, Haitian women face numerous systemic barriers to their socio-economic development, including low levels of access to education and public transport and limited disposable incomes. These barriers inhibit women's participation in public life and undermine gender equality. As a result of these challenges, Haiti ranked 150 out of 162 countries on the UNDP Gender Inequality Index in 2018.

The country's population is increasing by ~1% per annum and is projected to reach ~14 million by 2050. The long-term population growth projections assume that national fertility rates will decrease from 2.99 births per woman in 2017 to ~2.5 births per woman by 2025–2030. As a result of the above-average fertility rate and the relatively low life expectancy (~63 years), Haiti has a relatively young population demographic with ~32% of the population under the age of 15, median age of only ~23 years, and a low age dependency ratio (Table 1). In the TR Region, it is estimated that 43% of the population is under 18 years of age, of these 57.3% is estimated to have some level of schooling.

Table 1 below provides a summary of relevant baseline, socio-economic and vulnerability indicators for Haiti.

### Vulnerability of the population

Along with the abovementioned vulnerability to diseases, Haitian communities face an increasing number of development challenges which increase their vulnerability. Classified as a Small Island Developing State (SIDS) and Least Developed Country (LDC), Haiti ranks at a low 169 out of 189 countries on the Human Development Index (HDI) with a score of only 0.503. Haiti's ranking is below the HDI average for low human development group countries (0.507) and considerably below the HDI average for countries in Latin America and the Caribbean (0.759). Development challenges in Haiti may also be exacerbated by ongoing political discontent, which developed in early 2020 when the President Jovenel Moïse began ruling by decree as the terms of many legislators expired.

In addition to developmental and political challenges, Haiti is still recovering from the impacts of several extreme climate events and natural disasters as well as ongoing health risks, including: i) the 2016 Category 5 Hurricane Matthew and the resultant flooding and landslides; ii) a magnitude 7 earthquake in 2010, and iii) a cholera outbreak in 2010. Hurricane Matthew was the first Category 5 hurricane to make landfall in Haiti since 1963, exacerbating cholera outbreaks introduced in 2010 and resulting in increased food insecurity for ~1.4 million people. Approximately 700,000 people's livelihoods were affected by the hurricane, particularly smallholder farmers, small-scale fisherman and herders.

The COVID-19 pandemic is projected to significantly undermine economic growth and social wellbeing in Haiti. An 18% year-over-year decrease in remittances — which represented ~36% of GDP in 2019 — was recorded in March 2020 compared with March 2019, which will significantly impact the economic wellbeing of Haitian households which depend on them. In addition, limited health care provision — traced back to Structural Adjustment Programmes mandated by the International Monetary Fund (IMF) during the 1980s and 1990s — has exacerbated vulnerability to the pandemic: for example, just 62 ventilators were available across the country prior to the first recorded COVID-19 cases.

The rural areas of Trois-Rivières — such as Marmelade, Plaisance, Pilate, Gros-Morne, Bassin Bleu, Chansolme, and Port-de-Paix — are home to 80% of Haiti's population of extremely poor people. These areas have an extreme poverty rate of 40%, which is almost twice the national average of 23.9%, and much higher than any other area (for comparison, Port-au-Prince has an extreme poverty rate of 4.9%). Households within these rural areas areas, are mainly constructed out of wood with sheet metal roofs, demonstrating the vulnerability of construction to flooding and other natural hazards.

In addition, food insecurity in Haiti is most severe in the North-West Department, closely followed by the Artibonite and North Departments, all of which are located in the TR region. (Figure 12). Field visits conducted during the project design identified that rural areas within the TR watershed faced greater difficulty in accessing food than those in urban areas, hence demonstrating a potential for greater food insecurity in project target areas. The project's approach through Outputs 1 and 2 seems particularly relevant as both look to link ecosystem based adaptation to agricultural productivity with a strong focus on food security as part of the project's long term sustainability strategy. Benefit sharing throughout the region and its various stakeholders is an important consideration embedded within the project's approach.

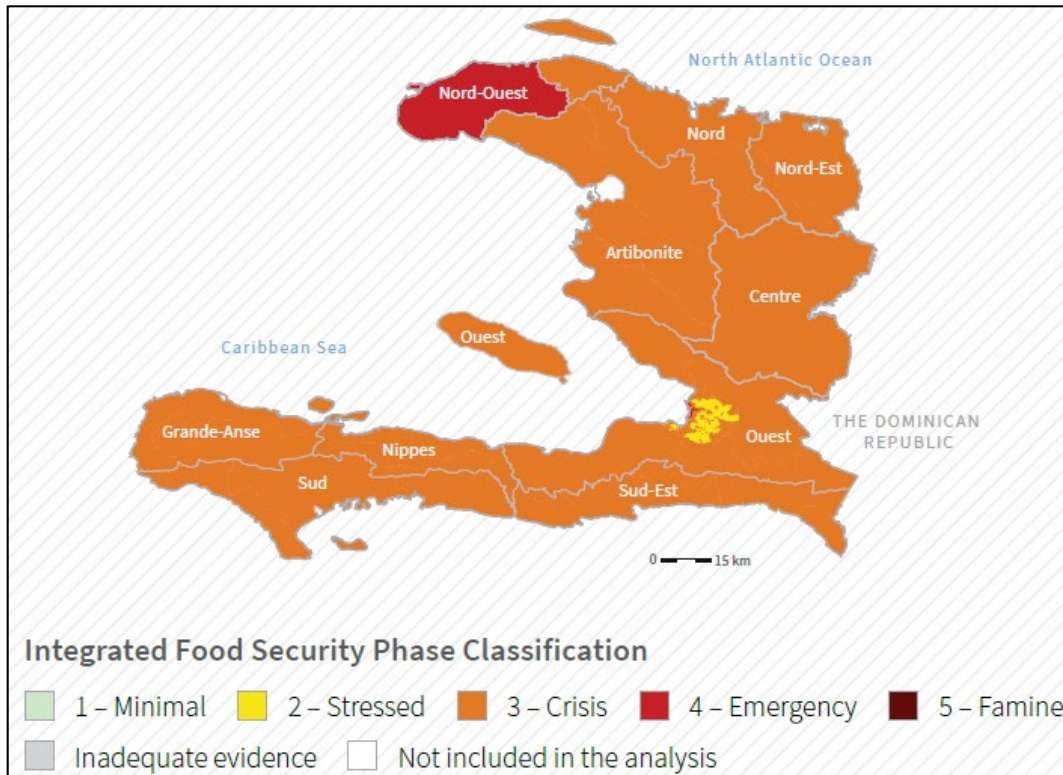


Figure 12: Food Insecurity in Haiti, 2020.

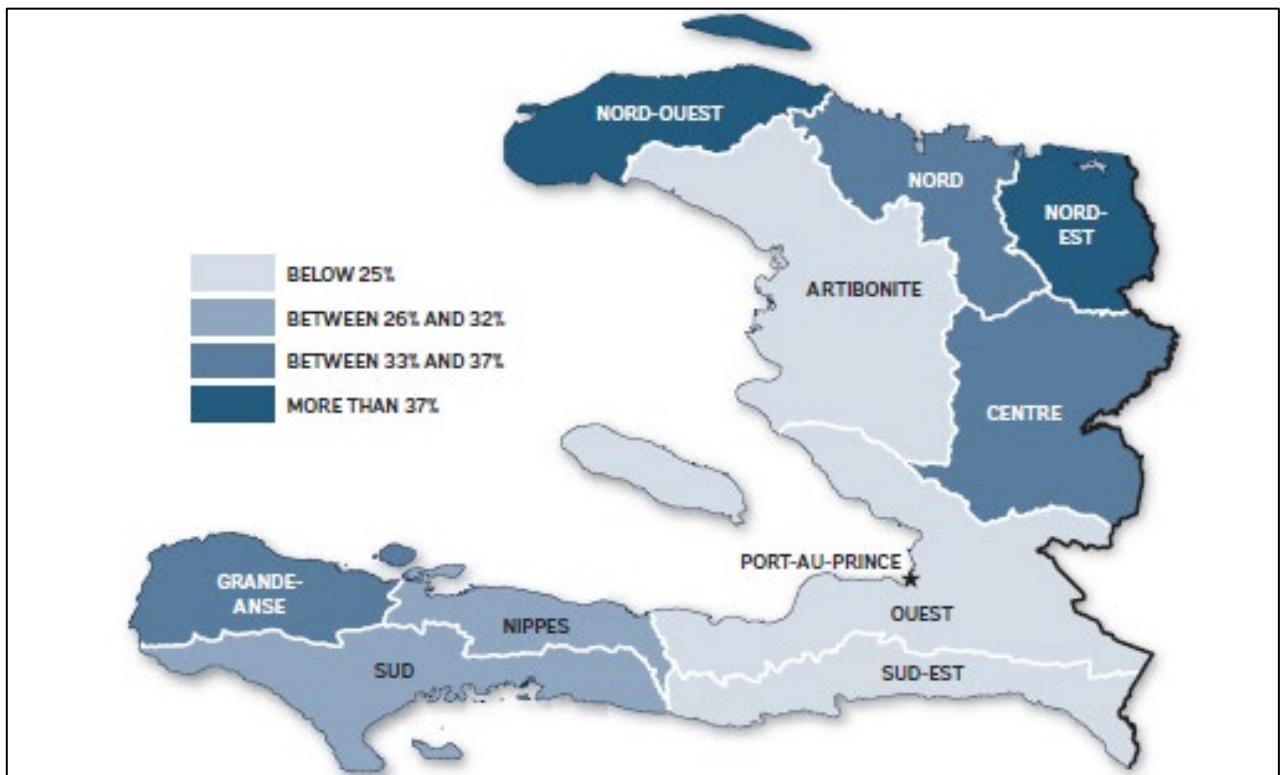


Figure 13: Extreme Poverty Rates in Haiti by Department, 2012.



### Conflict and fragility assessment

The project will be implemented within a national context of an enduring political, security crisis which has impacted government branch functions. The current political crisis can be traced to 2016, when Jovenel Moïse was elected President at the end of a controversial process and with only 21% turnout. However, in the following years, his administration faced challenges in fully addressing economic stagnation and increasing levels of gang violence and kidnappings. In 2021, President Moïse's assassination and an earthquake of an even greater magnitude than that of 2010 pushed the country even further into hardship. Ariel Henry has become the Haitian government's de facto. As of January 2023, the terms of all elected officials have expired as elections have failed to take place since 2016.

Haiti's security crisis caused by gang violence and exacerbated by a weak police and governance response. The country does not experience inter-communal conflict and Haiti's religious and ethnic makeup is not considered to pose a threat to intensifying the gang-based conflict<sup>5</sup>. However, gangs control much of Haiti's territory both benefiting from and exacerbating a lack of a security presence and committing regular crimes against the population, particularly in urban areas. As a result of the increasing number of kidnappings, Haiti's elite are leaving the country. Impunity has made it easier for gangs to expand and the inability of the police to secure the country has led to a violent response from the population to ensure their own security. Recently, the population lynched 13 members of a gang in Port-au-Prince suggesting a rising risk of vigilantism.

Whilst further conflict and fragility assessments will be conducted as part of ESIA/ SESAs, UNDP's baseline assessment is that it is unlikely that project will increase or exacerbate the national-level political or security crisis. At the local level, stakeholder consultation revealed minor tensions in some areas around land tenure. These are described in greater detail below (Section 3.1.7). However, these tensions are not currently considered to be related to inter-community grievances or to issues of identity, ethnicity or religion and so are not considered flashpoints for wider violence or conflict. UNDP does not expect to increase/exacerbate/create conflict through the targeting of beneficiaries, as the Project looks to promote an inclusive community approach based on continuous consultation during the implementation phase. It will also work with stakeholders to ensure that all land and water users in the areas are involved in the Project and have space to share their views and needs while investing in governance mechanisms and ensuring that a robust GRM is in place.

The project is located outside in areas worse affected by violence, which the partial exception of Gros Morne and Bassin Bleu, which are further north from the Artibonite urban area (see Figure 2) where the security situation is particularly fragile. However, the security issue is considered a destabilizing factor that makes the operating context more prone to conflict and increases the risk, although currently low, that the project may inadvertently trigger new and/or existing factors of conflict in certain project sites where social tensions around land tenure (outlined in Section 3.1.7) have been observed. In addition, inequitable and/or improper management of finance flows, control and exploitation over natural resources can exacerbate grievances and illicit economies and create enabling environments for non-state armed groups to grow their influence, for example. Further, it is important to consider that the grand majority of Haiti, including the TR watershed is located within a seismic area where the risk of earthquakes is a continuous presence. Devastating earthquakes have a high risk of worsening crisis situations in Haiti.

To manage these risks and maximise the peacebuilding potential of the project, a proactive approach to conflict sensitivity will be adopted. This will begin with a detailed conflict analysis of project sites (See Guidance in Annex 10) that will be developed as part of the community land use plan process that will map issues and dynamics that bring groups together and divide them, particularly in regards to natural resources, and assess more deeply how the project may interact with local conflict dynamics. The analysis will provide recommendations to tailoring delivery to account for conflict issues, but more broadly will inform the delivery of support to the design of community land use plans. Here the project will take an environmental peacebuilding approach whereby bringing communities together with a common objective on natural

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<sup>5</sup>[Haiti: Conflict Analysis 2023 - Haiti | ReliefWeb](#)



resources management and livelihoods will enable them to not only agree sustainable governance structures but also negotiate compromises around competing visions of land and water use. In practice, this means integrating conflict resolution methodologies into the participatory process of design community plans (as stated above). Further, this experience will help to inform the strengthening of national capacities under Output 3.

### 3.1.5 Capacity assessment and training requirement

Governance of land and water resources, as well as improving the sustainability of agricultural practices, are major capacity barriers that need to be addressed to strengthen the resilience of vulnerable communities in the TR region to the impacts of climate change. Critical conditions needed for the implementation of an effective and efficient resilience strategy for vulnerable populations are the strengthening of governance and technical capacities of institutions and the establishment of appropriate legal frameworks in relation to land and water resources management. A multi-sectoral approach is therefore required to establish an integrated water resource management (IWRM) approach in the TR region. The adoption of such an approach will contribute to the implementation of sustainable agricultural practices, which will concomitantly increase food security and reduce the adverse impacts of climate change-induced flooding on the most vulnerable communities in the region.

Most national and local decision-makers, as well as farmers, are aware of the adverse impacts of climate change-induced flooding on land and water resources in the TR catchment. However, there is limited knowledge on adaptation options for communities, as well as limited awareness surrounding the urgent need for an integrated approach to flood management in the region. Consequently, people in the TR region that rely on farming for their livelihoods are unable to understand the implications of conventional, unplanned agricultural practices on the landscape under climate change conditions. For example, the cultivation of annual crops leaves soil bare during most of the year, resulting in its degradation and erosion caused by extreme weather. This leads to decreased surface cover and reduced infiltration capacity of the soil, subsequently exacerbating the impacts of flooding on the landscape and surrounding communities. Furthermore, profit margins for the farmers within the catchment are small and government budgets are extremely limited. As a result, on-farm decision-making is aimed at sustaining livelihoods in the short term, while government investments do not currently prioritise the long-term sustainability of climate-resilient activities within the catchment. GCF resources supported by government co-financing will, therefore, be used to: i) demonstrate the benefits of implementing an integrated, climate-resilient flood management approach in the region; and ii) strengthen the technical and institutional capacities of national and local decision-makers, farmers, community members, CSOs and association representatives to implement coordinated and planned long-term adaptation interventions. The combined effect of these adaptation interventions will contribute enhanced climate resilience of vulnerable communities in the TR region.

### 3.1.6 Health risks

Inundations from flooding have adverse effects on Haiti's public health and result in: i) the contamination of existing water supplies; and/or ii) the destruction of water supply and sanitation facilities, which reduces water security and results in the increased use of contaminated water. Both impacts enable the spread of waterborne diseases such as cholera. This was demonstrated in the 2010 post-earthquake recovery in Haiti, during which poor access to sanitation and safe drinking water contributed to the 2010 cholera outbreak. Haiti's rural populations are particularly vulnerable to these health risks, as just ~19% of its rural households have access to improved sanitation. In addition, flooding often has a disproportionately negative impact on the health of women and children compared with men, as the former have a higher level of exposure to contaminated water because of gender roles in the home (including women's expected cooking and cleaning duties). If displacement and relocation occur after a flooding event, women and girls also face a greater risk of gender-based violence — including sexual violence. This outcome may be partially attributed to the breakdown of traditional societal protections in the aftermath of a natural disaster.

Flood risk and the associated threat to the health of Haitians who lack access to safe water and sanitation facilities is partially attributable to large-scale deforestation across the TR watershed. In 2014, flood risk in the TR watershed was classified as high in the Artibonite Department, medium-high in the North-West



Department and medium in the North Department. Across the North and North-West Departments, extensive deforestation throughout the shared Grand Riviere du Nord Basin has resulted in a decline in total forest cover in this area (including mixed hardwoods and agroforestry) to ~1% by 1998. This large-scale clearing of forests has been driven by increased cultivation of crops including corn, beans and sorghum on steep slopes, as well as a dependence on charcoal and firewood for energy generation. Deforestation enhances flood risk through driving increasing surface water runoff, which in turn leads to reduced groundwater and aquifer recharge, soil erosion, and a greater incidence and intensity of flooding.

The COVID-19 pandemic is continuing to pose further health risk to many Haitians. During the lockdown phases, Haitian migrant workers and diaspora were returning to Haiti, contributing to increases in the local spread of the virus. Presently, Despite efforts to make the COVID-19 vaccine available and free to all, more than a year after the first doses arrived, Haiti still registers one of the lowest vaccination coverage rates in the world.

By September 2022, 17 countries and territories in the Americas had reached the goal of vaccinating at least 70 percent of their inhabitants. Only 1.9 percent of the Haitian population had received the first two doses of the COVID-19 vaccine, according to the [Pan American Health Organization](#).

Successive political and social unrest, widespread security threats, logistical challenges, an earthquake and reported high levels of hesitancy around the vaccine prevented the Ministry of Public Health and Population (MSPP) from achieving its immunization goals.

The Project includes a dedicated Activity (3.3) to ensure community health monitoring in light of the above analysis. *Activity 3.3: Implement regular monitoring and evaluation of water resources at the catchment and sub-catchment levels to support the implementation of integrated water resources management (IWRM) plans.*

From project inception (Year 1), continuous health monitoring and impact evaluations will be undertaken and will continue throughout the implementation phase. The implementation of EbA solutions under Output 1 of the project are expected to significantly reduce the extent of climate change-induced flooding in the TR watershed and reduce erosion caused by extreme rainfall events. Such reductions in flood extent are also likely to reduce the spread of water- and vector-borne diseases, as contamination of freshwater sources (e.g. rivers) and food is reduced. By monitoring the evolution, frequency and location of flood-related illnesses from the start of the project, the impact of the project can be assessed once a sufficient time series of observations is completed. UNDP will commission an expert to undertake the health monitoring and impact evaluations of the EbA flood management solutions (Sub activity 3.3.1). The World Health Organisation (WHO) will provide technical support to this expert, as they are currently monitoring cases of water- and vector-borne diseases in Haiti and therefore have a pre-defined methodology that would allow comparison studies to be undertaken across watersheds. The contracted expert will undertake a baseline assessment of the prevalence of water- and vector-borne diseases within the TR watershed and analyse the impact of climate change-induced flooding on the spread of these diseases (Sub activity 3.3.2). Following this assessment, the expert will report on her/his findings and provide the required health impact data to assess the health benefits of the EbA interventions implemented under the project. Simultaneously, this expert, assisted by representatives from SCWRUAs, will monitor dry season baseflow at four locations along the main stem of the Trois-Rivières (TR) river. This will be done to provide a stable indicator of the increased infiltration capacity of the soil because of forest rehabilitation and restoration activities to be implemented under Activity 1.2 of the project (Sub activity 3.3.3). The monitoring will facilitate an evidence-based assessment of these EbA solutions as effective measures for reducing the impacts of climate change-induced flooding in the TR watershed and for improving the health of the watershed's population. Finally, lessons generated through the implementation of all project interventions will be shared through the relevant committees and associations at the catchment and sub-catchment levels to inform adaptive management of these interventions under future climate change conditions (Sub activity 3.3.4).

### 3.1.7 Gender equality

Haiti’s long-term economic and democratic development rely on prioritising the protection and empowerment of women. In 2008, the Government of Haiti (GoH) initiated an internal assessment within each of its ministries to move towards a formalized gender policy. Following the internal assessment, the Ministry of Women’s Status and Women’s Rights (MCFDF), with support from UN Women, prepared a national report on the status of gender within the country. The GoH adopted in 2014 and publicly launched on March 8, 2015, the 2014–2034 Policy on Gender Equality and Women’s Empowerment (Politique Egalité HommeFemme: Autonomisation des Femmes).<sup>6</sup>

Although Haiti’s Constitution established several protections for women (including from workplace discrimination and physical and sexual abuse, as well as guaranteeing the right to political participation), in practice, women routinely face exclusion and harassment in their public and private life. Despite this, Haiti has made some progress regarding gender representation, with the 2012 Constitutional amendment instituting a 30% quota for women in all elected and appointed positions at the national level. The 2015 Electoral Decree extended this quota to local councils and political candidates. Unfortunately, the implementation of these amendments has not been effective, and women seeking political office continue to face considerable obstacles, including patriarchal attitudes towards leadership, a lack of financial support, and threats of violence and intimidation. These barriers partially explain the very low political representation of women in Haiti, with women holding just ~3% of seats in Parliament in 2018. Please refer to the Annex VIII – Gender Assessment and Action Plan for the full assessment of Haiti’s gender context.

### 3.1.8 Natural resources and agriculture

Agriculture is the major economic sector in Haiti, contributing to ~20% of its GDP and providing employment for more than 70% of the rural population. Despite this, agricultural production is low — the country imports 51% of its food — because of the sector’s decline over recent decades as a result of neglected rural infrastructure, limited agricultural research and extension, poorly defined land tenure, limited access to credit, and under-investment in human capital. Haiti’s vulnerable production systems are threatened by climate change impacts (such as flooding) which are expected to exacerbate food insecurity in the country, particularly in catchment areas such as the Trois Rivières (TR) watershed located in the northern region of Haiti.

Within the agricultural sector, a large part of the workforce are smallholder farmers, with ~90% of Haiti’s rural employed workforce engaging in a household-owned activity. Nationally, ~78% of all Haitian households engage in agricultural activities with agricultural output consisting largely of cereals: maize is the predominant crop, followed by sorghum and rice. In the TR region, agriculture and livestock dominate the economic activity, with agriculture being defined according to specific micro climates, for example yam, citrus in humid areas such as Plaisance and Pilate; vegetable crops in high altitude areas such as Marmelade; maize, pearl millet, peas in arid areas and bean, banana, maize , potato in semi-arid and irrigated areas.

As stated above, land tenure can be complicated in Haiti. During project consultations and field visits a classification of land tenure was developed within the project’s areas to help guide project interventions and activity level EISAs/ESMPs to avoid the potential for exacerbating conflict. Exclusionary criteria has been included within the project’s framework to avoid changes in land tenure and a conflict analysis will be included within the EISAs/ESMPs that will be developed by the project. Participation in the project will be voluntary and due diligence in compliance with national legislation will be ensured by the project prior to intervention in private lands.

#### **Land tenure in the catchment area of the Trois Rivières**

<b>Commune</b>	<b>Sources of conflict</b>
Bassin Bleu	The rules for land access play a major role in the security of land use and therefore the interest in investing in it. The more the land is seen to be exploited by its owner, the more secure it is perceived to be. On

<sup>6</sup> Haïti Libre (2015, March 8). Haïti – Politique : Lancement de la Politique Egalité Homme-Femme.



	the other hand, lack of investment in the land, can create a sense of uncertainty regarding ownership creating a potential for conflicts. The main sources of conflict are seen from inherited lands where the succession or division is not made at a notary.
Chansolme	There can be conflicts over the same title or deed, the sale of which was contracted twice, or without the consent of all the heirs (in case of inherited land). However the case land courts have competence to rule in favor of one party or the other.
Gros Morne	Properties are usually private. And there are almost no conflicts.
Pilate	Operators are owners in general. But there are also sharecropping and tenant farming systems. The case of joint ownership and the displacement of edges or boundaries are often sources of conflict
Plaisance	Farmers are owners, tenants, sharecroppers, usufructuaries or co-owners. The movement of land edges and pillars is sometimes a source of conflict.
Port-de-Paix	Land conflicts are rare in the part of the Trois Rivières watershed located in the commune of Port de Paix.

### 3.1.9 Charcoal production

The main driver of deforestation across Haiti is charcoal production — also a major economic activity within the TR watershed. Charcoal demand is high in Haiti and unlikely to decrease in the near future because of the slow uptake of efficient cookstoves and alternative cooking fuels such as liquid petroleum gas (LPG). Farmers also resort to charcoal production to supplement their income as a response to low yields, crop failure or unexpected expenses, particularly in extremely wet or dry years. As a result, most of the native forests have been harvested over time with minimal efforts of reforestation.

The general practice of charcoal production in the country is inherently unsustainable. Tree stands are harvested in parcels which creates bare plots within arboreous areas. This alters the micro-climate and hydrology, leading to a decrease in the number of tree species and enhanced tree mortality along forest edges. As a result, ecological fragmentation pushes the remaining forested patches beyond their tipping points, causing their sustained decline and eventual permanent dieback. The consequent increase in flood frequency, erosion and sediment loads, as well as the reduction in base-flow during the dry season, were raised during stakeholder consultations. During these consultations, most of the interviewees noted the contrast between the current hydrological situation compared to pre-1986 when deforestation was less prevalent.

### 3.1.10 Summary of the proposed project

The proposed project will contribute to GCF’s paradigm shift objective of increased climate-resilient sustainable development by enhancing the resilience of Haiti’s Trois-Rivières (TR) watershed to the impacts of climate change-induced flooding. This shift will be achieved by implementing a transformative approach to the way in which the GoH addresses flood impacts. Such an approach involves a shift from the current uncoordinated decision-making around flood management at the national and local levels towards adopting an integrated approach to land and water resources management in the watershed. Specifically, direct investments from the GCF combined with co-financing from the Heifer-funded proposal will be used to: i) implement agroforestry systems and rehabilitate ‘water towers’ through reforestation of degraded landscapes at priority intervention sites ; ii) enhance technical and institutional capacity for productive climate-resilient land management at the national and local levels; and iii) establish the required governance framework for integrated water resources management (IWRM) to support the climate-resilient land management systems and facilitate sustainable use and management of water resources over the long term.





The combined effect of project interventions will result in the adoption and implementation of a climate-resilient, integrated approach to flood management that can be readily scaled up and replicated nationally and across the Caribbean region. The proposed project interventions are listed below.

Output 1. Ecosystem-based flood management solutions implemented in 25,440 hectares of the Trois-Rivières watershed

- Activity 1.1. Strengthen the capacity of community groups, including farmer and women's associations, for climate-resilient land-use planning in seven target communes in the Trois-Rivières watershed
- Activity 1.2. Implement ecosystem-based flood management solutions in the Trois-Rivières watershed

Output 2. Climate-resilient agricultural practices, optimised value chains and social safety nets established to promote SLM and reduce degradation in the Trois-Rivières watershed

- Activity 2.1. Strengthen institutional capacity at the commune, inter-commune and department levels in Haiti's Trois-Rivières watershed for productive and sustainable land-use management
- Activity 2.2. Enhance the technical capacity and access to finance of national and local representatives involved in agriculture in the Trois-Rivières watershed for adopting climate-resilient sustainable land-use practices
- Activity 2.3. Implement a social protection system to support vulnerable households at risk to food insecurity because of climate change

Output 3. Strengthened governance and capacity for climate-resilient integrated water resources management (IWRM)

- Activity 3.1. Strengthen national capacities for the implementation of the Water Act
- Activity 3.2. Develop an integrated, climate-resilient water management governance framework targeting the catchment and sub-catchment levels in the Trois-Rivières watershed
- Activity 3.3. Implement regular monitoring and evaluation of water resources at the catchment and sub-catchment levels to support the implementation of integrated water resources management (IWRM) plan

### 3.2 SUMMARY OF ACTIVITIES

The project activities are listed in Table 1 below with a description and sub-activities.

*See from next page.*

Table 1: Summary of Project Activities

Activity	Description	Sub-activities	Deliverables
<p><b>Output 1</b> <b>Activity 1.1.</b> <b>Strengthen the capacity of community groups, including farmer and women’s associations, for climate-resilient land-use planning in seven target communes in the Trois-Rivières watershed</b></p>	<p>Under this activity, community members and farmer and women’s associations in 33 communal sections within the 7 target communes in the TR watershed (Port-de-Paix, Chansolme, Bassin Bleu, Plaisance, Pilate, Marmelade, Gros Morne) will be trained on climate-resilient land-use management. 118 communities will be reached by these plans and the associated training, which will focus on:</p> <ul style="list-style-type: none"> <li>• the expected impacts of climate change, particularly flooding, in Haiti and the associated consequences of these impacts on the population’s livelihoods;</li> <li>• linkages between land-use and hydrology of the TR watershed, particularly the implications of unsustainable land-use practices on the frequency and intensity of flooding in the watershed;</li> <li>• promoting sustainable, climate-resilient agricultural practices such as slope stabilisation, riparian protection, and contour line farming, as well as the importance of protecting forest areas, as viable options for improving hydrological function of the watershed and reducing flood impacts;</li> <li>• the role of the community in sustainable charcoal production and reforestation, as a strategy for increasing climate resilience in the watershed; and</li> <li>• practical aspects of agroforestry as a climate-resilient livelihood alternative.</li> </ul> <p>The groups of people targeted for training will also be encouraged to participate in the development of the community land-use plans, which will inform this training. The development of these plans will focus on identifying the impacts of climate change, particularly flooding, on the TR watershed and designing appropriate actions for addressing these impacts. Furthermore, farmers will be targeted to receive training on the development of sustainable agroforestry business models that will contribute to both improving livelihood security and enhancing the use of sustainable land-use practices in the TR watershed. To support these capacity-building initiatives, awareness-raising campaigns will be designed and implemented in the seven target communes through city hall meetings and community radio broadcasts. These campaigns will focus on: i) increasing the knowledge of people living in the TR watershed on sustainable land-use practices and promoting the uptake of these practices; ii) encouraging community members to participate in the development of community land-use plans; and iii) raising awareness among people living in the target communes on the impacts of climate change-induced flooding and effective adaptation and landscape management solutions for addressing these impacts.</p>	<ul style="list-style-type: none"> <li>• 1.1.1 Develop 33 community land-use plans.</li> <li>• 1.1.2. Train communities, farmer and women’s associations in the seven target communes on the application of the community land-use plans and implementation of climate-resilient land-use practices.</li> <li>• 1.1.3. Conduct one awareness campaign in each of the seven target communes in Haiti.</li> </ul>	<ul style="list-style-type: none"> <li>• 33 community land-use plans</li> <li>• 20 Trainings delivered in the seven target communes for communities, farmer and women’s associations</li> <li>• Awareness campaigns designed and implemented in the seven target communes</li> </ul>

Activity	Description	Sub-activities	Deliverables
<p><b>Output 1</b> <b>Activity 1.2.</b> <b>Implement ecosystem-based flood management solutions in the Trois-Rivières watershed</b></p>	<p>This project activity will focus on reducing the impacts of climate change-induced flooding in the TR catchment and Port-de-Paix. This will be achieved by implementing 17,740 ha of agroforestry systems and rehabilitating 7,700 ha of forests in priority areas in the watershed. Implementing these EbA interventions will result in a 40% reduction in peak runoff, with rehabilitation interventions, in particular, expected to reduce floodplain extents in the target areas by 20% and 26% under the 20-year and 100-year flood scenarios, respectively.</p> <p>The implementation of agroforestry systems has a particularly high adaptation impact potential because of the provision of ecosystem goods and services (e.g. improved quality and quantity of water, more productive and stable soils, and crop pollination) combined with the creation of alternative livelihood options to unsustainable land uses, such as unregulated charcoal production. All agroforestry activities will also involve extensive engagements with farmer and women’s associations, as well as relevant community representatives and groups, to encourage a progressive and gender-responsive transition towards sustainable agroforestry businesses that are sustainable over the long term.</p>	<ul style="list-style-type: none"> <li>• 1.2.1. Establish 17,740 ha of agroforestry systems in priority areas the TR watershed, including: i) agrisilvicultural systems — which are a combination of crops and trees, such as alley cropping; ii) silvopastoral systems — which combine forestry and grazing of domesticated animals; and iii) agrosilvopastoral systems that combine trees, crops and animals.</li> <li>• 1.2.2 Restore 7,700 ha of forests in priority areas the TR watershed through planting indigenous tree species in degraded areas within the seven target communes.</li> <li>• 1.2.3. Hold 8 engagement workshops with community leaders, farmer and women’s associations to facilitate the implementation of Sub-activities 1.2.1 and 1.2.2.</li> </ul>	<ul style="list-style-type: none"> <li>• 17,740 ha of agroforestry systems established in priority areas the TR watershed, including: i) agrisilvicultural systems — which are a combination of crops and trees, such as alley cropping; ii) silvopastoral systems — which combine forestry and grazing of domesticated animals; and iii) agrosilvopastoral systems that combine trees, crops and animals</li> <li>• 7,700 ha of forests in priority areas the TR watershed reforested</li> <li>• 8 engagement workshops with community leaders, farmer and women’s associations</li> </ul>

Activity	Description	Sub-activities	Deliverables
<p><b>Output 2</b> <b>Activity 2.1</b></p> <p><b>Strengthen institutional capacity at the commune, inter-commune and department levels in Haiti’s Trois-Rivières watershed for productive and sustainable land-use management</b></p>	<p>Under this activity, a capacity needs assessment will be conducted for the agricultural sector to identify the technical and institutional requirements for transitioning the sector from unsustainable land-use practices towards a sustainable landscape management (SLM) approach to land and water resources management that is climate resilient. Capacity will be assessed in six of the seven target communes in the TR watershed. From the capacity needs assessments, opportunities will be identified, and plans made to enhance the management of natural resources and promote the uptake of climate-resilient agricultural practices to increase productivity. To facilitate the uptake of these new sustainable practices, governance mechanisms and frameworks for SLM will be developed in the TR watershed through the establishment of communal development councils. These councils will represent all agricultural sector stakeholders, including smallholder farmers, in the six communes. Additionally, multi-sectoral governance structures will be established to oversee and manage the implementation of interventions designed to address priority areas identified under the capacity needs assessment. Support for the governance structures established will be provided through strengthening the capacity of relevant government entities, including the Ministry of Agriculture, Natural Resources and Rural Development (/MARNDR), National Coordination of Food Security (NCFS) and Ministry of Social Affairs and Labour (MSAL), to implement SLM at the department level. This will enable the adoption of SLM practices to be guided in a manner that is compatible with the effective functioning of the entire watershed and that contributes to enhancing flood management across the TR watershed.</p>	<ul style="list-style-type: none"> <li>• 2.1.1 Conduct capacity gap/needs assessments for the agricultural sector in six priority communes in the TR region.</li> <li>• 2.1.2. Establish communal development councils and multi-sectoral management structures to oversee and manage the implementation of interventions designed to address priority areas identified in Sub-activity 2.1.1</li> <li>• 2.1.3. Train representatives from appropriate government entities, including MARNDR, NCFS and MSAL, on the implementation of climate-resilient agricultural techniques and SLM.</li> </ul>	<ul style="list-style-type: none"> <li>• Capacity needs assessment</li> <li>• Communal development councils established</li> <li>• Trainings for government entities, including MARNDR, NCFS and MSAL, on SLM in the TR watershed</li> </ul>

Activity	Description	Sub-activities	Deliverables
<p><b>Output 2</b> <b>Activity 2.2</b></p> <p><b>Enhance the technical capacity and access to finance of national and local representatives involved in agriculture in the Trois-Rivières watershed for adopting climate-resilient sustainable land-use practices</b></p>	<p>This project activity will increase the technical capacity of farmers to implement climate-resilient agricultural techniques and land-use practices, using the findings from the capacity needs assessments being conducted under Activity 2.1. Specifically, this will be achieved through implementing targeted adaptation interventions in Haiti’s TR watershed to optimise the agricultural value chain and promote the use of climate-resilient agricultural techniques across the sector. Such interventions will include enhancing the transportation of agricultural produce (e.g. by developing agricultural tracks), as well as improving water supply systems (e.g. irrigation and water pumps) to address decreasing water security caused by the impacts of climate change-induced flooding. Infrastructural upgrades will also be undertaken in the form of increasing the storage capacity and quality of post-harvest facilities, as well as establishing local processing facilities for agricultural produce to optimise agricultural production in the watershed. These interventions will be supported by the provision of climate-resilient agricultural inputs (e.g. climate-resilient seed varieties) to vulnerable households that depend on subsistence agriculture for their livelihoods. This will be supplemented by delivering technical skills training on climate-resilient agricultural techniques and SLM to farmers. Specifically, this will involve: i) enhancing their ability to effectively manage and organise irrigation and other associations; ii) facilitating participatory access to agricultural inputs, farming equipment, maintenance facilities; and iii) upskilling of maintenance staff.</p> <p>Strengthening these key elements of the agricultural value chain in Haiti’s TR watershed will not only enhance the climate resilience of agricultural production in the country, but also contribute to increased food security in the watershed by improving market access for farmers and those people who depend on agriculture for their livelihoods. This increased market access will be supported by the establishment of an agricultural finance mechanism under the Agricultural Village Savings and Credit Associations (VSCA). Financing will be made available to smallholder farmers under this mechanism to facilitate their adoption and implementation of sustainable, climate-resilient agricultural practices. These farmers will be able to access financing from this mechanism during and immediately after the impacts of a climate change-related event, such as flooding. This will promote the adoption of more sustainable land-use practices that are resilient to climate change.</p>	<ul style="list-style-type: none"> <li>• 2.2.1. Strengthen the technical capacity of farmers and communities in the seven target communes to implement climate-resilient agricultural practices and SLM.</li> <li>• 2.2.2. Provide climate-resilient agricultural inputs (e.g. climate-resilient seeds and infrastructure upgrades) to households in the TR watershed.</li> <li>• 2.2.3. Enhance access to finance for smallholder farmers through the VSCA.</li> </ul>	<ul style="list-style-type: none"> <li>• Trainings for farmers and communities in the seven target communes</li> <li>• Strengthened agricultural finance mechanism</li> <li>• Climate-resilient agricultural inputs/inputs and/or infrastructure provided to smallholder farmers</li> <li>• 7 storage, processing and post-harvest facilities upgraded</li> </ul>

Activity	Description	Sub-activities	Deliverables
<p><b>Output 2</b> <b>Activity 2.3.</b></p> <p><b>Implement a social protection system to support vulnerable households at risk to food insecurity because of climate change</b></p>	<p>While Activity 2.2 provides a long-term solution to addressing these negative impacts, this activity will provide the required immediate relief to vulnerable people affected by these events, concomitantly reducing further pressure on the environment by providing an alternative option to resorting to unsustainable charcoal production. Specifically, Activity 2.3 will facilitate the development of a social safety net whereby food vouchers will be provided to vulnerable households affected by food insecurity. To determine eligible households for these vouchers, vulnerable households will be identified through a site survey and/or assessment, with their details captured in a database for future reference. Recipients of these vouchers will be able to redeem the vouchers for local produce at selected primary and secondary markets. These vouchers will also serve as a form of currency (or e-voucher), which will provide recipients with purchasing power to exchange the vouchers for specific goods. A total of 148 farmers will be selected to participate in the operation of the food voucher system. Participating farmers will receive training on <i>inter alia</i> hygiene, modalities of exchange and personal security.</p> <p>To support the efficient and effective implementation of the food voucher system, existing VSCAs will receive operational improvements under this activity, supplemented by the creation of 150 new VSCAs in the TR watershed. The VSCAs will provide additional financial support to the voucher system, which will secure its effectiveness as a food relief mechanism. To ensure that this system remains operational throughout the lifetime of the project, a network of village agents will be established, with their primary responsibilities being the monitoring of existing VSCAs and creation of new ones.</p>	<ul style="list-style-type: none"> <li>• 2.3.1. Establish and operationalise a food voucher system in the TR watershed.</li> <li>• 2.3.2. Conduct a site survey/assessment to determine eligible households to receive the vouchers under Sub-activity 2.3.1.</li> <li>• 2.3.3. Engage and train 148 farmers on the implementation of the food voucher system established under Sub-activity 2.3.1.</li> <li>• 2.3.4. Create 150 new VSCAs in the TR watershed to enhance the food security of vulnerable households.</li> <li>• 2.3.5. Establish a network of village agents to monitor existing VSCAs and establish new ones, as well as to monitor market performance contributing to food voucher systems.</li> </ul>	<ul style="list-style-type: none"> <li>• Operational food voucher system in the TR watershed.</li> <li>• Site survey/assessment</li> <li>• Training for 148 farmers on the implementation of the food voucher system</li> <li>• 150 new VSCAs created in the TR watershed</li> <li>• A network of village agents established for the monitoring and establishment of VSCAs</li> </ul>

Activity	Description	Sub-activities	Deliverables
<p><b>Output 3</b> <b>Activity 3.1</b></p> <p><b>Strengthen national capacities for the implementation of the Water Act</b></p>	<p>Under Activity 3.1, provisions will be drafted to the Water Act to ensure that it promotes an integrated approach to water resources management, including considerations for the coordinated development of water, land and related resources. This will contribute towards:</p> <p>i) maximising economic and social welfare in an equitable manner without compromising the sustainability of vital ecosystems under future climate change conditions; and ii) facilitating efficient, integrated adaptation responses to the impacts of climate change in Haiti. Provisions to the Water Act will also recommend the establishment of Catchment IWRM Committees (Committes de GIRE des Bassins Versants, CGBVs) within each of the 31 catchments in the country, and the establishment of Sub-Catchment Water Resource Users Associations (Associations d'Usagers des Ressources en Eau du Sous-bassin versant, or AssURES).</p>	<ul style="list-style-type: none"> <li>• 3.1.1 Draft provisions to Haiti's Water Act for the adoption of an integrated approach to water resources management and implement the act in the TR watershed.</li> <li>• 3.1.2. Establish Catchment IWRM Committees (Committes de GIRE des Bassins Versants, CGBVs) within each of the 31 catchments in Haiti, as per the provisions drafted in Sub-activity 3.1.1.</li> <li>• 3.1.3. Establish Sub-Catchment Water Resource Users Associations (Associations d'Usagers des Ressources en Eau du Sous-bassin versant; AssURES) within the sub-catchments of the 31 catchments in Haiti, as per the provisions drafted in Sub-activity 3.1.1.</li> </ul>	<ul style="list-style-type: none"> <li>• Provisions drafted to the Water Act</li> <li>• 31 Catchment IWRM Committees established</li> </ul>



Activity	Description	Sub-activities	Deliverables
<p><b>Output 3</b> <b>Activity 3.2.</b></p> <p><b>Develop an integrated, climate-resilient water management governance framework targeting the catchment and sub-catchment levels in the Trois-Rivières watershed</b></p>	<p>Under this activity, an inclusive and equitable water management governance framework will be developed for the TR catchment, namely the Catchment Water Resources Management Committee (CWRMC). This committee will work with representatives from productive sectors (e.g. agriculture), land users at sub-catchment level and Sub-Catchment Water Resources User Associations (SCWRUAs) to achieve two main goals. First, these groups will work together to develop climate-resilient IWRM plans for end users at the sub-catchment and catchment levels that promote sustainable water resources management and an equitable distribution of the available resources among all users. The IWRM plans will define roles and responsibilities of institutions and civil society stakeholders for water resources management (complementary to the decentralised management of water resources to be established in the Water Act under Activity 3.1). It will also promote a landscape management approach that will be linked to the implementation of community land-use plans (Activity 1.1), considering gender dynamics. Second, the CWRMC, together with the relevant land users and SCWRUAs, will ensure that the management of water resources in the catchment considers climate change impacts, particularly the expected impacts at landscape level as well as on upstream and downstream flow dynamics. Training on the climate-resilient IWRM plans will also be delivered focusing on the application of these plans in decision-making. The combined result of these actions will be the establishment and operation of an integrated governance framework that will contribute to preserving climate-resilient, sustainable land and water resources management beyond the lifetime of the project. During the implementation of Activity 3.2, considered efforts will be made to securing equitable representation, participation and leadership of women.</p>	<ul style="list-style-type: none"> <li>• 3.2.1. Establish the Catchment Water Resources Management Committee (CWRMC) to manage water resources in the TR watershed.</li> <li>• 3.2.2. Develop climate-resilient IWRM plans for end users at the sub-catchment and catchment levels in a participatory, gender-responsive way with representatives from CWRMC and productive sectors (e.g. agriculture), land users and Sub-Catchment Water Resources User Associations (SCWRUAs).</li> <li>• 3.2.3. Promote a climate-resilient, integrated landscape management approach in the TR watershed that considers gender dynamics, using the community land-use plans (Activity 1.1).</li> <li>• 3.2.4. Train the CWRMC (established under Sub-activity 3.2.1) and representatives from productive sectors (e.g. agriculture), land users and Sub-Catchment Water Resources User Associations (SCWRUAs) on the application of climate-resilient IWRM plans in decision making.</li> </ul>	<ul style="list-style-type: none"> <li>• Catchment Water Resources Management Committee (CWRMC) established</li> <li>• Climate-resilient IWRM plans</li> <li>• Promotion of climate-resilient, integrated landscape management approach in the TR watershed</li> </ul> <p>Trainings delivered to the CWRMC (established under Sub-activity 3.2.1) and representatives from productive sectors (e.g. agriculture), land users and Sub-Catchment Water Resources User Associations (SCWRUAs)</p>

Activity	Description	Sub-activities	Deliverables
<p><b>Output 3</b> <b>Activity 3.3</b></p> <p><b>Implement regular monitoring and evaluation of water resources at the catchment and sub-catchment levels to support the implementation of integrated water resources management (IWRM) plans</b></p>	<p>From project inception (Year 1), continuous health monitoring and impact evaluations will be undertaken and will continue throughout the implementation phase. By monitoring the evolution, frequency and location of flood-related illnesses from the start of the project, the impact of the project will be assessed once a sufficient time series of observations is completed. UNDP will commission an expert to undertake the health monitoring and impact evaluations of the EbA flood management solutions. The World Health Organisation (WHO) will provide technical support to this expert, as they are currently monitoring cases of water- and vector-borne diseases in Haiti and therefore have a pre-defined methodology that would allow comparison studies to be undertaken across watersheds. The contracted expert will undertake a baseline assessment of the prevalence of water- and vector-borne diseases within the TR watershed and analyse the impact of climate change-induced flooding on the spread of these diseases. Following this assessment, the expert will report on her/his findings and provide the required health impact data to assess the health benefits of the EbA interventions implemented under the project. Simultaneously, this expert, assisted by representatives from SCWRUAs, will monitor dry season baseflow at four locations along the main stem of the Trois-Rivières (TR) river. This will be done to provide a stable indicator of the increased infiltration capacity of the soil because of forest rehabilitation and restoration activities to be implemented under Activity 1.2 of the project. The monitoring will facilitate an evidence-based assessment of these EbA solutions as effective measures for reducing the impacts of climate change-induced flooding in the TR watershed and for improving the health of the watershed’s population. Finally, lessons generated through the implementation of all project interventions will be shared through the relevant committees and associations at the catchment and sub-catchment levels to inform adaptative management of these interventions under future climate change conditions.</p>	<ul style="list-style-type: none"> <li>• 3.3.1. Commission an expert to undertake the health monitoring and impact evaluations of the EbA flood management solutions (Activity 1.2), supported by WHO.</li> <li>• 3.3.2. Undertake a baseline assessment of the prevalence of water- and vector-borne diseases — as well as monitor dry season baseflow — within the TR watershed, assisted by local representatives from SCWRUAs.</li> <li>• 3.3.3. Assess the effectiveness of EbA interventions (Activity 1.2) in reducing the spread of water- and vector-borne diseases.</li> <li>• 3.3.4. Generate lessons through the implementation of all project interventions and disseminate these lessons through the committees and councils established under Outputs 2 and 3.</li> </ul>	<ul style="list-style-type: none"> <li>• Expert contracted to undertake the health monitoring and impact evaluations of the EbA flood management solutions</li> <li>• Baseline assessment of the prevalence of water- and vector-borne diseases within the TR watershed</li> <li>• Assessment of the effectiveness of EbA interventions (Activity 1.2) in reducing the spread of water- and vector-borne diseases.</li> <li>• Workshops for the generation and dissemination of lessons learned</li> </ul>



## **4 APPLICABLE LEGAL AND INSTITUTIONAL FRAMEWORK**

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This section provides a preliminary review of the applicable policy, legal and institutional framework related to the potential risks and benefits of the implementation of the proposed activities. It includes a brief review of applicable national legislation, policies and regulations; applicable international agreements; and the UNDP SES.

### **4.1 LEGAL FRAMEWORK**

The following legislations are relevant to the project:

#### **4.1.1 Constitution of Haiti (1987)**

The 1987 Constitution of Haiti addresses Haiti's roles and responsibilities towards the country's natural resources through its Articles 253-258. Article 253 addresses conservation, stating that "since the environment is the natural framework of the life of the people, any practices that disturb the ecological balances are strictly forbidden". Regarding agricultural policy, Articles 245–252 address its economic importance, while Article 257 recognises agriculture as integral to the wellbeing of Haiti's population, as well as its socio-economic progress. The above-mentioned articles, particularly Articles 253–258, are indicative of the alignment of the proposed project impacts to the constitution. The proposed project focuses on enhancing climate-resilience in the Trois-Rivières (TR) region of Haiti, which will contribute to fulfilling the responsibilities outlined in the constitution.

#### **4.1.2 The Decree of 07 July 1987**

The use of fuel wood in Haiti is regulated by this decree, which defines procedures for applying for authorization to cut trees, as well as imposes the requirement to create wooded perimeters in populated rural areas. The decree also specifies control measures for the transport of firewood and charcoal (made from firewood), and establishes penalties and fines to prevent possible violations.

#### **4.1.3 Presidential Decree on Environmental Management (2006)**

Haiti's Presidential Decree on Environmental Management was established in 2006 to outline the roles and responsibilities of various stakeholders in Haiti's environmental management. Through this decree, authority over forest management and water resources was transferred from the Ministry of Agriculture, Natural Resources and Rural Development (MARNDR) to the Ministry of Environment (MoE), further outlining MoE's environmental management responsibility. The objectives of the proposed project, together with proposed interventions to improve the resilience of ecosystems, align with and contribute to the objectives outlined in the decree.

The decree's objectives are listed as follows:

- Prevent and anticipate actions that may negatively affect the quality of the environment and ensure harmony between the environment and development.
- Enable close and permanent monitoring of pollution and degradation and mitigate their adverse effects on the environment and human health.
- Promote the protection and expansion of forest and agro-forest cover, particularly on sloping terrains.
- Strengthen the National System of Protected Areas (NSPA) and the conservation of Haiti's biological diversity.
- Develop policies for the development and restoration of damaged ecosystems, as well as for the improvement of the living environment.
- Encourage sustainable use of natural resources and renewable energy technologies.
- Develop a national culture of environmental protection and restoration through education and awareness raising.
- It recognizes the environment as national heritage and that environmental management and development are linked. Regulations for sustainable development are also addressed



in this decree, which designates citizens, civil society, local authorities and the state as responsible for environmental protection.

Articles of note in this decree include laws on:

- Water resources and flow regulations in Articles 112, 114 and 118;
- On the use of Agrochemicals and pesticides in Articles 99, 122, and 125;
- Related to logging in Articles 2, 102, and 103;
- On Risk and disaster management in Articles 148, 149, 150 and 151;
- And to Irrigation, erosion, soil compaction, noise and vibration in Articles 100 and 101.
- Protected Areas are addressed in Articles 48-55, Chapter III
- Environmental surveillance In Chapter V, Articles 56-61.
- It contains a specific Chapter dealing with Biological Diversity (art 135 – 139). The latter decree also stipulates the requirements for the Protected Areas of the National Protected Area System, which are :
  - In situ protection of biodiversity;
  - Integrated protection of certain threatened ecological systems, landscapes and/or cultural values with regards to biodiversity;
  - Protect watersheds, aquifers and reduce vulnerability to flood risks ;
  - Contribute to the education and sensitization of the population to the beauty of nature and historic or cultural good, the fragility of ecosystems and the necessity to conserve its values;
  - Encourage scientific research and knowledge about biodiversity and/or its cultural values;
  - Valorize the biogenetic resources and facilitate access of denizens to these resources.

The decree defines the MoE as the authority presiding over all environmental policy in Haiti, with requirements of inter-ministerial coordination and with local governments. It also grants the Ministry the right to declare eroded land as inappropriate for agriculture and specifies the transfer of power between the MARNDR and MoE over water and forest resource management.

The decree creates the National System of Environmental Assessments to ensure good environmental standards and social practices for projects and policies. It also defines The National Bureau of Environmental Assessments (*Bureaux Départementaux d'Évaluation Environnementale*, BNEE), which was established in 2015 and is responsible for environmental analysis and project evaluation. Projects or activities that may have an impact on the environment are considered from Article 56 to Article 61 of Chapter IV of the Decree.

Article 56 defines the environmental assessment process and covers the Environmental Impact Statement, environmental permits and audits. Article 61 defines the MoE as the operating entity and specifies the right of any private or legal person to appeal environmental sanctions by administrative or judicial means.

#### 4.1.4 Decentralization Decree, 2006 (part of previous decree)

This decree aims at empowering local governments, delegating them with the authority to address certain environmental issues (Chapter III). It specifies that it is the duty of sections, communes, and departments to enforce logging prohibitions, protect watercourses, control pollution, and regulate livestock farming. Communes are responsible for elaborating resource management plans and building dams are reservoirs, while departments are responsible for monitoring facilities, verifying impact studies and establishing protected areas.

#### 4.1.5 Rural Code, 1962

The Dr. François Duvalier Rural Code (1962) is still the main legal instrument in Haiti with respect to environmental protection and natural resource management, regulating a range of sectors, including water, soils/farming and forests. The rural code also specifies laws regarding access, creation and division of land, as well as the rules for the transfer of property through inheritance.



### 4.1.6 Labour Code, 1961

The Haitian Labour Code is in line with the standards established by the International Labour Office (ILO). It defines the various employment contracts and working conditions, deals with labour disputes, trade unions, the control of workplaces and labour courts. It was updated in the Decree of 24 February 1984 and the Law of Thursday, 5 June 2003.

### 4.1.7 Decree of 03 September 1979

This decree defined the national compensation procedures and terms of indemnification for land and property expropriations. The Directorate General of Taxes (DGI) is deemed responsible to pilot the economic assessment and compensation procedures for land and other structures located in the purview of a project's right-of-way. Firstly, a "Declaration of Public Utility" is made, whereby property owners are required by the state to deposit their land or holdings title at to the DGI.

Although according to the decree, people without land or property title are not officially eligible for compensation, the state considers its decision according to "humanitarian concern" in order to compensate those people without title. It should be note that this provision however only applies to structures or buildings (for example domestic dwellings) but not to the land occupied. In regards to compensation of revenue lost from agricultural production located in right of way of proposed construction or state use, the total area of holdings is taken into account to determining the compensation amount.

### 4.1.8 National land tenure legislation (1987)

Current institutional frameworks for land tenure administration in Haiti were formalized in the 1987 Constitution, in Article 36, while the Rural Code (1962) specifies rules for the creation, division and inheritance of land. Currently, legislation for land tenure is under reform, with a number of Law projects having been initiated by CIAT.

The 1964 decree specifies divisions of land that is in the public and private domains, with special laws and police regulations subject to each. Expropriation for reasons of public utility may take place by means of payment or consignment ordered by court, and the right to a fair and preliminary compensation fixed is specified.

### 4.1.9 National Policy to Combat Climate Change (2019)

The main objective of Haiti's National Policy to Combat Climate Change (PNCC) is to contribute to the well-being of the population through an economic development process that is: i) inclusive; ii) climate-resilient; and iii) focused on using renewable energy sources available in the country.

Specific objectives of this policy are to:

- considerably reduce climate change-related damages to the country's strategic sectors;
- reduce or avoid at least 5% of GHG emissions in the energy and AFOLU (Agriculture, Forestry and other land use) sectors;
- build the capacity of public and private sectors' stakeholders for climate change mitigation;
- integrate climate change considerations into national, regional and local development planning and budgeting;
- create an enabling environment for wealth creation and economic activities' diversification to increase Haiti's GDP compared to a business as usual scenario;
- enable financial mobilisation to adapt to climate change; and
- encourage more coordination between institutions.

The proposed project focuses on increasing the climate resilience of the most vulnerable communities (including farmers) in the TR region of Haiti, which contributes to achieving the PNCC's abovementioned objectives on addressing climate change impacts.

### 4.1.10 Haiti's Initial (First) and Second National Communications on Climate Change to UNFCCC (2001 and 2013)





Haiti's Initial and Second National Communications (INC and SNC) to the UNFCCC highlights priority areas to address the impacts of climate change in Haiti. These priority areas include: i) implementing climate-resilient solutions to reduce the vulnerability of communities, as well as major economic sectors (such as agriculture), to climate change-induced flooding; ii) promoting the adoption of integrated land and water resources management; and iii) strengthening cohesion between existing and planned integrated resource management initiatives to ensure best practices are applied to the development of climate change projects and programmes. The proposed project promotes the adoption of integrated land and water resources management combined with the implementation of ecosystem restoration interventions to reduce the impacts of climate change-induced flooding, which contributes to the INC and SNC's adaptation action areas.

#### 4.1.11 Nationally Determined Contribution (2015)

Despite being one of the lowest emitters of greenhouse gases (GHG) globally, Haiti has committed to reducing their GHG emissions by 31% by 2030, compared to a business as usual scenario. To complement the mitigation activities in Haiti, four key adaptation priorities were identified in the country's NDC, namely: i) promoting integrated water resources and watershed management; ii) integrated coastal zone management and infrastructure rehabilitation; iii) preserving and strengthening food security; and iv) information dissemination, education and awareness raising. The proposed project's aim to enhance climate-resilient land and water resources management, as well as implementing ecosystem-based adaptation (EbA) solutions to reduce the impacts of flooding, contributes to the NDC's adaptation priorities.

#### 4.1.12 National Environmental Action Plan (1999)

Haiti's National Environmental Action Plan (NEAP) was established to guide the country's environmental management for the period 2000–2015. The NEAP's priorities include: i) reducing poverty; ii) regulating natural resources exploitation; iii) reducing desertification; and iv) providing a framework to improve prevention and responses to climate risks that lead to disasters. Through its agroforestry, reforestation and IWRM interventions, the proposed project is aligned with the priorities of the NEAP.

#### 4.1.13 National Action Plan for Integrated Management of Watersheds and Coastal Areas (2001)

The National Action Plan for Integrated Management of Watersheds and Coastal Areas (IMWACA) in Haiti was established in 2001 to develop and implement initiatives to restore degraded watersheds and coastal areas. Representatives from MoE and MARNDR were engaged as stakeholders to develop the following four strategic focus areas of this plan:

- the restoration of coastal ecosystems and associated watersheds;
- the creation of a new institutional and legal framework to address the integrated management of watersheds and coastal areas;
- the reduction of communities' vulnerability to natural disasters; and
- the establishment of transboundary cooperation on the integrated management of watersheds and coastal areas with the Dominican Republic.

The implementation of the proposed project will promote the rehabilitation and restoration of Haiti's TR region, therefore contributing to the strategic areas put forward in the IMWACA National Action Plan.

#### 4.1.14 National Adaptation Programme of Action (2006; 2017)

Haiti's National Adaptation Programme of Action (NAPA) was developed in 2006 (and revised in 2017) to determine the country's most climate-vulnerable and inform the prioritisation of adaptation solutions in the country. Based on the 2006 NAPA, the following adaptation priorities were identified, the: i) watershed management and soil; ii) coastal zones management; iii) promotion and preservation of natural resources; iv) improvement of food security; v) protection and conservation of water resources; vi) construction and rehabilitation of infrastructure; vii) improvement of waste management; and viii) increasing awareness of climate change through education.

The revised National Adaptation Programme of Action (NAPA), developed in 2017, identified four priority areas for addressing the impacts of climate change — namely, soils, agriculture, coastal zones and water resources. Focus was placed on these areas because they were identified as the most vulnerable to the impacts of climate change such as flooding, hurricanes and tropical storms. Addressing these negative impacts will contribute considerably to climate-resilient sustainable development in Haiti. The proposed

project will align with the 2006 and 2017 NAPA by implementing climate-resilient interventions in Haiti's TR region, including by using an integrated approach to land and water resources management.

### 4.1.15 Strategic Development Plan of Haiti (2012)

The Strategic Development Plan of Haiti (SDPH) provides a long-term development and economic reconstruction plan for the country after the 2010 destructive earthquake. The plan comprises four project areas, namely: i) territorial; ii) economic; iii) social; and iv) institutional refoundation. The proposed project aligns specifically to the territorial refoundation project area. The relevant programmes under territorial refoundation include:

The environmental programme. This programme prioritises: i) mainstreaming climate change considerations into planning and awareness-raising initiatives at the national and local level; ii) establishing a network of protected areas; iii) restoring degraded ecosystems; and iv) ensuring sustainable management and use of forests.

The watershed programme. This programme prioritises: i) protecting watersheds by using reforestation plans based on agro-ecological zoning; ii) constructing flood regulation structures; and iii) reducing the environment as well as Haitian communities' vulnerability to storms.

### 4.1.16 Action Plan for Water Resources Management in Haiti (1999)

The Action Plan for Water Resources Management (APWRM) in Haiti highlights the need for: i) reforms and legal frameworks in the water sector; ii) capacity building among policymakers and water users; and iii) recognition of the economic importance of water resources as well as the need for integrated management of these resources. A 2018 review of the 1999 Action Plan noted gaps in the country's capacity for implementing IWRM because of: i) limited knowledge on IWRM; ii) the unavailability of management instruments for IWRM; and iii) limited finance for the efficient implementation of IWRM interventions. The proposed project contributes to the long-term objectives of the APWRM and specifically addresses the gaps identified in the 2018 APWRM review through the implementation of IWRM activities under Output 3.

## 4.2 INSTITUTIONAL FRAMEWORK

### 4.2.1 The Ministry of Environment

The mandate of Haiti's MoE is to develop and establish appropriate measures for the country's environmental protection and management. This includes strengthening the management and conservation of forests and parks, as well as the necessary legal frameworks for these activities. The MoE is also responsible for developing the necessary policy and planning documents that guide the development and implementation of climate change programmes, including the PNCC and NAPA (see Section 5.1 of the Feasibility Study). Moreover, the MoE serves as the national focal point for climate change-related matters and obligations under the UNFCCC. Although the MoE plays an important role in environmental protection and management as well as addressing climate change impacts in Haiti, their management and technical expertise to do so efficiently and effectively is limited. For example, the MoE is centralised, with limited human and financial capacity to fulfil tasks in departments and communes.

### 4.2.2 The Ministry of Agriculture, Natural Resources and Rural Development

The Ministry of Agriculture, Natural Resources and Rural Development (MARNDR) develops policies related to agriculture, animal husbandry, natural resources and rural development. Their mandate further includes: i) improving production systems; ii) training of farmers through extension services; iii) enabling agricultural market access; and iv) enabling job creation. Within MARNDR, there are numerous specialised departments such as the National Meteorological and Hydrological Service, National Service for Water Resources and National Care for Meteorology departments, which collectively assume a technical advisory role.

### 4.2.3 The Ministry of Public Works, Transport and Communication

The Ministry of Public Works, Transport and Communication (MTPTC) is the Haitian government's legislative policy and regulatory agency for: i) public works; ii) transport; iii) communications; iv) drinking waters; and v) energy. The MTPTC is primarily responsible for: i) management of public physical infrastructure, including urban and rural amenities, as well as drinking water supply systems; ii) establishing town planning regulations and technical building standards; and iii) regulating provisions of services provided by private and public entities. Although the MTPTC's role is essential to the water sector — particularly ensuring access to safe drinking water and sanitation services, the ministry has limited financial capacity to fulfil its mandate. These include implementing regulatory frameworks, facilitating the decentralisation of water supply management, coordinating donor assistance and regulating water service providers. This limitation is further highlighted in its sub-departments, particularly the National Directorate for Water Supply and Sanitation (DINEPA), which strongly relies on financial assistance from NGOs and international development agencies to fulfil their respective mandates.

### 4.2.4 The Inter-Ministerial Committee for Regional Planning

The Inter-Ministerial Committee for Regional Planning (CIAT) was established following the Prime Minister's decree in 2009. Its mission is to develop policies related to: i) land use planning; ii) protection and management of watersheds; iii) water management; iv) sanitation; and v) town planning. CIAT's responsibilities further include: i) coordinating and harmonising government actions; ii) ensuring the revisions of legal, regulatory and institutional frameworks of regional planning; iii) guaranteeing provision of the necessary human, technical and financial resources; and iv) managing activities which contribute to the overall mission. Although CIAT is mandated to ensure the alignment of institutions and actions to address environmental degradation, it experiences human capacity limitations, resultantly making it centralised.

### 4.2.5 The Ministry of Women and Women's Rights (MCFDF)

The MCFDF is tasked with ensuring that signed agreements and conventions (domestic and international) are implemented, as part of its broader mission to guide the formulation, implementation, and enforcement of equitable public policies. Recently, the adoption of the Gender Equality Bill as well as the implementation of the National Plan for Gender Equality and the National Plan for the Fight Against Gender Equality (2017), attests to Haiti's continued efforts to protect the rights of women. The ministry's operations are divided across four areas: Women's Rights Promotion Directorate (DPDDF), Gender Analysis Directorate (DPAG), the Directorate of Administrative Affairs (DAF), and Direction of coordination of the departmental offices.

MCFDF representatives (or Gender Focal Points/ Point Focal genre) are in place across ministries and state structures to coordinate and collaborate on women's rights and gender equality in the public sphere. Notably, a key function of this department is the production of national gender analyses and awareness-raising and training activities. However, the MCFDF faces insufficient budget allocation, as well as limited human resources and technical capacities to carry out its intended mission, while a lack of regulation for the functioning of this strategic institution means that its level of authority and influence in orienting governance activities is weak.

### 4.2.6 The Office for the Fight against Violence Against Women (Bureau de Lutte contre la Violence Faite aux Femmes)

Created in 2014, it brings together three ministries (Women's Rights, Health and Justice) was created. Its management is formalized according to a Protocol signed by the three ministries. The Office is a public service office offering support and quality care to women and girls who are victims of specific violence and ensuring access to information and quick response to cases.

### 4.2.7 The National Centre for Geospatial Information

The National Centre for Geospatial Information (CNIGS) was established in 2005 and is a semi-autonomous entity under Haiti's Ministry of Planning and External Cooperation (MPCE) — which forms a part of the Prime Minister's Cabinet. It is responsible for Haiti's geographical information systems technology and services, further serving as a repository for the geospatial data of the country. Although not formally mandated to collect hydrological and meteorological data, CNIGS manages 24 automatic



meteorological stations that were provided by the European Union (EU) and is considered a reliable and effective technical partner in data management by national and international agencies.

### 4.2.8 Civil Society Organisations focused on addressing climate change

Civil Society Organisations (CSOs) in Haiti play a vital role in raising awareness on inter alia: i) environmental degradation; ii) challenges and impacts of climate change; iii) food insecurity; and iv) the role of climate finance in increasing the climate resilience of the country's population and major economic sectors, including agriculture. In Haiti, CSOs are particularly important partners in the design and implementation of development projects and programmes. Below is a list of CSOs which, in addition to being most noteworthy in Haiti, were involved in the stakeholder consultation and project design processes for the proposed GCF project.

#### 4.2.8.1 *The Research and Technological Exchange Group (GRET)*

GRET is an international development NGO governed by French law, which primarily focuses on the following areas: i) agriculture; ii) water and sanitation; and iii) natural resources and energy. Their experience includes operating as an implementing partner on a project entitled 'Improving food and nutritional quality and access to social protection in the Trois-Rivières watershed' which focuses on improving livelihood resilience, particularly to climate change. Through this project, GRET has collaborated with various public institutions and local authorities, particularly in the Artibonite and North-West Departments. As a partner institution of the proposed project, GRET's work experience and presence in the TR region will be particularly valuable to the delivery of project interventions.

#### 4.2.8.2 *Heifer International*

Heifer International is an American development NGO which has been operating in Haiti since 1999. Their work focuses on: i) economic development; ii) environmental sustainability; iii) food security and nutrition; iv) risk mitigation and resilience; and v) women's empowerment and social capital. Heifer has partnered with several national- and local-level Haitian institutions, including MARNDR and MPCE. Through these partnerships, Heifer works to improve food security and strengthen water resource governance in the North-West and North-East Departments by promoting integrated water resource management (IWRM). Given their technical expertise and extensive work experience in Haiti, Heifer is well-placed to contribute to the implementation of the proposed project interventions. These include adopting and implementing an integrated approach to water resources management in Haiti as an effective response to climate change-induced flooding in the TR watershed.

#### 4.2.8.3 *Protos (Join for Water)*

Protos is a Belgian development NGO that focuses primarily on improving water access, use and management, particularly by using an integrated approach to water resources management. In the North-West Department of Haiti, Protos' work includes: i) rehabilitating and expanding drinking water infrastructure; ii) training in water use and management; and iii) training and increasing awareness on effective hygiene practices. Protos furthermore aims to improve food security for the inhabitants of the TR region, together with GRET and Heifer International.. Moreover, our project interventions strongly align with Protos' mission in the TR region of the country.

#### 4.2.8.4 *The Haitian Civil Society Platform on Climate Change*

The Civil Society Platform on Climate Change (PSC-CC) of Haiti was established to mainstream climate change considerations into relevant public policies in Haiti. In line with its mandate, PSC-CC's objectives include: i) strengthening coordination among stakeholders involved in the mainstreaming process; and ii) promoting the participation of women in decision making and mainstreaming gender-responsive adaptation measures into policy. PSC-CC's objectives and efforts to mainstream climate change considerations into the relevant legal frameworks are well-placed in assisting the proposed project interventions to strengthen governance and capacity for climate-resilient IWRM.

#### 4.2.8.5 *Welt Hunger Hilfe Haiti (Agro Action Allemande)*

Welt Hunger Hilfe is a German aid organisation with a global focus on the achievement of Sustainable Development Goal 2: Zero Hunger. Their work in Haiti includes preserving watersheds in the North Department through soil conservation. In addition, Welt Hunger Hilfe aims to improve the climate resilience



of rural communities in the Caribbean Biological Corridor by implementing EbA. Welt Hunger Hilfe's technical expertise specialises in inter alia: i) increasing agricultural production with integrated watershed resources management; ii) providing humanitarian assistance and disaster preparedness; iii) improving water and sanitation and health services and systems. This expertise is indicative of the alignment of the proposed project and Welt Hunger Hilfe, particularly in improving the climate resilience of communities through integrated watershed resources management.

#### 4.2.8.6 *Société Audubon Haiti*

The Société Audubon Haiti (SAH) is a local non-profit foundation established to contribute to the protection and restoration of Haiti's natural ecosystems. They contribute to conservation by collaborating with relevant partner institutions on scientific research to inform these institutions' awareness-raising campaigns and conservation strategies, including: i) developing Important Bird Areas (IBA) and Key Biodiversity Areas (KBA); ii) assisting the GoH with determining potential protected areas; and iii) supporting legislation aimed at conserving Haiti's natural environment. SAH is well-placed to support the interventions of the proposed project, particularly in rehabilitating and restoring the ecosystems in the TR region.

#### 4.2.8.7 *Friends of the Earth International*

Friends of the Earth International (FOEI) is a global environmental network of 73 national member groups and ~5,000 local activist groups. Located in this network is Haiti Survie, an environmental organisation that works closely with farmer organisations to address climate change impacts and land degradation by implementing EbA and sustainable agriculture solutions in the country.

Their mission includes:

- halting and reversing environmental degradation and depletion of natural resources;
- nurturing ecological and cultural diversity and enabling sustainable livelihoods;
- empowering local communities, with a focus on the most vulnerable groups (particularly women agricultural workers/associations), by encouraging public participation in decision making; and
- collectively ensuring environmental and social justice, human dignity, and respect for human rights.

The objectives of the proposed project align with the mission of FOEI to address the impacts of climate change and degradation on vulnerable communities.

#### 4.2.8.8 *Helvetas*

Helvetas is a Swiss development organisation — with an operational branch in Haiti — committed to improving the livelihoods of disadvantaged and vulnerable communities. The organisation's work focuses primarily on disaster risk management, sustainable and inclusive economies, water supply, and gender and social equity. In Haiti, Helvetas' work includes: i) supporting access to clean and safe drinking water and sanitation facilities; ii) advocating against deforestation; and iii) promoting sustainable forestry and agricultural practices. Helvetas' experience, particularly in promoting sustainable forestry and agriculture practices, will be beneficial in supporting the agroforestry interventions of the proposed project.

#### 4.2.8.9 *Oxfam International*

Oxfam International was formed by a group of independent NGOs to address the challenges of poverty and injustice in vulnerable communities globally. The organisation integrates disaster risk management and climate change into their development and humanitarian programmes to influence international, national and local actors to support inter-agency coordination mechanisms. Oxfam International began working in Haiti in 1978 and their priorities include:

- strengthening equality in accordance with the law by working with empowered women, youth and smallholder farmers; and
- increasing the resilience of marginalised and vulnerable communities.



The proposed project aligns with the priorities outlined by Oxfam International, particularly improving the resilience of vulnerable communities to climate change impacts.

### 4.3 ENVIRONMENTAL AND SOCIAL IMPACT ASSESSMENT IN HAITI

In Haiti, generalized rules for ESIA are embedded in the country’s framework environmental legislation, and the Decree on Environmental Management and Regulation of Citizen Conduct for Sustainable Development of 2006 (Décret ) defines national environmental policy and specifically establishes the legal provisions for the ESIA process. In Haiti, the Ministry of the Environment has primary responsibility for ESIA review and compliance monitoring functions.

#### Determining whether an ESIA is required

Article 56 of the Décret establishes that “ Policies, plans, programs, projects or activities likely to have an impact on the environment must be subject to an environmental assessment at the expense of the institution concerned”. An environmental assessment is therefore required for the Project per Article 56 of the Décret.

The Ministry of the Environment (MDE) issued a set of ESIA guidelines in 2002 (updated in 2011). These guidelines provide for the classification of projects (1st, 2nd and 3rd class) according to potential for impacts. The Project is classified as 2<sup>nd</sup> class and therefore is subject to simplified ESIA (*EIES sommaire*).

#### Securing an accurate and complete ESIA

The Ministry of the Environment (MDE) has primary responsibility for ESIA review. Within the MDE there is an Environmental Impact Study and Assessment Unit (JEEIE / MDE), which has authority for the validation of impact assessments. At the county level, Departmental Directorates of Environment (DDE) are also involved in the implementation and validation of impact studies.

#### Selecting mandatory license conditions for the developer to follow

In Haiti, at the time of project approval, or non-objection , the Minister of the Environment receives input from technical specialists in sectoral agencies. Each sectoral agency has a Sectoral Technical Environmental Unit (UTES) that provides sector- specific supplementary expertise.

#### Verifying developer compliance with license conditions

Responsibility for monitoring compliance with ESIA license conditions is distributed among a number of competent authorities. Haiti’s environmental Décret mandates that environmental monitoring responsibilities are to be shared by the Ministry of the Environment and the Ministry of Justice, but adds that all public authorities are responsible for environmental monitoring according to the purview of each of their regulatory oversight concerns. In addition, Haiti has an Environmental Surveillance Corps, whose varied functions include aerial surveillance, developing public awareness, reporting of environmentally harmful activity, and enforcing land use plans. Finally, the National Police are designated as “direct authorities” designated for legal inquiries into environmental infractions.

#### Facilitating public participation

Article 58 of the Décret states that for each project subject to the ESIA process, the Ministry of Environment will establish procedures to facilitate public consultation and to convene public hearings in such a way as to ensure the widest participation of the population.

Table 2 : Inputs and outputs of the different steps of the ESIA process, required by Haitian law and policy frameworks, as well as GCF and UNDP requirements:

Step	Input	Output
Submission of the project notice and preliminary screening or selection (screening)	Project Description Notice or	Decision on the need for an ESIA and the degree of deepening

Step	Input	Output
Scoping	Project notice or description and general or sectoral guides or guidelines	Amended Project-specific guidelines (ToR)
Completion of the ESIA	ToR or amended specific guidelines	ESIA report
Internal review (Technical Committee for the Consideration of Reports)	ESIA Report	Technical Analysis Report
External Review: Public Consultation		Consultation Report
Decision of the Minister based on the proposal of the Bureau National des Évaluations Environnementales (BNEE)	Integrated analysis of the three reports	Notice of authorization or rejection
Monitoring and control	Notice of Authorization	Monitoring report
Environmental audit, control	Site closure plan	Audit report, compliance report

### 4.4 KEY INTERNATIONAL AGREEMENTS AND PROTOCOLS

Haiti is a signatory to a number of international and regional agreements and conventions, which are related to the Project. They most relevant ones include:

#### 4.4.1 Convention on Biological Diversity (1992).

Ratified by Haiti on 25 Sep 1996.

The objectives of the Convention are the conservation of biological diversity, the sustainable use of its components and the fair and equitable sharing of the benefits arising out of the utilization of genetic resources, through, inter alia, adequate access to those resources and the appropriate transfer of relevant technologies, taking into account all rights to those resources and technologies, as well as through appropriate financing.

#### 4.4.2 United Nations Framework Convention on Climate Change (1992).

Ratified by Haiti on 25 Sep 1996.

It declares as its ultimate objective, and of any related legal instrument to be adopted by the Conference of the Parties, to achieve, in accordance with the relevant provisions of the Convention, the stabilization of greenhouse gas concentrations in the atmosphere at a level that would prevent dangerous anthropogenic interference with the climate system. This level should be achieved within a time frame sufficient to allow ecosystems to adapt naturally to climate change, to ensure that food production is not threatened and to enable economic development to continue in a sustainable manner.

#### 4.4.3 United Nations Convention to Combat Desertification in Those Countries Experiencing Serious Drought and/or Desertification, Particularly in Africa (1994).

Ratified by Haiti on 25 Sep 1996.

The objective of the Convention is to combat desertification and mitigate the effects of drought in countries experiencing serious drought and/or desertification, particularly in Africa. This is achieved through effective action at all levels, supported by international cooperation and partnership agreements, within the framework of an integrated approach consistent with Agenda 21, to contribute to the achievement of sustainable development in affected areas.

Achieving this goal will require the implementation in affected areas of integrated long-term strategies that simultaneously focus on increasing land productivity, rehabilitation, conservation and sustainable use of land and water resources, all with a view to improving living conditions, especially at the community level.



4.4.4 Stockholm Convention on Persistent Organic Pollutants (2001).

Signed by Haiti on 23 May 2001

Bearing in mind the precautionary approach enshrined in principle 15 of the Rio Declaration on Environment and Development, the objective of the Convention is to protect human health and the environment from persistent organic pollutants, recognizing that these pollutants have toxic properties, are resistant to degradation, bioaccumulate and are transported by air, water and migratory species across international borders and deposited far from the place of their release, accumulating in terrestrial and aquatic ecosystems.

4.4.5 Worst Forms of Child Labour Convention (1999)

Ratified by Haiti on 19 Jul 2007

It declares a country’s commitment to taking immediate action to prohibit and eliminate the worst forms of child labour.

4.4.6 Paris Agreement, under the United Nations Framework Convention on Climate Change (2015).

Ratified by Haiti on 31 Jul 2017

The Agreement aims to enhance the implementation of the Climate Change Convention, including the achievement of its objective. It aims to strengthen the global response to the threat of climate change, in the context of sustainable development and efforts to eradicate poverty.

4.5 UNDP SOCIAL AND ENVIRONMENTAL STANDARDS

4.5.1 Overview

The project will comply with UNDP’s Social and Environmental Standards (SES)<sup>7</sup>, which aligns with GCF ESS standards and policy. The SES underpin UNDP’s commitment to mainstream social and environmental sustainability in its Programmes and Projects to support sustainable development. The objectives of the standards are to:

- Strengthen the quality of programming by ensuring a principled approach;
- Maximize social and environmental opportunities and benefits;
- Avoid adverse impacts to people and the environment;
- Minimize, mitigate, and manage adverse impacts where avoidance is not possible;
- Strengthen UNDP and partner capacities for managing social and environmental risks; and
- Ensure full and effective stakeholder engagement, including through a mechanism to respond to complaints from project-affected people.

The SES are an integral component of UNDP’s quality assurance and risk management approach to programming. This includes the Social and Environmental Screening Procedure (SESP).

Table 3: Key Elements of UNDP’s Social and Environmental Standards (SES)

Overarching Policy	Project-Level Standards	Policy Delivery Process & Accountability
Principle 1: Leave No One Behind Principle 2: Human Rights	Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management Standard 2: Climate Change Mitigation and Adaptation	Quality Assurance Screening and Categorization Assessment and Management

<sup>7</sup> <https://www.undp.org/accountability/social-and-environmental-responsibility/social-and-environmental-standards>

Principle 3: Gender Equality and Women's Empowerment Principle 4: Sustainability and Resilience Principle 5: Accountability	Standard 3: Community Health, Safety and Security Standard 4: Cultural Heritage Standard 5: Displacement and Resettlement Standard 6: Indigenous Peoples Standard 7: Labour and Working Conditions Standard 8: Pollution Prevention and Resource Efficiency	Stakeholder Engagement and Response Mechanism Access to Information Monitoring, Reporting, and Compliance review
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### 4.5.2 Applicable Principles and Standards

In accordance with UNDP SES policy, a SES principle or standard is 'triggered' when a potential risk is identified and assessed as having either a 'moderate', 'substantial' or 'high' risk rating based on its probability of occurrence and extent of impact. Risks that are assessed as 'low' do not trigger the related principle or standard.

The screening exercise conducted during project development triggered the following social and environmental principles and standards:

#### Principle : Human Rights

This is due to duty bearers' potential limitations in terms of ability to conduct inclusive consultations with stakeholders. This Principle is also triggered because stakeholders might not have the capacity to claim their rights due to their own limited knowledge, capacity and power.

#### Principle : Gender Equality and Women's Empowerment

This Principle is triggered because the project might perpetuate existing or lead to new discriminations against women especially in regard to their access to natural resources and/or ability to participate and derive equal benefits from project-related outcomes including the outcomes targeting livelihoods.

The project has undergone a SEAH first level risk assessment to determine a risk of SEAH, with all considerations answered YES constituting potential SEAH risks:

Risk Factors	Potential Consideration	Yes/No
Personnel deployed or working	away from their usual location/country of residence	Yes
	to remote/rural location/s	Yes
	who are unaccompanied	Yes
Interaction with individuals, especially women, who:	are young adults	Yes
	have a disability	NO
	are experiencing poverty	Yes
	are sex workers	Yes
	are part of families impacted by disasters	Yes
	are displaced, refugees, migrants or asylum seekers	No
	are part of female headed households	Yes
	are victims/survivors of trafficking and/or other forms of sexual and gender based violence	Yes
are accessing residential/shelter services	No	
Access to information	Project staff have access to sensitive/ confidential personal information	Yes
Does the project consist in high risk activity	construction/infrastructure	No
	Humanitarian	No
	disaster response	Yes
	security in conflict or post conflict or disaster settings	No
Provision of goods and/or services that may create a power imbalance	services for vulnerable groups of women (escaping trafficking or GBV)	Yes
	food distribution	No
	medical supplies	No
	emergency supplies following a disaster	No



Risk Factors	Potential Consideration	Yes/No
	Training	Yes
	disability services residential/shelter services	No
	counselling and support services justice facilities	No
	community consultation (data collection, surveying, training)	Yes
	health sector programs	No
	parenting and child protection programs	No
Project staff or personnel who have an actual or perceived level of authority	security workers	No
	Teachers	No
	Police	No
	aid workers	No
	humanitarian workers	No
	medical personnel	No
	NGO personnel	Yes
Organizational risk factors (Does the project...?)	have poor leadership on Preventing Sexual Exploitation, Abuse and Harassment (PSEAH)	No
	have a historic lack of diversity in the workplace	No
	fail to consider PSEAH in core organizational policies and procedures	No
	have geographically isolated work spaces, with employees working in small groups and having fewer opportunities to interact with their Head Office	No
	have primarily young workforces	No
	normalize “sexualized banter”	No
	tolerate/encourage alcohol consumption	No
	have a very hierarchical structure i.e. are there both high-ranking (Executives) and low-ranking employees in the organizational hierarchy; are there gendered power disparities (e.g. most of the low-ranking employees are female)	No
have poor reporting mechanisms and transparency around SEAH incidents	Yes	
Reputational risk factors (Does the project...?)	include significant UN/UNDP/GEF branding	Yes
	have media engagement or interest	Yes
	include high profile individuals	Yes
	have political interests	Yes

**Principle : Accountability**

The fact that grievances could be raised about project activities is one of the elements that triggers this Principle.

**Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management**

Possible impacts effects on natural flora, fauna and ecosystems could arise from poorly implemented activities, especially since some activities of the Project under Activity 1.2 may be undertaken within a Key Biodiversity Area (KBA). This will be further defined through site selection.

**Standard 2: Climate Change Mitigation and Adaptation**

Due to the risk that some project outcomes will be vulnerable to impacts of climate change, for example some areas may be more prone to flood due to increased rainfall intensity.

**Standard 3: Community Health, Safety and Security**

The project activities might expose local communities to health, safety and security risks.

**Standard 4: Cultural Heritage**

The Project activities could lead to accidental discovery of / damage to cultural heritage.

**Standard 5: Displacement and Resettlement**





With the Project activities under Activity 1.2, there is a possibility of temporary restriction to access some areas, etc.

**Standard 7: Labour and Working Conditions**

Because the Project activities will involve the use of labour. The Project will ensure to not hire workers below the age of 18.

**Standard 8: Pollution Prevention and Resource Efficiency**

To a limited extent, Project activities may generate waste and/or involve the use of other chemicals. If they are not adequately controlled, these aspects could also pose a risk to environment and community health.

**4.5.3 Non-applicable Principles and Standards**

Standard 6 (Indigenous People): There is no risk identified.

For purposes of the SES, UNDP will identify distinct collectives as "indigenous peoples" if they satisfy any of the more commonly accepted definitions of indigenous peoples, regardless of the local, national and regional terms applied to them. These definitions include, among other factors, consideration of whether the collective:

- self-identifies as indigenous peoples;
- has pursued its own concept and way of human development in a given socio-economic, political and historical context;
- has tried to maintain its distinct group identity, languages, traditional beliefs, customs, laws and institutions, worldviews and ways of life;
- has exercised control and management of the lands, natural resources, and territories that it has historically used and occupied, with which it has a special connection, and upon which its physical and cultural survival as indigenous peoples typically depends; and
- whether its existence pre-dates those that colonized the lands within which it was originally found or of which it was then dispossessed.

**Supplementary information on Haiti:**

[RefWorld, World Directory of Minorities and Indigenous Peoples - Haiti<sup>5</sup>](#)

The original inhabitants of the island of Hispaniola were the indigenous Taíno, an Arawak-speaking people who began arriving from the Yucatan peninsula as early as 4000 BCE, but they have all perished during the Hispanic colonization period (16<sup>th</sup> century).

[Britannica – Haiti > Early Period<sup>6</sup>](#)

Haiti became only the second independent nation in the Western hemisphere on January 1, 1804, and was the first constitutionally protected all-black nation in the hemisphere as well. The island Haiti shares with the Dominican Republic, Hispaniola, is where Christopher Columbus originally landed in 1492 to make contact with the Taino people. French buccaneers used the island as a base of operations throughout the sixteenth century before formally being colonized in 1659 by French royal authorities. Slaves of African descent, imported until the late eighteenth century, disproportionately inhabited the colony at a clip of 10 to 1 compared to the white colonists by 1791. After gaining independence, only blacks could become Haitian citizens or own land.

[Minority Rights Group, Directory: Haiti<sup>7</sup>](#)

The population of Haiti is predominantly of African descent (around 95 per cent) and homogeneous. The rest of the population is mostly of mixed European-African ancestry (*mulatto*). There are a few people of Syrian and Lebanese origin. There is also a community of Europeans of Polish origin and a small minority of people

from the Dominican Republic. Haiti’s official languages are French and Kreyòl Ayisyen (Haitian Creole). Nearly all Haitians speak Kreyòl Ayisyen, with French being spoken by the small group of educated people. Many Haitians also speak English and Spanish, particularly due to the proximity of the Dominican Republic and Cuba and the extent of travel and trade between the nations. Catholicism is the formal state religion and there is a considerable Protestant minority. The largely African-based religious system known as Voodoo is recognized as an official religion and is practiced by a majority of the population.

### 4.6 GAP ANALYSIS

Table 4 below provides a comparison of a few Government policies and regulations related to environmental and social safeguards against the UNDP Social and Environmental Safeguards (SES). It further provides brief recommendations on how the project will apply the safeguards.

Table 4: High level comparison of Haiti National legislation and UNDP SES Requirement

Safeguards	UNDP SES Requirement	Haiti National legislation	Comments
Environmental and Social Assessments	Type and scale of social and environmental assessment is determined based on project risks and impacts: <ul style="list-style-type: none"> <li>• Low Risk: No further assessment</li> <li>• Moderate Risk: Targeted assessment (depending on complexity, either stand alone or SESP analysis and measures)</li> <li>• Substantial Risk: Appropriately-scoped ESIA or SESA</li> <li>• High Risk: full ESIA or SESA</li> </ul>	Policies, plans, programs, projects or activities likely to have an impact on the environment must be subject to an environmental assessment at the expense of the institution concerned.	The Project will conduct appropriately-scoped ESIA and SESAs.
Public participation	The SES requires that consultations need to be initiated as early as possible (e.g. concept stage), even when the full range of stakeholders has not yet have been identified Stakeholder engagement is central to the assessment and management processes in that it promotes public participation.	National legislation has a procedure for public consultation and participation in relation to EIA. However, it should be noted that the procedures for public consultation are also being updated.	The Project will follow UNDP requirements

Safeguards	UNDP SES Requirement	Haiti National legislation	Comments
Dissemination of information	<p>Requires that at minimum the summary of the ESIA/SESA report is translated in local language and distributed locally.</p> <p>This summary report must be presented in an understandable format and in an appropriate language(s), including a non-technical summation that can be understood by many stakeholders in order to facilitate and encourage comments.</p>	National legislation provides on the dissemination of information on EIA.	<p>Information on potential project-related social and environmental impacts and mitigation/management measures will be disclosed.</p> <p>All material must be published in English, French and Haitian Creole (Kreyòl) as appropriate.</p>
Property rights	Property rights for which compensation is provided include not only property rights for which formal title exists, but also other rights to property, including collective rights of local communities, and other groups under international law	Only natural or legal persons who can submit their titles, as legitimate owners of plots, funds and buildings, will be able to assert their rights to compensation.	It appears that the aspects not taken into account in the national legislation are not in contradiction with the directives of UNDP SES5; Consequently, the directives of UNDP SES5 will be applied.
Vulnerable groups	Special attention will be paid to the needs of vulnerable people, including persons living below the poverty line, landless workers, women and children, ethnic minorities and all other displaced persons at risk of not being protected by national legislation.	Haitian legislation does not provide for special provisions "for vulnerable groups".	Divergence between UNDP and Haitian legislation. UNDP SES will be applied.

Safeguards	UNDP SES Requirement	Haiti National legislation	Comments
Deadlines for compensation	<p>Ensure compensation and assistance provided prior to any displacement.</p> <p>Fair and just compensation is provided – it must be provided prior to displacement for any losses of personal, real or other property or goods, including rights or interests in property recognized by Applicable Law.</p>	<p>Haitian texts provide for fair and prior compensation before taking possession of the land concerned by the expropriation.</p> <p>The move can therefore only take place after the payment or deposit of the sums due.</p>	<p>UNDP SES and Haitian legislation pursue the same objectives with regard to deadlines for compensation.</p>

<p>Natural habitats; Critical habitats</p>	<p>UNDP ensures that a precautionary approach is applied to the use, development, and management of natural habitats, the ecosystem services of such habitats, and living natural resources. Where avoidance of adverse impacts on natural habitats is not possible, UNDP proceeds only if viable alternatives are not available and if appropriate conservation and mitigation measures or plans are in place that describe the conservation outcomes, implementation actions, and monitoring and evaluation arrangements (e.g. a Biodiversity Action Plan).</p> <p>UNDP seeks to ensure that project activities have no adverse impacts on critical habitats. No project activities are implemented in areas of critical habitats, unless all of the following are demonstrated: (i) there are no measurable adverse impacts on the criteria or biodiversity values for which the critical habitat was designated, and on the ecological processes supporting those biodiversity values (determined on an ecologically-relevant scale); (ii) there is no reduction of any recognized Endangered, Vulnerable or Critically Endangered species, (iii) any lesser impacts are mitigated, and (iv) a robust, appropriately</p>	<p>Haitian legislation does not appear to provide provisions for “natural habitats”, “critical habitats” or KBAs specifically, however the NBSAP<sup>8</sup> (2011-2020; the most recent available) includes the need to conserve the biodiversity of the coastline.</p>	<p>The Project will follow UNDP SES requirements and guidance, with further analysis of national requirements undertaken during the relevant ESIA/ESMP and, as applicable, followed during implementation.</p>
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Safeguards	UNDP SES Requirement	Haiti National legislation	Comments
	designed, and long-term Biodiversity Action Plan is in place to achieve net gains of those biodiversity values for which the critical habitat was designated. Existing protected area management plans are reviewed to ensure alignment with this requirement.		

The analysis above is not exhaustive. It represents a higher-level comparison of UNDP and Haitian requirements related to impact assessment, information disclosure, definition of beneficiaries, rules around compensation, etc. The ESIAs/SESA will further analyse the legal framework and a detailed gap analysis will be conducted.

## 5 POTENTIAL SOCIAL AND ENVIRONMENTAL IMPACTS

### 5.1 SOCIAL AND ENVIRONMENTAL IMPACTS

The project has been screened against UNDP’s Social and Environmental Standards utilizing the UNDP Social and Environmental Screening Procedure. The Social and Environmental Screening Template was prepared and the project deemed to be a Substantial Risk project (GCF Category B). The SESP (Annex VI a) provides the rationale for the risk categorization, and can be reviewed in tandem with this ESMF.

#### 5.1.1 Potential Negative Social and Environmental Impacts

The UNDP Social and Environmental Screening Procedure (SESP) was used to identify potential social and environmental risks associated with this Project. The screening highlighted the Project intentions as they related to mainstreaming human rights, gender equality and women’s empowerment, environmental sustainability and accountability. A desktop-based impact risk assessment (through meeting with Project Team, review of the outcomes of community consultation and site visits, review of project-related documents, review of relevant policy frameworks and review of literature on Haiti and Trois-Rivieres watershed) was undertaken using the UNDP Social and Environmental Screening Procedure to assess the probability and the impact of the risk. From the scoring of probability and impact, a significance value of low, moderate, substantial or high was attributed to the potential impact of these risks.

The SESP identified a total of 18 potential risks, of which three has been assessed as substantial risks and 15 as moderate risk, with the overall SESP risk categorization rating as “SUBSTANTIAL”. The risks apply to all the project outputs.

The risks that were identified are briefly described below.

Risk 01 – Water abstraction (Moderate)

<sup>8</sup> <https://www.cbd.int/doc/world/ht/ht-nbsap-01-fr.pdf>



To water the plants in the nurseries and the planting sites, the Project will use significant amount of water. This will be collected from existing surface water bodies. If not managed properly, such water abstraction could cause harm to ecosystems, local communities and downstream users or increase their vulnerability.

### Risk 02 – Limited institutional capacity towards Safeguards standards (Moderate)

Project implementation partners (e.g. Government ministries, agencies, NGOs, private sector partners, as well as community associations) may not have all the capacity and tools needed to meet their obligations in the project, especially those related to their roles and responsibilities in the project cycle, as well as the social and environmental safeguarding.

### Risk 03 – Perpetuation of discriminations against women (Moderate)

The project might perpetuate existing or lead to new discriminations against women in their access to project benefit. The low knowledge of the formal law within rural communities, and the ambiguous customary practices, could promote gender discrimination on accessing project benefits.

### Risk 04 – Consultations may not be comprehensive (Moderate)

Full participation of potentially affected stakeholders in the design and implementation of the Project is critical. However, because of logistical and/or cultural barriers, there is a risk that consultations with stakeholders, as well as local communities may not be comprehensive in the next phase of the project.

### Risk 05 – Restricted access to land and natural resources (economic displacement) (Substantial)

The project agroforestry or reforestation activities can potentially lead to spatial or temporal restrictions on lands previously used by local communities for their livelihoods. This could then create economic physical displacement and pose some hardship on local communities. However, the project will not implement interventions in areas that will require the physical displacement of people, or changes in land tenure. Land acquisition for small infrastructure investments (for example by developing agricultural tracks or through the development of water infrastructure / provision of upgrades to water infrastructure to households in order to address decreasing water security caused by the impacts of climate change-induced flooding) is a possibility to be considered under this risk.

However, the Project will only work with are willing participants who seek these infrastructural upgrades, and in areas that are dedicated as public lands while ensuring that all legislation is followed. The Project will not allow for any expropriation of lands/eminent domain, and as such this is reflected in the exclusionary criterion.

### Risk 06 – Physical Displacement (Moderate)

The Project will be implemented on lands that are currently uninhabited due to their difficult access (steep slopes) and lack of vegetation. However, in an emergency situation (such as an earthquake) may cause these areas to become temporarily inhabited during project implementation. In such circumstances, the Project's agroforestry or reforestation activities may impose spatial or temporal restrictions on those inhabitants, therefore causing physical displacement.

### Risk 07 – Introduction of exotic tree species (Moderate)

Project activities supporting greening of land could inadvertently lead to the introduction of exotic tree species, which then leads to adverse environmental effects through becoming invasive.

### Risk 08 – Risk of gender-based violence (Moderate)

The Project plans to provide significant support to women through income-generating activities. An increase of women's income (through project-sponsored activities) could lead to gender-based violence in some households. Given the level of gender-based violence that already exists in the country, there is a risk that any shifts in power balances that the project could cause might exacerbate GBV, including sexual exploitation, abuse, and harassment (SEAH) (see project first assessment on SEAH 4.5.2)

### Risk 09 – Risk of use of pesticides or other chemicals (Moderate)



The agroforestry and reforestation initiatives supported by the Project could be using pesticides or other chemicals that may have a negative effect on the environment and human health.

**Risk 10 – Environmental and Physical Hazards during agroforestry and reforestation activities (Moderate)**  
The Project interventions (agroforestry and reforestation) could generate waste and litter (e.g. human waste, food waste, plastic, soiled material, scrap equipment, etc.) around the work areas. Poor management of those waste product and/or its poor handling (storage, transport) could cause pollution or physical hazards and pose a threat to the health of the community and eventually the workers.

**Risk 11 – Effect of climate change (Moderate)**  
The project outcomes (activities) could still be compromised by the effect of climate change or extreme climatic conditions.

**Risk 12 – Child Labour (Moderate)**  
Project intervention (agroforestry) could potentially involve child labour. Additional hazards to children could include disrupted physical, mental, moral and social development, exposure to extreme weather conditions, injuries, infections, and diseases, etc.

**Risk 13 – Non-compliance with labour standards (Moderate)**  
Project activities (e.g. agriculture / agroforestry supply chain, land restoration, erosion control) could potentially involve practices that fail to comply with national and/or international labour standards or safety standards.

**Risk 14 – Exposing communities to COVID-19 and other disease outbreaks (Moderate)**  
The COVID-19 and other potential disease outbreaks could pose serious difficulties for effective project implementation and benefit sharing. The project activities (e.g. frequent meetings, field visits, travelling, etc.) could inadvertently cause significant spread of the COVID-19 virus.

**Risk 15 – Potential Negative Impact on Key Biodiversity Area / critical habitats (Substantial)**  
Some of the project activities related to EBA may be carried out within or adjacent to a Key Biodiversity Area (KBA), and could inadvertently cause harm. These activities and their specific footprint will be defined during project implementation and in coordination with communities.

**Risk 16 – Security concerns (Substantial)**  
Instability, violence, and security concerns in the project landscape may prevent project objectives from being achieved and put the safety of project staff and stakeholders at risk.

**Risk 17 – Impact on cultural resources (Moderate)**  
The Project activities could lead to accidental discovery of / damage to cultural heritage.

**Risk 18 – Impact on social cohesion (Moderate)**  
The Project activities could lead to impacts on social cohesion among communities, particularly by exacerbating underlying conflict or triggering new conflict or and/or by contributing to risks that affect conflict sensitivity. At the same time, although climate change does not cause violent conflict in and of itself, it is a threat multiplier – and can multiply risks known to contribute to insecurity, overburden state capacity, and make already vulnerable communities more susceptible.

The Project has been designed to respond to the vulnerabilities of Haitian communities, and contribute towards building climate resilience, improve livelihoods, and ameliorate governance mechanisms by providing training and capacity building. The ESMF provides an outline for a detailed analysis of conflict and fragility in Haiti, which will be conducted during the ESIA.

### 5.1.2 Potential Positive Social and Environmental Impacts

The Project will bring several positive impacts, which include but are not limited to:

- Enhanced resilience of seven target communes in the TR watershed (Port-de-Paix, Chansolme, Bassin Bleu, Plaisance, Pilate, Marmelade, Gros Morne) to the impacts of climate change-induced flooding.
- Reduced climate change-induced flooding in the TR watershed
- Livelihood benefits will be realised through the implementation of agroforestry systems in the target communes, including agrisilvicultural systems, silvopastoral systems and agrosilvopastoral systems.
- Addressing the problem of unsustainable charcoal production.
- Extensive engagements with farmer and women’s associations.
- Progressive and gender-responsive transition towards sustainable agroforestry businesses that are sustainable over the long term.
- Support of gender mainstreaming throughout the project implementation.
- Training and capacity building on climate-resilient land-use management.
- Increased knowledge of people living in the TR watershed on sustainable land-use practices
- Smallholder farmers’ access to financial resources enhanced to facilitate the uptake and implementation of climate-resilient agricultural practices over the long term.
- Adoption of alternative livelihood options more feasible for the vulnerable people living in the TR watershed.

Drafting provisions to Haiti’s Water Act for the adoption of an integrated approach to water resources management.

Monitoring of water- and vector-borne diseases in the project landscape, supported by the World Health Organisation (WHO) and under Activity 3.3.Strengthening institutional, technical and operational capacity.

## 6 PROCEDURES TO ADDRESS SOCIAL AND ENVIRONMENTAL IMPACTS

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The ESMF identifies potential social and environmental risks and impacts from project activities and outlines strategies and procedures for identifying risks and impacts from as yet fully defined project components and for managing those risks and minimising undesirable environmental and social impacts. Further, the ESMF identifies stakeholder engagement processes and a Grievance Redress Mechanism for stakeholders with concerns and/or complaints regarding the project.

### 6.1 SCREENING FOR FURTHER SOCIAL AND ENVIRONMENTAL RISKS AND IMPACTS

#### 6.1.1 Screening, Assessment & Management Procedures for some sub-activities:

The SESP has been conducted on the basis of the broad scope of project activities currently envisaged. This has identified the project as being of Substantial Risk, and as such appropriately scoped Environmental and Social Impact Assessment (ESIA) are required. To initiate each ESIA, a screening will be completed by the project to allow for site selection and the greater definition of some sub-activities, which will prevent the selection of high risk activities.

The following sub-activities will be subject to screening and the preparation of ESIA/ESMPs, as described hereafter:

1.2.1. Establish 17,740 ha of agroforestry systems in priority areas the TR watershed, including: i) agrisilvicultural systems — which are a combination of crops and trees, such as alley cropping; ii) silvopastoral systems — which combine forestry and grazing of domesticated animals; and iii) agrosilvopastoral systems that combine trees, crops and animals.



1.2.2 Restore 7,700 ha of forests in priority areas the TR watershed through planting indigenous tree species in degraded areas within the seven target communes.

2.2.1. Strengthen the technical capacity of farmers and communities in the seven target communes to implement climate-resilient agricultural practices and SLM.

2.2.2. Provide climate-resilient agricultural inputs (e.g. climate-resilient seeds and infrastructure upgrades) to households in the TR watershed.

2.2.3. Enhance access to finance for smallholder farmers through the VSCA.

2.3.4. Create 150 new VSCAs in the TR watershed to enhance the food security of vulnerable households.

Screening for the sub-activities listed above will follow the below procedure:

1) Each sub-activities identified above will be screened for social and environmental risks and impacts utilizing the SESP methodology in order to identify risks and their significance, to inform site selection, and to effectively target the required further impact assessment or management.

2) Where the screening of the sub-projects<sup>9</sup> that will be further defined during implementation identifies potential social and environmental risks that could be categorized as High Risk (under the UNDP SES, i.e. using the SESP) or trigger the project's exclusionary criteria (as follows), the sub-project/activity will be redesigned to eliminate and/or minimize such risks. Sub-projects that may still present High Risks or continue to trigger exclusionary criteria after redesign will be excluded.

The following exclusionary criteria will be applied during site selection (screening):

- Activities in areas that will require the physical displacement of people, or changes in land tenure.
- No project activities will be implemented in areas of critical habitats, unless all of the following are demonstrated: (i) there are no measurable adverse impacts on the criteria or biodiversity values for which the critical habitat was designated, and on the ecological processes supporting those biodiversity values (determined on an ecologically-relevant scale); (ii) there is no reduction of any recognized Endangered, Vulnerable or Critically Endangered species, (iii) any lesser impacts are mitigated, and (iv) a robust, appropriately designed, and long-term Biodiversity Action Plan is in place to achieve net gains of those biodiversity values for which the critical habitat was designated.
- Activities that involve application of chemical fertilizers nor pesticides as a result of the agroforestry and reforestation interventions of the project.
- Activities that risk the introduction of alien and potentially invasive alien species.
- Activities or production of activities that involve child labour.
- Production or trade in any product of activity deemed illegal under host country laws or regulations or international conventions and agreements
- Purchase, application or storage of harmful pesticides or hazardous materials
- Trade in wildlife or wildlife products regulated under CITES Convention of International Trade in Endangered Species or Wild Fauna and Flora

Proposed activities that trigger any of the criteria listed above will not be included in the Project for implementation. The screening of sub-projects will also be updated if there are any significant changes in the sub-project's design or context that may materially change its social and environmental risk profile (see section 6.1.2 below).

<sup>9</sup> Subprojects have been identified per Downstream Activities listed in Table 6 (Activity 1.2, 2.2 and 2.3) These will be clustered geographically in two geographic clusters (AREA 1 covering Pilate, Plaisance and Marmelade and Area 2 covering : Gros-morne , chansolme and Port de-paix, Bassin Bleu). These have ben grouped based on their climate and ecosystem characteristics.





This list of exclusionary criteria is based on the risks identified in the project’s overall SESP (prepared now at the FP stage), and is not intended to exhaustively cover all actions/activities prohibited under the UNDP SES. As the project is required to adhere the UNDP SES, this project-specific list should be understood as a **supportive tool** only. It does not supersede the requirements of the UNDP SES, to which the project must adhere.

3) An appropriately scoped<sup>10</sup> ESIA will be prepared to assess the planned downstream, on-the-ground activities with a physical footprint (See Table 7) and to address direct and all other potential impacts (in line with UNDP SES policy and guidance) to communities and individuals from on-site project activities (Refer to Section 6.1.4 for greater detail).

4) Based on the information derived through the screening process and ESIA, ESMPs will be prepared for the locations where the project will be active, although these may be geographically/thematically clustered.

It is anticipated that a total of six (6) ESIA/ESMP packages will be prepared for this project. Based on information collected by Heifer, and UNDP country office in Haiti, geographically clustering these could follow the below bifurcation, based on ecosystem characteristics:

- i. AREA 1 - humid: Pilate, Plaisance and Marmelade
- ii. AREA 2 - semiarid: Gros-morne , Chansolme and Port-de-Paix, Bassin Bleu

An ESIA/ESMP would be prepared, therefore, for each relevant Activity (1.2, 2.2 and 2.3), for each of the two areas (please refer to Table 1 on pg 30 for a complete table of project activities and sub activities) – though the most appropriate packaging of the ESIA/ESMPs will be determined in the course of that work (ensuring full coverage of both areas and the 6 sub-activities by the final packaging).

It is important to note that the landscapes of AREA 2 include the Port-de-Paix KBA; the decision as to whether activities will take place within or adjacent to this KBA (and other critical habitats) will be based on the screening and assessment procedures described above; must follow the mitigation hierarchy (see ESMF section 6.3.1); and must adhere to the requirements of SES Standard 1 and the associated SES Guidance Note.<sup>11</sup> Namely, if project activities take place within or adjacent to a KBA, then those activities must be guided by an appropriately scoped and detailed Biodiversity Action Plan (BAP) if required (see Appendix 9 for the SES outline), and should result in tangible benefits to the conservation objectives of that area, and clear conservation advantages should be gained by the presence of the project see ESMF section 6.3.3).

### 6.1.2 Measures/procedures for ongoing screening:

During implementation, the project could be re-screened, in accordance with the UNDP SESP, in one of the following circumstances:

- when determined necessary by the Project Management Unit (PMU),
- when determined necessary by UNDP,
- when such requirement is outlined in the Environmental and Social Management Plan (ESMP) to be developed on the basis of the Environmental and Social Impact Assessment (ESIA) that will be conducted in Year One, and/or when project circumstances change in any substantive and relevant way.

<sup>10</sup> A key step in the assessment process is the “scoping” of the social and environmental issues, risks and impacts to be analyzed. Substantial Risk projects require an appropriately-scoped assessment while High Risk projects require a full assessment. While similar types of assessment instruments are applied to both Substantial and High Risks, the scope and depth of the assessment for Substantial Risk projects will be less extensive than that for High Risk projects. This is what is meant by an “appropriately-scoped” assessment for Substantial Risk projects. Further information is available [here](#).

<sup>11</sup> [UNDP SES Guidance Note on Standard 1 Biodiversity and Sustainable Natural Resource Management](#)

- When activities, outputs and potentially additional locations not already covered by the existing SESP, are proposed and developed in line with UNDP and GCF procedures for such matters.

This screening could be done at the project-level or at the level deemed appropriate given the circumstances. Regardless of the level, any re-screening will be conducted based on and in adherence with the UNDP SES, including its requirements and prohibitions (including but not limited to the exclusionary criteria listed in 6.1.1 above) and activities will be adjusted to ensure ongoing compliance based on the re-screening as needed.

Screening will be the responsibility of the PMU and the project's Gender and Safeguards Specialist.

### 6.1.3 Procedures for Unidentified/Emerging Risks:

Due to activities that will be defined during project implementation, and with changing economic situation, health and travel circumstances related to COVID-19 may develop during the Project after the ESIA and ESMP are completed.

Therefore, quarterly reports, annual project reports (APR), and the mid-term review (MTR) will review the project SESP and ESMF to assess additional risks that develop during project implementation. The Emergent Risk section of the APR will reflect any risks that are subsequent identified. Additional risks will be added to monitoring, and mitigation measures designed by the Project Management Unit (PMU) and Safeguard Officer as required, in discussion with the Project Steering Committee and the UNDP Country Office.

## 6.2 ASSESSMENT OF SOCIAL AND ENVIRONMENTAL RISKS AND IMPACTS

Based on the project risk categorization and the specific risks, UNDP Social and Environmental Screening Procedure specifies the appropriate levels of assessment and management measures. These are presented in Table 5 below:

Table 5: Risk levels and overall assessment and management measures/plans



	Low	Moderate		Substantial	High
Impacts	None/ minor	Very limited, well understood, easily mitigated	Limited but full extent unclear	Varied range of limited but more complex impacts	Significant, irreversible impacts; significant stakeholder concerns; potential conflict
Assessment	X	SESP identifies risks and straightforward management measures	Targeted assessment(s) (e.g. hazard assessment, audits, special studies)	Appropriately scoped ESIA or SESA	Full ESIA or SESA
Management	X	Incorporate management measures into ProDoc	Targeted management measures/ plan; initial management plan if assess post-PAC	Appropriately scoped ESMP or ESMF when assessment post-PAC	ESMP or ESMF when assessment post-PAC

ESIA = Environmental and Social Impact Assessment  
 SESA = Strategic Environmental and Social Assessment  
 ESMP = Environmental and Social Management Plan  
 ESMF = Environmental and Social Management Framework

The SESP has identified the project as being Substantial risk. As such, appropriately scoped ESIA and SESA are required in order to identify and assess impacts and develop management mechanisms to mitigate identified risks.

**6.2.1 Strategic Environmental and Social Assessment (SESA)**

The Project will commission appropriate experts to conduct a Strategic Environmental and Social Assessment (SESA), at the beginning of the implementation phase. The SESA will assess potential impacts from, and strategies for, upstream project activities (Activities 1.1., 2.1., 3.1 and 3.2, which will work towards improving policy frameworks through the project paradigm). The assessment of impacts will be used to integrate environmental and social considerations into policies, plans and programmes and evaluate their interlinkages with economic and sustainability considerations. The SESA process will anticipate the potentially adverse impacts of policies at the site level. Information and strategies identified will inform decision-making and will be used to guide subsequent assessments of downstream activities (the delivery of EbA measures/sub-projects). As a high-level document, the SESA is based on the broad scope of envisaged high-level project activities. The detailed scope of the SESA will be refined by the experts conducting the assessment. The report will identify strategies for effective management of identified impacts, which will inform the impact management approach adopted. The SESA will be disclosed.

**6.2.2 Environmental and Social Impact Assessment (ESIA)**

Appropriately scoped ESIA will assess the planned downstream, on-the-ground activities with a physical footprint and will address direct, indirect as well as cumulative impacts to communities and individuals from on-site project activities. Aspects of the Project that will be covered by ESIA or SESA are presented in Table 6, with detailed procedures described above in 6.1.1 and below in 6.3.

The ESIA will develop strategies for avoiding, reducing and managing adverse impacts and enhancing positive impacts, and the outputs of both assessments will inform the Environmental and Social Management Plan.

During the ESIA, the project will carry out in-depth sexual exploitation, abuse, and harassment (SEAH) risk assessment. The project has preliminarily identified the following indicators as well as mitigation measures, that will be tuned further with the findings of the ESIA:

Indicator	Mitigation measures
Clear Project commitment to PSEAH	A PSEAH policy, or a combination of policies, is approved by management. The policy states the Project commitment to PSEAH and the measures that will realize that commitment. The policy meets relevant standards and reflects local laws. The Project is skilled in managing tensions that arise from implementing safeguarding standards in local contexts.
PSEAH measures are monitored, and senior management held accountable	PSEAH (safeguarding) is a regular agenda item at senior management meetings. There is a PSEAH focal point. Existing reviews and monitoring processes include progress with implementing safeguarding measures.
Clear expectations on staff, volunteers and associates on professional and personal conduct	A Code of Conduct for all staff that defines appropriate behaviour and identifies consequences for breaches. The Code of Conduct is translated into local languages (creole).
All staff and associates are recruited safely	Screening processes for potential staff are in place, such as background checks, references and interviews. Probation periods are used to ensure newly hired staff meet the expected behaviour regarding SEAH.
Effective and appropriate training and awareness on PSEAH is conducted	Safeguarding induction training is delivered to new staff and board members. Regular meetings are used to continuously raise awareness on safeguarding. Refresher trainings are conducted annually.
Effective and appropriate training and awareness on PSEAH is conducted	Regular context analyses to inform programme design and implementation. An adequate gender balance (e.g. 50:50) for staff involved in the provision of services and programme, particularly for programmes directly engaging women Robust programme management processes which encourage programme participants to assess and mitigate the risks of SEAH. Standard operating procedures for high-risk activities such as distributions, cash, children and adolescent programmes. SEAH risks and mitigation actions are included in the programme risk register. Safeguarding measures in all aspects of partnership and contracting. Indicators for monitoring the safety of programmes.
Staff, programme participants and others are confident and knowledgeable to report concerns	A formal complaints mechanism is designed with programme participants. A speak up and/or whistleblowing policy is introduced. Clear and confidential mechanisms are in place. Regular communications for staff and programme participants on reporting channels available.
Allegations and concerns are responded to effectively using a survivor-centred approach	A procedure for responding to concerns and allegations, including a system to record, investigate and monitor the outcome of safeguarding issues, while ensuring survivor-centred approach. Map local services and support for safe referrals. Appropriate staff are trained on case management and investigations or there is access to external support. An investigation committee is led by a trained investigator and guided by terms of reference and a plan.

The ESIA's must conform to the Haiti's environmental assessment laws and regulations, the country's obligations under international law, and the requirements of UNDP's SES. The ESIA's will analyze the range of identified social and environmental risks and impacts specific to that site and that intervention. The ESIA's will be carried out, according to the outline presented in Appendix 1, and must be sufficiently detailed for the development of the ESMPs and all targeted plans (e.g. BAP) determined necessary for compliance.

The ESIA's will commence in the first year following project inception. It will focus on, but not be restricted to, the potential impacts identified during the SESP screening process, which are a result of proposed on-the-ground project activities in their location specific contexts. The ESIA's will be developed and carried out by independent experts in a participatory manner with stakeholders during the first year of the project.

The ESIA's will:

- Screen social and environmental issues and impacts specific to the local context.
- Further clarify the applicable social and environmental standards (including UNDP SES) triggered by the project activities.
- Take steps necessary in the context of the ESIA to fulfil those requirements and make recommendations on how such compliance is to be carried out through the life of the project.
- The UNDP SES and SESP require that an ESIA and the resulting mitigation and management measures (captured in the Environmental and Social Management Plan – ESMP) must be completed, disclosed and discussed with stakeholders prior to implementation of any activities that may cause adverse social and environmental impacts. Assessment of further activities will be commensurate with the magnitude of the envisaged risks especially considering risks to communities.

Table 6: Summary of Assessment Requirements

Focus	Assessment	Timing	Responsibility
Upstream Activities (1.1, 2.1, 3.1. and 3.2.)	To be covered by Strategic Environmental and Social Assessment (SESA)	To commence within 6 months of project inception	UNDP PMU UNDP Country Office External consultants
Downstream Activities (1.2, 2.2, 2.3)	To be covered by Environmental and Social Impact Assessment (ESIA)	To commence at the latest within 18 months of project inception. Completion within 6 months.	UNDP PMU UNDP Country Office External consultants
Specific additional Project Activities	To be covered by ESIA as appropriate	As required by additional or updated SESP and as determined by the ESIA.	UNDP PMU UNDP Country Office External consultants



## 6.3 MANAGEMENT PROCEDURES

### 6.3.1 Mitigation Hierarchy

As part of the management procedures, risk reduction measures follow a mitigation hierarchy that favours avoidance of potential adverse impacts over minimization, mitigation where adverse residual impacts remain, and, as a last resort, application of offset and compensation measures. If the proposed activity would cause considerable environmental/social harm, total avoidance and foregoing the proposed activity might be the best option, as presented in the mitigation hierarchy below (Figure 14).

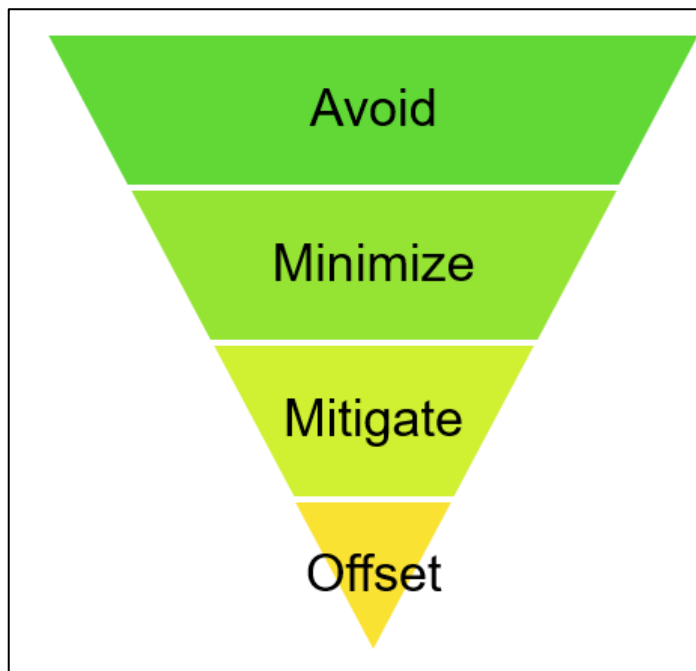


Figure 14: UNDP’s SES Mitigation Hierarchy

Impact avoidance step is most effective when applied at an early stage of project conceptualization and planning. This can be achieved by taking actions such as: not undertaking certain projects or elements that could result in adverse impacts, by avoiding areas that are environmentally or culturally sensitive, and putting in place preventative measures to stop adverse impacts from occurring.

Impact minimisation step is to limit or reduce the degree, extent, magnitude, or duration of adverse impacts. This can be achieved by taking actions such as: scaling down or relocating the proposal, redesigning elements of the project, or taking supplementary measures to manage the impacts.

Impact mitigation actions begin once impacts have already occurred. Mitigation consists of rectifying the impact by repairing, rehabilitating, or restoring the affected environmental or social feature. Collectively, avoidance, minimisation and mitigation serve to reduce, as far as possible, the residual impacts of the Project. Typically, however, even after their effective application, additional steps will be required to achieve no net loss.

Impact compensation step is usually applied to remedy unavoidable residual adverse impacts. This can be achieved by actions such as habitat enhancement, replacement of the same resource values at another

location, etc. It is important to insist on the fact that compensation or offsets may be considered only after appropriate avoidance, minimization, and mitigation measures have been applied. The design of offsets adheres to the “like-for-like, or better” principle and is carried out with best available information and current best practices.

All the plans described below will be implemented throughout the project and updated based on further assessments as needed. The following were prepared during the project design:

(a) Environmental and Social Management Framework (ESMF)

The present ESMF has been developed as part of UNDP’s due diligence process in the project cycle.

(b) Stakeholder Engagement Plan (SEP)

A comprehensive Stakeholder Engagement Plan has been developed during the project’s design phase. It will guide actions pertaining to SES implementation, including consultations with communities and other stakeholders.

(c) Gender Analysis and Action Plan (GAAP)

A Gender Action Plan has also been developed during the project’s design phase.

### 6.3.2 Details on Management Procedures to be developed/refined in the Implementation Phase

#### 6.3.2.1 Environmental and Social Management Plan (ESMP)

An Environmental & Social Impact Management Plan (ESMP) will be prepared along with the scoped ESIA for each site/sub-project. These ESMP will:

- Provide time-bound specific recommendations for avoiding adverse impacts, and where avoidance is not possible, for reducing, mitigating, and managing those impacts for all project activities.
- Develop specific/standalone management plans, as necessary and as required by the applicable UNDP SES (which will be determined based on the findings from the ESIA). These will outline the management objectives, potential impacts, control activities and the environmental performance criteria against which projects will be evaluated. Recommendations will be adopted and integrated into the project activities, monitoring and reporting frameworks and budget.
- Provide guidelines for stakeholder engagement, and plans for such engagement during implementation of management measures.
- Specify actions to implement mitigation measures for each identified risk and impact.
- Include specific measures related to the security situation and the human rights and conflict related risks, on the basis of a conflict assessment conducted with the ESIA
- Specify measures to prevent, mitigate and respond to the SEAH risks.
- Include a monitoring and reporting plan.
- Provide summary of identified adverse social and environmental impacts and any residual risks remaining after impact avoidance/mitigation/minimization.
- Provide a capacity development and training plan.
- Define roles and responsibilities of all stakeholders.
- Show implementation schedule, cost estimates and funding sources

Impact management will adhere to the “mitigation hierarchy” model. Where possible, adverse impacts will be “designed out” – i.e. design of project activities will be amended or adjusted so as to avoid the identified impacts. Where this is not possible, measures will be developed, in conjunction with stakeholders, to reduce, minimize, mitigate or manage those impacts.

The above required assessments and management plans must be prepared and mitigation measures in place as per those plans, prior to the initiation of any project activity that may cause adverse impacts on the environment and communities. Additional required mitigation and impact management measures must be integrated into management plans, and in some cases may require, or benefit from, input from the Project's Gender and Safeguards Specialist.

Project-affected stakeholders will be consulted on the scope and parameters of the assessment processes and their findings, including proposed mitigation and management measures. Assessment reports and adoption of appropriate mitigation plans/measures will be completed, disclosed, and discussed with stakeholders prior to initiation of any project activities that may cause adverse social and environmental impacts.

It is worth specifying that the Gender and Safeguards Specialist, who will be hired by the Project and will have primary responsibility for tracking the implementation of the ESMP, which needs to be responsive to changes in project circumstances, unforeseen events, and the results of monitoring.

An indicative template of the ESMP, outlining the required sections, is appended to this document (Appendix 2).

The project's ESMP will include and/or be complemented by the Plans listed in the sub-sections that follow based on the findings of the individual ESIAs. The following descriptions of those additional Plans is not intended as an exhaustive listing; others will be prepared and implemented as needed for SES compliance. All management plans will include monitoring and reporting requirements that are to be fully integrated into the project's overall monitoring plan.

### *6.3.2.2 Livelihood Action Plans (LAP)*

Livelihood Action Plan will be necessary where/if project activities cause economic displacement, whereby the livelihoods of individuals or communities are restricted, partially or fully, and either directly or indirectly, in their access to land or resources to support their economic well-being. This action plan will be developed as part of the ESMP, and will address beneficiary participation in economic displacement decision-making, adequate (full and fair) compensation and assistance, as well as risk management to ensure that livelihoods are at least as good as prior to the program implementation and that the livelihoods of poor and marginalized are improved. The Plan will include independent monitoring procedures, clarification of land rights consistent with applicable law, and outline capacity, training, and development actions targeting beneficiaries' livelihoods. It will ensure that UNDP SES requirements, best practice standards and mitigation measures are being met, such that Program activities involving economic displacement cannot proceed until completion of the ESIA and the related livelihood action plan (Appendix 5).

### *6.3.2.3 Biodiversity Action Plan (BAP)*

This requirement is to be considered for every project site during the course of the screenings and ESIAs. However, at this stage, it is understood to be most relevant to AREA 2 because of the Port-de-Paix KBA in that landscape.

Adverse impacts on **natural habitats** are to be avoided. Where avoidance is not possible, Standard 1 requires that the following criteria be met in order for the project to continue (Standard 1, para. 10). It must be noted Standard 1 (para. 19) also requires that project activities do not involve the conversion of natural forests. The two main criteria are:

- i. no viable alternatives exist to locate the project on heavily modified and degraded lands/marine areas rather than in natural habitat. A locations analysis to explore potential viable options should be conducted as part of the alternatives analysis of the social and environmental assessment.



- ii. appropriate conservation and mitigation measures are included in the project's social and environmental management plan. Mitigation measures should be designed to achieve at least "no net loss of biodiversity" where possible, and preferably a net gain. A **Biodiversity Action Plan** (Appendix 9 contains the standard outline per UNDP SES guidance) is required that stipulates the conservation outcomes, implementation actions, and monitoring and evaluation arrangements. Mitigation measures may include a combination of the following actions:
- iii. onsite mitigation measures such as minimizing habitat loss, fragmentation, degradation (e.g. biological corridors, apply footprint minimization principles throughout project cycle).
- iv. identification of 'set asides' to avoid impacts on biodiversity. Set asides are land/water areas within the project area or adjacent to it excluded from development and are targeted for the implementation of conservation enhancement measures. Set-asides will likely contain significant biodiversity values and/or provide ecosystem services of significance.
- v. physical restoration, reinstatement and rehabilitation. Basic principles for restoration should include (a) protection of topsoil and restoration of vegetation cover as quickly as possible after any construction or disturbance (requiring adequate separation and storage of topsoil during construction when excavations occur); (b) reestablishment of original habitat to its pre-disturbance conditions; and (c) where native species (especially protected species) cannot be retained in situ, consideration of conservation techniques such as translocation/relocation. Biodiversity and ecosystem functionality must be maintained or enhanced for forest restoration projects as well as for other ecosystems (e.g. coastal or ocean areas).
- vi. as a last resort, offsetting biodiversity losses through effective long-term conservation of ecologically comparable area/s elsewhere (comparable in size, quality and function), while respecting any ongoing use rights of indigenous peoples or traditional communities. See below for offset requirements.
- vii. again, as a last resort, compensating the direct users of the affected biodiversity, commensurate with the loss caused by the project (e.g. lost production or resource benefits due to project-related access restrictions to forests or other areas) through financial or other forms of compensation. Payment for Environmental/Ecosystem Services (PES) may be a form of compensation (acknowledging that PES is often utilized as a stand-alone program to encourage conservation outcomes) (see Box 5).

In accordance with the SES (Standard 1, para. 13), no project activity is permitted in areas of **critical habitat** unless all of the following are demonstrated:

- i. no measurable adverse impacts on the criteria or biodiversity values for which the critical habitat was designated, and on the ecological processes supporting those biodiversity values (determined on an ecologically-relevant scale).
- ii. This requirement explicitly emphasizes the importance of considering biodiversity values across an ecologically relevant scale, including the landscape/seascape scale. Project developers should work with recognized ecologists and species specialists in defining critical habitat based on the biodiversity values triggering that critical habitat designation, not based on an imposed artificial project boundary in a landscape/seascape. The conservation of the ecological processes necessary to maintain the critical habitat is clearly as important as the conservation of the individual values themselves. Many biodiversity values are interdependent and cannot be conserved in isolation.
- iii. It is critical to maintain biological corridors and habitat connectivity to provide for wildlife passage to key habitats outside and between critical habitats (e.g. to allow migratory fish to travel between freshwater spawning sites and the sea, or to allow animal migration)
- iv. no reduction of any recognized Vulnerable, Endangered, or Critically Endangered species.
- v. any lesser impacts are mitigated (see types of mitigation measures noted above under natural habitats).
- vi. a robust, appropriately designed, and long-term **Biodiversity Action Plan** (see Appendix 9) is in place to achieve net gains of those biodiversity values for which the critical habitat was designated.



### 6.3.2.4 *Emergency Preparedness Plans/Measures*

The project will develop emergency preparedness plans and measures that aim to reduce and mitigate the residual risks arising from CC impacts and hazards that could not be avoided. These measures may include public awareness, early warning systems, strengthening response mechanisms (including plans and procedures) and services, provision of equipment and support to establishing contingency funds and stocks. The development of an effective emergency preparedness measures requires the involvement of governmental emergency services and disaster management organizations; the affected public, in particular vulnerable communities; private sector; community and humanitarian organizations, among others.

### 6.3.2.5 *Project-level Grievance Redress Mechanism (GRM)*

A GRM has already been developed. It will be updated early during the project’s implementation phase. The GRM will present a set of arrangements that enable local communities and other affected stakeholders to raise grievances with the Project and seek redress when they perceive or predict a negative impact arising from the project’s activities. The GRM is a keyway to mitigate, manage, and resolve potential or actual negative impacts, as well as fulfil Project’s obligations to key stakeholders.

Appendix 3 of this ESMF presents the terms of reference for a project-level Grievance Redress Mechanism.

### 6.3.2.6 *SEAH Grievance Redress Mechanism (SEAH-GRM)*

The project will develop a separate Grievance Redress Mechanism for SEAH-related grievances and complaints. The SEAH GRM will be survivor-centered and will be developed in line with the following good practices:

- Multiple uptake channels, identified in consultations with women and girls
- Separate, confidential logs (NO confidential information, coding system, locked storage, etc.)
- Provide feedback on the case to the survivor
- Exercise strong caution before communicating any outcomes beyond the survivor
- Process in place to seek and confirm survivor’s informed consent throughout the GM process
- Pre-established confidential info sharing protocols to ensure that only those having a role to play in the response to an allegation (i.e. GBV service providers) receive case level information, while allowing for timely incident escalation.

The SEAH GRM will have the following characteristics:

#### Confidentiality and Informed Consent:

- Inform the survivor that her case will only be shared with her informed consent and her information will be anonymized.
- Documenting and sharing of information will be done prioritizing ethical and safety considerations
- Consent is a process- survivor has the right to change her mind at any time, determine how her story is shared and to whom it is told

#### Safety

The safety of the survivor should always be considered the first and most important priority (i.e. quick and decisive action; safety planning support from service providers; confidential referrals; ongoing and careful communication).

- Registration and documentation of cases should be done according to international safety and ethical standards (i.e. anonymized data, strict information sharing protocols, etc).





- Communication and security planning with the survivor is prioritized when communicating the outcome of decisions made by the review or grievance committee.
- Non-Discrimination
- All survivors who report GBV incidents are entitled to equal and fair treatment regardless of age, gender, race, religion, nationality, ethnicity, sexual orientation, or any other characteristic.
- A survivor should be referred and provided services whether the incident was project-related or not. Accountability measures (such as firing a worker), can only be taken after verifying the incident.

### Respect

A survivor should be informed about the resolution of the case and any decision made. This should be done with care, so as not to put her in further harm. Initially the survivor may have stated that she wanted to pursue her case in the courts, but she has now changed her mind. She has said she doesn't want to pursue her case any further. Changing mind is possible and her decision should be respected. Tell the survivor that she is welcome to reach out should she need assistance in the future.

### Access to Quality, Holistic Services

- At uptake, reinforce healing messages such as: it's not your fault, I am sorry you have experienced this; and we are here to help.
- Refer to menu of available services to explain what support is available, etc. (do not offer unprompted advice or counsel—this should be reserved for professional service providers)
- Once accurate and clear information on services is provided-- refer the survivor based on her preferences while maintaining confidentiality
- Quality and accessibility of services is taken into account

#### 6.3.2.7 *Labour Management Procedures*

The Project will develop Labour Management Procedures as part of the ESIA/ESMP. The procedures will set out the conditions in which project workers will be employed or engaged and managed, in accordance with the requirements of the SES and applicable labour laws, rules and regulations. The procedures are appropriate to the size, locations and workforce of project activities. The labour management procedures will set out measures to prevent and address violence, harassment, intimidation and/or exploitation. Where applicable labour laws, rules and regulations are inconsistent with this paragraph, activities are carried out in a manner that is consistent with these requirements to the extent possible. The Labour management procedures include relevant human resources policies and procedures for the engagement of contractors. The Project will hire labour from individuals of 18 and above.

#### 6.3.2.8 *Security Plan*

A Security Plan will be developed in alignment with the guidelines and standard operating protocols established by the United Nations Department of Safety and Security (UNDSS) for work in the field of Haiti. The Security Plan will include an initial assessment of potential security risks in target site areas as well as the relevant protocols and structures to manage said risk in alignment with UN policy for work in the field. Management measures will include compliance and monitoring with the safety and security management system for the UN including basic training for staff and review and analysis of security trends within the areas of project intervention. Procedures will be integrated within the project's site specific ESIA/ESMPs and will be updated as needed.

The purpose of the Security Plan is to outline the responsibilities of individuals, actions to be carried out and the sequence to be followed in situations which may impact the security of project personnel involved in the implementation of the Project. Project personnel refers to national and international staff/consultants, as well as project partners and stakeholders, including local communities. This Security Plan is developed



to ensure their security and the proper implementation of the Project activities. The Security Plan will also be consistent with the relevant requirements SES Standard 3 (Community Health, Safety and Security) and SES Standard 7 (Labour and Working Conditions). The Project is also investing in health monitoring through Activity 3.3 and in coordination with the WHO.

### *6.3.2.9 A Conflict Analysis (to be conducted as part of the ESIA)*

A Conflict and Development Analysis (CDA) - or simply conflict analysis - is a tool that assists with analysing a specific context and developing strategies for reducing or eliminating the impact and consequences of violent conflict. It provides a deeper understanding of the issues that can drive conflict and the dynamics that have the potential to promote peace in a wide variety of countries where the United Nations (UN) operates.

As part of the ESIA's, the project will develop a Conflict Analysis (see annex 10). Guidance is provided in the methodological guide "CONDUCTING A CONFLICT AND DEVELOPMENT ANALYSIS", produced by the UN development group.

Additional management measures identified through the conflict analysis will be incorporated into the ESMPs and/or SEP

### *6.3.2.10 Gender Analysis and Action Plan (GAAP)*

The GAAP is already in place and will be monitored during project implementation. Updates will be informed by the SESA/ESIA.

### *6.3.2.11 Stakeholder Engagement Plan (SEP)*

A SEP has already been developed and will be monitored, updated and informed by SESA and ESIA's/ESMPs.

## **6.3.3 Additional Procedures for partnering with Third Parties**

The Project will involve personnel from several third parties (various Government agencies, Non-Governmental organisations, Civil Society Organizations, International Organizations, etc.) for its implementation. The Project will ensure that such partnerships are established with renowned organizations, that can demonstrate some level of experience and expertise in the subject matter.

At a minimum, the project will require that partners:  
be consistent with the UNDP social and environmental standards (SES),  
subject all on-the-ground activities to screening, using the SESP methodology,  
clear all proposed activities with the Project Gender and Safeguards Specialist  
ensure that gender considerations are fully integrated into all activities, and that activities proactively promote women's empowerment and human rights.  
prepare bi-annual reports on progress, including status of their compliance with UNDP environment, social, and gender policies.

When necessary, the Project will organize trainings and/or workshops to build the capacity of key project implementation partners and equip them with necessary knowledge and tools needed to effectively and efficiently achieve the objectives of the Project. This is key to ensuring continued success over the course of the project implementation, and beyond.



Such capacity building activities will start before the implementation of the first activity and will include a combination of the following topics:

- UNDP Social and Environmental Standards (SES)
- Stakeholder Engagement
- UNDP Accountability Mechanism (Grievance Redress Mechanism, SRM, SECU),
- Understanding UNDP Project Cycle,
- Monitoring and Evaluation of UNDP Projects,
- Gender Equality and Women’s Empowerment,
- Human Rights

UNDP requires that social and environmental assessments and adoption of appropriate mitigation plans/measures are completed, disclosed, and discussed with stakeholders prior to initiation of any project activities that has the potential to cause adverse social and environmental impacts. This includes interventions under the project’s Output 2 (See Table 1 and Table 7) that will be focused on (i) strengthening food security governance, (ii) the development of sustainable agricultural systems and (iii) the creation of social safety net that will be fully funded through Heifer International. Risks under Output 2.1, including the potential to perpetuate discrimination amongst women, have been included within the project’s SESP, ESMF and GAAP and will be monitored by the project.

**6.3.4 Recap of all management procedures**

Table 7 below recaps the management procedure and timeline of their development.

Step	Timing
Environmental and Social Management Framework (ESMF)	Project design phase – before validation
Stakeholder Engagement Plan (SEP)	Project design phase – before validation
Gender Analysis and Action Plan (GAAP)	Project design phase – before validation
Strategic Environmental and Social Assessment (SESA)	First draft completed within the first year of project implementation.
Scoped Environmental and Social Impact Assessments (ESIA)	First draft completed by the end of Year 2 of project implementation.
Environmental and Social Management Plans (ESMP) and required targeted management plans (including LMP, BAP, etc. as required).	First draft completed by the end of Year 2 of project implementation. (following the ESIA)
Security Plan	First draft completed within the first six months of project implementation.
Project-level Grievance Redress Mechanisms (GRM)	First draft completed within the first six months of project implementation.

**7 IMPLEMENTATION AND OPERATION**

**7.1 GENERAL MANAGEMENT STRUCTURE AND RESPONSIBILITIES**

A high-level Project Organization Structure is shown in Figure 15. The key roles are discussed below.

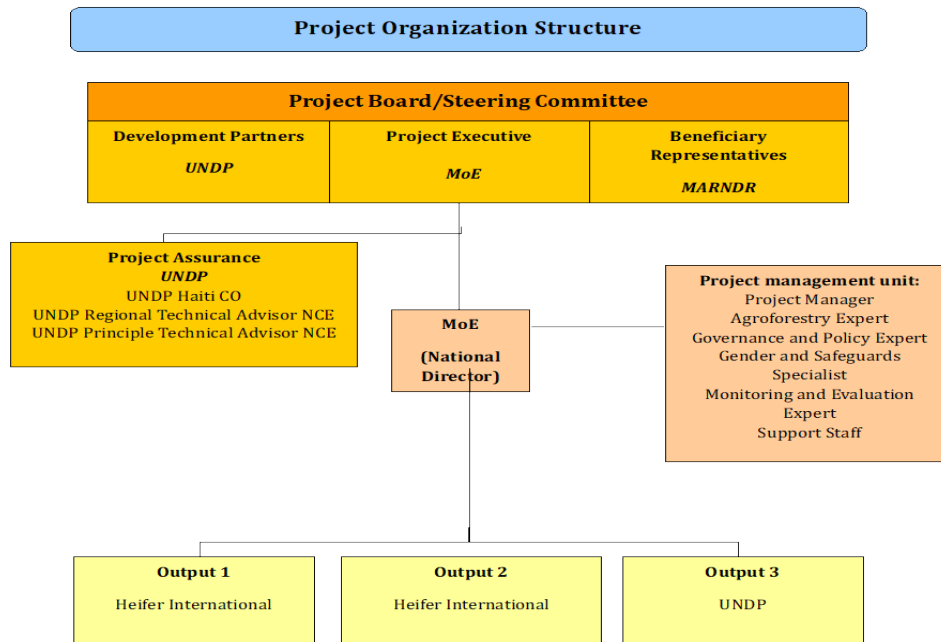


Figure 15: Project Organization Structure

### 7.1.1 Project Board (National Project Steering Committee)

The Project Board (National Project Steering Committee) is comprised of the Responsible Parties and the Implementing Partner. The Project Board reviews and appraises the detailed project plan, including the ESMF, and provides overall guidance and direction to the project, including guidance to the Project Manager on possible management actions to address specific risks.

### 7.1.2 Implementing Partner

The Ministry of Environment (MoE) is the National Designated Authority (NDA) and UNDP will act as the Implementing Agency / Executing Entity for this project as requested by the Government of Haiti. The MoE is accountable to UNDP for managing the project, including the monitoring and evaluation of project interventions, achieving project outcomes, and for the effective use of UNDP resources.

The Implementing Partner will work closely with the Project Management Unit (PMU) to implement project components and outputs, with other project partners, to ensure the following:

- The required ESIA is completed, and the required management plans are developed, disclosed for public consultation and approved, and management measures are adopted and integrated during project implementation;
- Report, fairly and accurately, on project progress against agreed work plans in accordance with the reporting schedule and required formats;
- Maintain documentation and evidence that describes the proper and prudent use of project resources in conformity to the signed Project Document and in accordance with applicable regulations and procedures (e.g. SES);
- Ensure all requirements of UNDP's SES and national regulatory/policy frameworks and relevant international standards have been addressed;
- Provide oversight on all matters related to safeguards;
- Inform all the stakeholders involved in, or potentially impacted, positively or negatively, by the Project, about the UNDP's corporate Accountability Mechanism;
- Ensure that the Compliance Review and the Stakeholder Response Mechanisms are operational during the lifetime of the project;
- Ensure technical control on implementation of this ESMF and administrative assistance in recruiting and/or contracting expert safeguards services (as required), and monitor adherence of each project to the ESMF and to UNDP policies and procedures.



### 7.1.3 Project Management Unit and Project Manager

The PMU will be established under the Implementing Partner (The MoE). The project implementation will be carried out by the Project Management Unit (PMU), which will consist of representatives responsible for making consensus-based strategic, policy and management decisions for the Project Management Unit. The PMU will be comprised of a National Project Manager, who will be supported by an M&E Officer, the Gender and Safeguards Specialist

The PMU is led by the Project Manager (national profile) who will coordinate the overall project implementation and will be supported by international and national consultants, and support staff to carry out the day-to-day management of the project. His/her function will end when the final project terminal evaluation report and other documentation required by the GCF and UNDP have been completed and submitted to UNDP. He/she is responsible for day-to-day management and decision-making for the project. His/her prime responsibility is to ensure that the project produces the results specified in the project document, to the required standard of quality and within the specified constraints of time and cost. The Project management will be supported by an administrative and a financial assistant, for the operational aspects of the project.

The PMU will be led by the Project Manager (PM) with delegated authority to administer the project on a day-to-day basis on behalf of Implementing Partner and UNDP, within the parameters determined by the project's highest oversight structure, the PSC. The PMU's responsibility includes the following:

- Supervise and manage implementation of measures defined in this ESMF;
- Assign specific responsibilities within the Implementing Partner, particularly in the PMU, for implementation of this ESMF;
- Maintain relevant records associated with management of environmental and social risks, including updated SESP, impact assessments, evidence of consultations, a log of grievances together with documentation of management measures implemented;
- Report to UNDP and the Project Steering Committee on the implementation of the ESMF;
- Ensure that all service providers also are informed of their responsibilities for the day-to-day compliance with the ESMF.

### 7.1.4 Project Assurance

The 'project assurance' function of UNDP is to support the Project Board by carrying out objective and independent project oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed. Project assurance has to be independent of the Project Manager; therefore, the Project Board cannot delegate any of its assurance responsibilities to the Project Manager. Furthermore, as the Senior Supplier, UNDP provides quality assurance for the project; ensures adherence to the NIM guidelines and compliance with UNDP policies and procedures, including its Social and Environmental Standards and implementation of the requirements of this ESMF.

## 7.2 PROJECT DELIVERY AND ADMINISTRATION

### 7.2.1 Project Delivery

UNDP will implement this project under support to NIM Modality with the MoE acting as an EE. Heifer International will act as Responsible Party to the project in implementation of Output 1 based on their work and experience in the region. Further Heifer International will be responsible for executing activities in Output 2 through its own cofinancing. UNDP will provide implementation support for the delivery of auditing and M&E requirements.

### 7.2.2 Administration of Environmental and Social Management Framework

As the executing entity, the MoE will be responsible for the implementation of the ESMF via the delivery organisations, with oversight from the Technical Team of the PMU. UNDP will provide support by providing quality assurance, technical support and monitoring of the implementation of the project's environmental and social management plans in its role as AE and as mandated by the signed AMA.



The ESMF will be part of any tender documentation. The UNDP in conjunction with the MoE will be responsible for the revision or updates of this document during the course of work. It is the responsibility of the person to whom the document is issued to ensure it is the most up to date version.

The UNDP and MoE are accountable for the provision of specialist advice on environmental and social issues to the delivery organisations (e.g. local government and/or NGOs) and for environmental and social monitoring and reporting. UNDP or its delegate will assess the environmental and social performance of the delivery organisations (e.g. local government and/or NGOs) in charge of delivering each component throughout the project and ensure compliance with the ESMF/ESMP. During operations the delivery organisations will be accountable for implementation of the ESMF/ESMP. Personnel working on the projects have accountability for preventing or minimising environmental and social impacts.

Site Supervisors will be appointed to be responsible for regular environmental inspections of the project site. UNDP or its delegates will cross check these inspections by undertaking bi-monthly audits, under the supervision of the M&E Officer.

The delivery organisations e.g. local government and /or NGOs will maintain and keep all administrative and environmental records, which would include a log of complaints and/or grievances together with records of any measures taken to mitigate the cause of the complaints and/or grievances.

The delivery organisations will be responsible for the day-to-day compliance of the ESMF/ESMP.

### 7.2.3 Social and environmental procedures, site and activity-specific work plans/instructions

Environmental procedures provide a written method describing how the management objectives for a particular environmental element are to be obtained. They contain the necessary detail to be site or activity-specific and are required procedure for all physical works. Site and activity-specific work plans and instructions are to be issued, these will be informed by the site specific ESIA/ESMPs and will follow best practices undertaken in Haiti by the UNDP, Inter-American Development Bank, and the USAID reforestation projects, as examples.

### 7.2.4 Social and environmental incident reporting

Any incidents, including non-conformances to the procedures of the ESMF, are to be recorded using an Incident Record and the details entered into a register. For any incident that causes or has the potential to cause material or significant social and/or environmental harm, the site supervisor/designated officer shall notify the Project Manager as soon as possible. The delivery organisation/NGO or local government personnel must cease work until remediation has been completed as per the approval of MoE. Annual reporting of incidents will take place through the Project Board in the Annual Performance Reports, as well as to UNDP's in-house personnel and relevant unit with the monitoring mandate.

### 7.2.5 Daily and weekly inspection checklists

A daily environmental checklist is to be completed at each work site by the relevant Site supervisor and maintained within a register. The completed checklist is forwarded to the PMU for review and follow-up if any issues are identified. A weekly environmental checklist is to be completed and will include reference to any issues identified in the daily checklists completed by the Site Supervisor.

### 7.2.6 Corrective Actions

Any non-conformances to the ESMF are to be noted in monthly environmental inspections and logged into the register. Depending on the severity of the non-conformance, the Site Supervisor may specify a corrective action on the weekly site inspection report. The progress of all corrective actions will be tracked using the register. Any non-conformances and the issue of corrective actions are to be advised to the PMU and UNDP.

### 7.2.7 Review and auditing

The ESMF and its procedures are to be reviewed at least every year by UNDP staff and the MoE. The objective of the review is to update the document to reflect knowledge gained during the course of project delivery/construction and to reflect new knowledge and changed community standards (values).



The ESMF will be reviewed and amendments made if:

- There are relevant changes to environmental conditions or generally accepted environmental practices or
- New or previously unidentified environmental risks are identified or
- Information from the project monitoring and surveillance methods indicate that current control measures require amendment to be effective or
- There are changes to environmental legislation that are relevant to the project or
- There is a request made by a relevant regulatory authority or
- Any changes are to be developed and implemented in consultation with UNDP Staff and MoE. When an update is made, all site personnel are to be made aware of the revision as soon as possible e.g. through a toolbox meeting or written notification.

### 7.3 CAPACITY BUILDING AND TRAINING

Delivery organisations (e.g. contractors, NGOs) have the responsibility for ensuring systems are in place so that relevant employees, contractors and other workers are aware of the environmental and social requirements for project implementation, including the ESMF.

All project personnel will attend an induction that covers relevant ESMF requirements, including health, safety, environment and cultural requirements. All workers engaged in any activity with the potential to cause serious social and/or environmental harm (e.g. handling of hazardous materials) will receive task specific training.

UNDP will provide further advice to the project team as needed to support implementation of the ESMF and the preparation, implementation and monitoring of social and environmental management plans.

The Project Management Unit (PMU) will have the final responsibility for the integration of the management plans in execution of the project. The integration of those plans will need to be considered, particularly the institutional needs within the implementation framework for application of the management plan(s), including a review of required budget allocations for each measure, as well as the authority and capability of institutions at different administrative levels (e.g. local, regional, and national) and their capacity to manage and monitor management plan implementation. Where necessary, capacity building and technical assistance activities will be included to enable proper implementation of the management.

To better involve local communities and other vulnerable or marginalized groups in managing the social and environmental risks of the Project as well as being involved more broadly across the multiple aspects of the Project, informational and awareness raising sessions will be held for the stakeholders who are expected to be involved in the Implementation of the Environmental and Social Management Framework (ESMF) and the Environmental and Social Management Plan (ESMP) and subsequently derived Action Plans as well as involved in key outputs and activities organized under the Project.

## 8 STAKEHOLDER ENGAGEMENT

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### 8.1 GENERAL COMMUNICATIONS

The UNDP and the MoE will develop and release updates on the project on a regular basis to provide interested stakeholders with information on project status. Updates may be via a range of media e.g. print, radio, social media or formal reports. A publicized telephone number will be maintained throughout the project to serve as a point of contact for enquiries, concern, complaints and/or grievances. All material must be published in English and French, as appropriate.



## 8.2 STAKEHOLDER CONSULTATION AND INFORMATION DISCLOSURE

Summary of Requirements of Stakeholder Engagement (refer to full text in UNDP SES, Policy Delivery Process, paras. 12-20)

- Ensure meaningful, effective and informed participation of stakeholders in the formulation and implementation of UNDP Programmes and Projects, providing stakeholders opportunities to express their views at all points in the Project decision-making process on matters that affect them (SES, para. 15; SES, Policy Delivery Process (PDP), paras. 12, 14)
- Ensure that stakeholder analysis and engagement are conducted in a gender-responsive, culturally sensitive, non-discriminatory and inclusive manner, identifying potentially affected vulnerable and marginalized groups and providing them opportunities to participate (SES, PDP, 12).
- Develop appropriately scaled stakeholder engagement plans. The scale and frequency of engagement will reflect the nature of the activity, magnitude of potential risks and adverse impacts, and concerns raised by affected communities (SES, PDP, paras. 13, 15).
- Meaningful, effective and informed consultation processes need to meet specified criteria, including free of intimidation and external manipulation; inclusive; gender and age responsive; culturally appropriate and tailored to language preferences; and based on timely disclosure of accessible information (SES, PDP, para. 14)
- Ensure that stakeholders who may be adversely affected by the Project can communicate their concerns and grievances (SES, PDP, paras. 17, 18)
- For Projects that affect rights, lands, territories, resources, and traditional livelihoods of indigenous peoples, ensure free, prior informed consent (FPIC) (SES, PDP, para. 16, SES, Standard 6, para. 9)
- Provide ongoing reporting to affected communities and individuals for Projects with significant adverse social and environmental impacts (SES, PDP, para. 25)
- Undertake measures to ensure effective stakeholder engagement occurs where conditions for inclusive participation are unfavorable (SES, PDP, para. 12)
- Information Disclosure: The Project’s SESP and ESMF (Annexes VI A & B) will be uploaded by the GCF on the website and shared by UNDP publicly as well 60 days before project approval. The Project will ensure the public disclosure of SESA/ESIA/ESMPs. Documents will be uploaded on the webpages of the relevant Haitian counterparts, as well as UNDP. Community consultation will continue throughout the implementation period. During these consultations and meetings, program team will ensure that affected local communities are informed about the ESIA provisions, including its grievance redressal mechanism and procedures (GRM) on making a complaint. Local communities and other interested stakeholders may raise a grievance/complaint at all times – using the GRM processes outlined in sub-section 8.3.2 and Appendix 3 of the ESMF.

The project builds on extensive stakeholder engagement and consultations which will continue throughout project implementation, including in the identification, assessment, and development of management measures for forthcoming project activities. The project was discussed with a wide range of stakeholders including relevant government departments, industry groups, NGOs, and individual community members (including marginalized groups) and approved by the Government of Haiti. These extensive on-the-ground consultations undertaken during the design of the project (as well as during the earlier interventions that this project complements and up-scales) closely informed overall project design and the ESMP, and it is expected that consultations with affected communities and beneficiaries will continue. It is anticipated that based on the communities’ needs, the projects will be fully accepted.



Meaningful, effective and informed stakeholder engagement and participation will continue to be undertaken that will seek to build and maintain over time a constructive relationship with stakeholders, with the purpose of avoiding or mitigating any potential risks in a timely manner. The scale and frequency of the engagement will reflect the nature of the activity, the magnitude of potential risks and adverse impacts, and concerns raised by affected communities.

Stakeholders will have access to relevant project information in order to understand potential project-related opportunities and risks and to engage in project design and implementation. Specifically, the following information will be made available:

- Stakeholder engagement plans and summary reports of stakeholder consultations,
- Social and environmental screening reports (SESP) with project documentation (30 days prior to approval),
- Draft social and environmental assessments, including any draft management plans (30 days prior to finalization),
- Final social and environmental assessments and associated management plans,
- Any required social and environmental monitoring reports.

This information is to be disclosed in a timely manner, in an accessible place, and in a form and language understandable to affected persons and other stakeholders. These elements of effective disclosure are briefly elaborated below:

**Timely disclosure:** information on potential project-related social and environmental impacts and mitigation/management measures will be provided in advance of decision-making whenever possible. In all cases, draft and final screenings, assessments and management plans must be disclosed and consulted on prior to implementation of activities that may give rise to potential adverse social and environmental impacts.

As the project risk has been assessed to be Substantial, the disclosure period of all draft SES docs is 60 days before project approval, and 60 days prior to the start of the relevant activities for all SES documents prepared during implementation (ESIAs/ESMPs, etc.). Disclosure is expected in-person and online, plus with translation. UNDP's Guidance Note on Disclosure may be reviewed for more clarity for more info.

**Accessible information:** Appropriate means of dissemination will need to be considered in consultation with stakeholders. This could include posting on websites, public meetings, local councils or organizations, newspaper, television and radio reporting, flyers, local displays, direct mail.

**Appropriate form and language:** Information needs to be in a form and language that is readily understandable and tailored to the target stakeholder group.

The UNDP and MoE will develop and release updates on the project on a regular basis to provide interested stakeholders with information on project status. Updates may be via a range of media e.g. print, radio, social media or formal reports. A publicized telephone number will be maintained throughout the project to serve as a point of contact for enquiries, concerns, complaints and/or grievances. All enquiries, concerns, complaints and/or grievances will be recorded on a register and the appropriate manager will be informed. All material must be published in English and Haitian Creole (Kreyòl) as appropriate.

Where there is a community issue raised, the following information will be recorded:

- Time, date and nature of enquiry, concerns, complaints and/or grievances
- Type of communication (e.g. telephone, letter, personal contact)
- Name, contact address and contact number
- Response and investigation undertaken as a result of the enquiry, concerns, complaints and/or grievances, and
- Actions taken and name of the person taking action.



Some enquiries, concerns, complaints and/or grievances may require an extended period to address. The complainant(s) will be kept informed of progress towards rectifying the concern. All enquiries, concerns, complaints and/or grievances will be investigated and a response given to the complainant in a timely manner. A grievance redress mechanism has been included in the ESMP to address any complaints and/or grievances that may not be able to be resolved quickly. The Gender and Safeguards Specialist will be responsible for undertaking a review of all enquiries, concerns, complaints and/or grievances and ensuring progress toward resolution of each matter.

### **8.3 COMPLAINT REGISTER AND GRIEVANCE REDRESS MECHANISM**

During the implementation phases of any project, a person or group of people can be adversely affected, directly or indirectly due to the project activities. The grievances that may arise can be related to social issues such as eligibility criteria and entitlements of selected beneficiaries, gender norm changes, access to project benefits by marginalized groups, disruption of services, temporary or permanent loss of livelihoods and other social and cultural issues. Grievances may also be related to environmental issues such as impacts on water quality, damage to infrastructure due to construction or transportation of raw material, noise, decrease in quality or quantity of private/ public surface/ ground water resources during implementation of the agroforestry and reforestation, activities of the project.

Should such a situation arise, there must be a mechanism through which affected parties can resolve such issues in a cordial manner with the project personnel in an efficient, unbiased, transparent, timely and cost-effective manner. To achieve this objective, a grievance redress mechanism has been included in ESMF for this project.

The project allows those that have a complaint and/or grievance to be able to communicate their concerns and/or grievances through an appropriate process. The Grievance Redress Mechanism set out in this ESMF is to be used as part of the project and will provide an accessible, rapid, fair and effective response to concerned stakeholders, especially any vulnerable group who often lack access to formal legal regimes.

While recognising that many complaints and/or grievances may be resolved immediately, the Grievance Redress Mechanism set out in this ESMF encourages mutually acceptable resolution of issues as they arise. The Grievance Redress Mechanism set out in this ESMF has been designed to:

- Be a legitimate process that allows for trust to be built between stakeholder groups and assures stakeholders that their concerns will be assessed in a fair and transparent manner
- Allow simple and streamlined access to the Complaints Register and Grievance Redress Mechanism for all stakeholders and provide adequate assistance for those that may have faced barriers in the past to be able to raise their concerns
- Provide clear and known procedures for each stage of the Grievance Redress Mechanism process, and provides clarity on the types of outcomes available to individuals and groups
- Ensure equitable treatment to all concerned and aggrieved individuals and groups through a consistent, formal approach that, is fair, informed and respectful to a concern, complaint and/or grievance
- To provide a transparent approach, by keeping any aggrieved individual/group informed of the progress of their complaint and/or grievance, the information that was used when assessing their complaint and/or grievance and information about the mechanisms that will be used to address it, and
- Enable continuous learning and improvements to the Grievance Redress Mechanism. Through continued assessment, the knowledge generated through the process may reduce potential future complaints and grievances.
- Eligibility criteria for the Grievance Redress Mechanism include:
- Perceived negative economic, social or environmental impact on an individual and/or group, or concern about the potential to cause an impact





- Clearly specified kind of impact that has occurred or has the potential to occur; and explanation of how the project caused or may cause such impact, and
- Individual and/or group filing of a complaint and/or grievance is impacted, or at risk of being impacted; or the individual and/or group filing a complaint and/or grievance demonstrates that it has authority from an individual and or group that have been or may potentially be impacted on to represent their interest.
- Local communities and other interested stakeholders may raise a complaint and/or grievance at all times to the MoE, and UNDP. Affected local communities should be informed about the ESMP provisions, including its grievance mechanism and how to file a grievance.

### 8.3.1 Complaints Register

Where there is a community issue raised, the following information will be recorded:

- Time, date and nature of enquiry, concerns, complaints and/or grievances
- Type of communication (e.g. telephone, letter, personal contact)
- Name, contact address and contact number
- Response and investigation undertaken as a result of the enquiry, concerns, complaints and/or grievances, and
- Actions taken and name of the person taking action.

A complaints register will be established as part of the project to record any concerns raised by the community during construction. Any complaint and/or grievance will be advised to the UNDP and MoE within 24 hours of receiving the complaint and/or grievance. The complaint and/or grievance will be screened. Following the screening, complaints and/or grievances regarding corrupt practices will be referred to the UNDP for commentary and/or advice along with the MoE.

Wherever possible, the project team will seek to resolve the complaint and/or grievance as soon as possible, and thus avoid escalation of issues. However, where a complaint and/or grievance cannot be readily resolved, then it must be escalated.

A summary list of complaints and/or grievances received and their disposition must be published in a report produced every six months.

### 8.3.2 Grievance Redress Mechanism

A project-level Grievance Redress Mechanism has been developed and will be operationalized at the start of project implementation to address all complaints and/or grievances in the project. The project-level mechanism involves the receipt of a complaint and/or grievance at the Commune/Section/Department level. The stakeholders are informed of various points of making complaints and/or grievances (if any) and the Commune/Section/Department staff, the M&E Officer from the PMU or the other focal points collect the complaints and/or grievances from these points on a regular basis and record them, followed by coordinating with the concerned parties to redress the grievances. The M&E Officer of the PMU will coordinate the activities at the district level to address the grievances and would act as the focal point in this regard. Commune/Section/Department staff or any other officers (Site Supervisors) given the responsibility to receive and record grievances/complaints will coordinate with the M&E Officer and MoE in redressing the grievances. The designated officers of the Local Authorities will also be provided with sufficient training in the procedure of redress to continue such systems in future.

The grievance can be made orally (to the field staff) in writing to the UNDP, M&E Officer, MoE or the contractors/ NGOs. Complainants may specifically contact the M&E Officer or other focal points and request confidentiality if they have concerns about retaliation. In cases where confidentiality is requested (i.e. not revealing the complainant's identity to UNDP, MoE and/or the contractors/ NGOs). In these cases, the M&E Officer will review the grievances, discuss it with the complainant, and determine how best to engage project-executing entities while preserving confidentiality for the complainant.

As soon as a complaint and/or grievance is received, the Gender and Safeguards Specialist would issue an acknowledgement. The focal point receiving the complaint and/or grievance should try to obtain





relevant basic information regarding the grievance and the complainant and will immediately inform the Gender and Safeguards Specialist in the PMU.

The PMU will maintain a Complaint/Grievance Redress register at the Section Level (with the relevant information at the Commune/Department level recorded). Keeping records collected from relevant bodies is the responsibility of PMU.

After registering the complaint and/or grievance, the M&E Officer will study the complaint and/or grievance made in detail and forward the complaint and/or grievance to the concerned officer with specific dates for replying and redressing the same. The M&E Officer will hold meetings with the affected persons / complainant and then attempt to find a solution to the complaint and/or grievance received. If necessary, meetings will be held with the concerned affected persons / complainant and the concerned officer to find a solution to the problem and develop plans to redress the grievance. The deliberations of the meetings and decisions taken are recorded. All meetings in connection with the Grievance Redress Mechanism, including the meetings of the Grievance Redress Committee, must be recorded. The M&E Officer for the Grievances Redress Mechanism will be actively involved in all activities.

The resolution at the first tier will be normally be completed within 15 working days and the complaint and/or grievance will be notified of the proposed response through a disclosure form. The resolution process should comply with the requirements of the Grievance Redress Mechanism in that it should, as far as practicable, be informal with all parties acting in good faith. Further, the Grievance Redress Mechanism should, as far as practicable, achieve mutually acceptable outcomes for all parties.

Should the grievance be not resolved within this period to the satisfaction of the complainant, the grievance will be referred to the next level of Grievance Redress Mechanism. If the M&E Officer feels that adequate solutions can be established within the next five working days, the officer can decide on retaining the issue at the first level by informing the complainant accordingly. However, if the complainant requests for an immediate transfer to the next level, the matter must be referred to the next tier. In any case, where the issue is not addressed within 20 working days, the matter is referred to the next level.

Any grievance related to corruption or any unethical practice should be referred immediately to the designated national authority for grievances in the Government of Haiti and the Office of Audit and Investigation within the UNDP in New York.

The M&E Officer of the PMU will prepare a report on the Grievance Redress issues of the Project for addition into project reports. The M&E Officer of the PMU will initially brief all the staff of PMU, and the implementing entities (contractors/NGOs) on the Grievance Redress Mechanism of the Project and explain them the procedures and formats to be used including the reporting procedures. The M&E Officer will further brief the concerned Local Authorities on the Grievance Redress Mechanism of the Project and explain to them the procedures and formats to be used including the reporting procedures.

### 8.3.3 UNDP SRM and SECU

In addition to the project-level and national grievance redress mechanisms, complainants have the option to access UNDP's Accountability Mechanism, with both compliance and grievance functions. The Social and Environmental Compliance Unit investigates allegations that UNDP's Standards, screening procedure or other UNDP social and environmental commitments are not being implemented adequately, and that harm may result to people or the environment. The Social and Environmental Compliance Unit is housed in the Office of Audit and Investigations, and managed by a Lead Compliance Officer. A compliance review is available to any community or individual with concerns about the impacts of a UNDP programme or project. The Social and Environmental Compliance Unit is mandated to independently and impartially investigate valid requests from locally impacted people, and to report its findings and recommendations publicly.

The Stakeholder Response Mechanism offers locally affected people an opportunity to work with other stakeholders to resolve concerns, complaints and/or grievances about the social and environmental impacts of a UNDP project. Stakeholder Response Mechanism is intended to supplement the proactive stakeholder engagement that is required of UNDP and its Implementing Partners throughout the project cycle. Communities and individuals may request a Stakeholder Response Mechanism process when they have used standard channels for project management and quality assurance, and are not satisfied with the response (in this case the project level grievance redress mechanism). When a valid Stakeholder Response Mechanism request is submitted, UNDP focal points at country, regional and headquarters levels will work with concerned stakeholders and Implementing Partners to address and resolve the concerns. Visit [www.undp.org/secu-srm](http://www.undp.org/secu-srm) for more details. The relevant form is attached at the end of the ESMF.

### 8.3.4 GCF's IRM

The GCF's IRM's - <https://irm.greenclimate.fund/contact> - mission is to address complaints from affected people and provide recourse in a way that is fair, effective and transparent, and enhance the performance of GCF's climate funding. The IRM also accepts requests from Developing Countries seeking reconsideration of funding proposals that were denied by the GCF Board.

Any person or a group of persons, or a community that has been or may be affected negatively by a GCF project or programme (including those being actively considered for funding by the GCF) may file a complaint. The affected person(s) can authorise their government or representative to file and pursue the complaint on their behalf.

A complaint with the IRM can be filed by:

- Sending it by mail or email;
- Sending a voice or video recording;
- Filling out the online complaints form.

A complaint can be filed in English, or in the local language of the complainant. Where possible, a translation should be provided in English. Otherwise, the IRM will attempt to have the complaint translated and respond in the language of the complainant.

The IRM will provide confidentiality upon receiving a complaint if requested to do so by the complainant. This includes the names and identities of complainants and any designated representatives. Where disclosure may be required to address the complaint, the IRM will consult with the complainant prior to disclosing any confidential information.

Contact details of the IRM: <https://irm.greenclimate.fund/contact>

## 9 MONITORING AND EVALUATION OF ESMF IMPLEMENTATION

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Table 8 provides a summary of specific measures related to implementation of the ESMF requirements. The aim is to promote a participatory and gender-responsive approach, and ensure that risks and potential impacts are assessed according the site of implementation and the appropriate modality is triggered to treat and mitigate these risks.

Table 8: Summary of ESMF Implementation Activities:

Monitoring Activity	Purpose	Frequency	Expected Action	Roles and Responsibilities	Cost (if any)
<b>Development of Environmental and Social Impact Assessment (ESIA)</b>	Carried out and drafted in a participatory and gender responsive manner, in-depth analysis of potential social and environmental impacts, as well as identification / validation of mitigation measures linked to projects activities.	Quarters one and two of programme implementation	Risks and potential impacts are assessed according the site of implementation and the modality, with support of external consultants and participation of project team and stakeholders; management actions are identified and incorporated into project implementation strategies.	The PMU (with the support of UNDP) will launch the ESIA process. A group of consultants will lead the process and garner the expertise needed. Stakeholders will review the terms of reference, and validate the findings. The Consultants and the team will ensure that relevant changes and updates are made to the ESMF and again validated by stakeholders.	See budget
<b>Track progress of ESMF implementation</b>	Application of mitigation measures, as well as any required changes to ESMF, including site-specific plans as required by applicable SES, will be monitored through a participatory process, and with results reported to Project Board on bi-annual basis.	Quarterly, or in the frequency required for each measure.	Slower than expected progress will be addressed by project management.	Collection of data will be ascribed to various stakeholder groups and the PMU. The project management unit, and particularly the Gender and Safeguards Specialist, will integrate the mitigation measures into the overall monitoring and reporting framework of the project.	See budget

Monitoring Activity	Purpose	Frequency	Expected Action	Roles and Responsibilities	Cost (if any)
<b>Implementation of mitigation measures and monitoring of potential impacts identified in ESIA,</b>	Permanent and participatory implementation and monitoring of impacts and mitigation measures, in accordance with Environmental and Social Management Plan	Continuous	Implementation of ESMF; participatory monitoring of ESIA findings (i.e. identifying and aligning indicators, monitoring potential impacts and risks); integration of ESMF into project implementation strategies	The PMU will be responsible for the implementation of the mitigation measures in conjunction with stakeholders in various parts of the project.	See budget
<b>Learning</b>	Knowledge, good practices and lessons learned regarding social and environmental risk management will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project.	At least annually	Relevant lessons are captured by the project team and used to inform management decisions.	Project management unit with the communications officer, and the learning units of the project, including sub-national and local partners.	See budget
<b>Bi-Annual Project Quality Assurance</b>	The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project.	Bi-Annually	Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance.	UNDP and the Project Board.	See budget

Monitoring Activity	Purpose	Frequency	Expected Action	Roles and Responsibilities	Cost (if any)
<b>Review and adapt activities and approach as necessary</b>	Internal review of data and evidence from all monitoring actions to inform decision making.	At least annually	Performance data, risks, lessons and quality will be discussed by the project board and used to make course corrections.	PMU and the Project Board	See budget
<b>Project Report</b>	As part of progress report to be presented to the Project Board and key stakeholders, analysis, updating and recommendations for risk management will be included.	Annually, and at the end of the project (final report)		PMU	See budget
<b>Project Review (Project Board)</b>	The project's governance mechanism (i.e., project board) will hold regular project reviews during which an updated analysis of risks and recommended risk mitigation measures will be discussed.	At least annually	Any risks and/ or impacts that are not adequately addressed by national mechanisms or project team will be discussed in project board. Recommendations will be made.	Project Board	See budget

## 10 BUDGET FOR ESMF IMPLEMENTATION

A budget has been prepared for the implementation of the ESMF as follows:

Item	Cost
One SESA and the four scoped ESIA/ESMPs and related management Plans, including national and international consultants, travel expenses and consultations requirements	<b>130,000</b>
Implementation of management measures and monitoring	<b>50,000</b>
Assessment of Capacity of Partners (HACT Methodology)	<b>\$10,000</b>
Stakeholder Engagement Workshops, facilitated by the Gender and Safeguards Specialist	<b>\$80,000</b>
<b>Total</b>	<b>\$270,000</b>

### Appendices

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**Appendix 1: Indicative Outline for ESIA Report**

**Appendix 2: Indicative Outline for ESMP**

**Appendix 3: Sample ToR for Project-level Grievance Redress Mechanism**

**Appendix 4: Guidance for Submitting a Request to UNDP SECU and/or SRM**

**Appendix 5: Indicative Outline for Livelihood Action Plan**

**Appendix 6: Indicative Outline for Labour Management Procedures**

**Appendix 7: Note to File – Standard 6**

**Appendix 8: Chance Find Procedures**

**Appendix 9: Guidance for Biodiversity Action Plan**

**Appendix 10: Guidance for Conflict Analysis**

**Link to the Social and Environmental standards document :**

[https://www.undp.org/sites/g/files/zskgke326/files/2023-06/Annex%2006A-UNDP-5996-%20GCF-Haiti-SESP\\_cleared%20june2023\\_0.pdf](https://www.undp.org/sites/g/files/zskgke326/files/2023-06/Annex%2006A-UNDP-5996-%20GCF-Haiti-SESP_cleared%20june2023_0.pdf)





### **Appendix 1: Indicative Outline for ESIA Report**

An ESIA report should include the following major elements (not necessarily in the following order):

(1) Executive summary: Concisely discusses significant findings and recommended actions.

(2) Legal and institutional framework: Summarizes the analysis of the legal and institutional framework for the project, within which the social and environmental assessment is carried out, including (a) the country's applicable policy framework, national laws and regulations, and institutional capabilities (including implementation) relating to social and environmental issues; obligations of the country directly applicable to the project under relevant international treaties and agreements; (b) applicable requirements under UNDP's SES; and (c) and other relevant social and environmental standards and/or requirements, including those of any other donors and development partners. Compares the existing social and environmental framework and applicable requirements of UNDP's SES (and those of other donors/development partners) and identifies any potential gaps that will need to be addressed.

(3) Project description: Concisely describes the proposed project and its geographic, social, environmental, and temporal context, including any offsite activities that may be required (e.g., dedicated pipelines, access roads, power supply, water supply, housing, and raw material and product storage facilities), as well as the project's primary supply chain. Includes a map of sufficient detail, showing the project site and the area that may be affected by the project's direct, indirect, and cumulative impacts. (i.e. area of influence).

(4) Baseline data: Summarizes the baseline data that is relevant to decisions about project location, design, operation, or mitigation measures; identifies and estimates the extent and quality of available data, key data gaps, and uncertainties associated with predictions; assesses the scope of the area to be studied and describes relevant physical, biological, and socioeconomic conditions, including any changes anticipated before the project commences; and takes into account current and proposed development activities within the project area but not directly connected to the project.

(5) Social and environmental risks and impacts: Predicts and takes into account all relevant social and environmental risks and impacts of the project, including those related to UNDP's SES (Overarching Policy and Principles and Project-level Standards). These will include, but are not limited to, the following:

(a) *Environmental risks and impacts*, including: any material threat to the protection, conservation, maintenance and rehabilitation of natural habitats, biodiversity, and ecosystems; those related to climate change and other transboundary or global impacts; those related to community health and safety; those related to pollution and discharges of waste; those related to the use of living natural resources, such as fisheries and forests; and those related to other applicable standards.

(b) *Social risks and impacts*, including: any project-related threats to human rights of affected communities and individuals; threats to human security through the escalation of personal, communal or inter-state conflict, crime or violence; risks of gender discrimination, GBV and SEAH; risks that adverse project impacts fall disproportionately on disadvantaged or marginalized groups; any prejudice or discrimination toward individuals or groups in providing access to development resources and project benefits, particularly in the case of disadvantaged or marginalized groups; negative economic and social impacts relating to physical displacement (i.e. relocation or loss of shelter) or economic displacement (i.e. loss of assets or access to assets that leads to loss of income sources or means of livelihood) as a result of project-related land or resource acquisition or restrictions on land use or access to resources; impacts on the health, safety, security and well-being of workers and project-affected communities; and risks to cultural heritage.

(c) *Pollution prevention and resource efficiency*: relates to activities that (i) aim to improve existing waste management practices; (ii) generate or cause generation of solid, liquid or gaseous waste; (iii) use, cause use of, or manage the use, storage or disposal of hazardous materials and chemicals, including pesticides; and (iv) that significantly consume or cause consumption of water, energy, or other resources. Further guidance is available [at here](#).<sup>12</sup>

(6) *Analysis of alternatives*: systematically compares feasible alternatives to the proposed project site, technology, design, and operation – including the "without project" situation – in terms of their potential social and environmental impacts; assesses the alternatives' feasibility of mitigating the adverse social and environmental impacts; the capital and recurrent costs of alternative mitigation measures, and their suitability under local conditions; the institutional, training, and monitoring requirements for the alternative mitigation measures; for each of the alternatives, quantifies the social and environmental impacts to the extent possible, and attaches economic values where feasible. Sets out the basis for selecting the particular project design.

(7) *Mitigation Measures*: Inclusion or summary of (with attachment of full) Environmental and Social Management Plan (ESMP) (see indicative outline of ESMP below.) The ESMP identifies mitigation measures required to address identified social and environmental risks and impacts, as well as measures related to monitoring, capacity development, stakeholder engagement, and implementation action plan.

(8) *Conclusions and Recommendations*: Succinctly describes conclusion drawn from the assessment and provides recommendations.

Appendices: (i) List of the individuals or organisations that prepared or contributed to the social and environmental assessment; (ii) References – setting out the written materials both published and unpublished, that have been used; (iii) Record of meetings, consultations and surveys with stakeholders, including those with affected people and local NGOs. The record specifies the means of such stakeholder engagement that were used to obtain the views of affected groups and local NGOs, summarizes key concerns and how these concerns addressed in project design and mitigation measures; (iv) Tables presenting the relevant data referred to or summarized in the main text; (v) Attachment of any other mitigation plans; (vi) List of associated reports or plans.

<sup>12</sup> [https://info.undp.org/sites/bpps/SES\\_Toolkit/SitePages/Standard%208.aspx](https://info.undp.org/sites/bpps/SES_Toolkit/SitePages/Standard%208.aspx)

### Appendix 2: Indicative Outline for ESMP

An ESMP may be prepared as part of the Environmental and Social Impact Assessment (ESIA) or as a stand-alone document. The content of the ESMP should address the following sections, in addition to the ESIA information, which should follow the template presented in Appendix 1:

(1) **Mitigation:** Identifies measures and actions in accordance with the mitigation hierarchy that avoid, or if avoidance not possible, reduce potentially significant adverse social and environmental impacts to acceptable levels. Specifically, the ESMP: (a) identifies and summarizes all anticipated significant adverse social and environmental impacts; (b) describes – with technical details – each mitigation measure, including the type of impact to which it relates and the conditions under which it is required (e.g., continuously or in the event of contingencies), together with designs, equipment descriptions, and operating procedures, as appropriate; (c) estimates any potential social and environmental impacts of these measures and any residual impacts following mitigation; and (d) takes into account, and is consistent with, other required mitigation plans (e.g. for displacement).

(2) **Monitoring:** Identifies monitoring objectives and specifies the type of monitoring, with linkages to the impacts assessed in the environmental and social assessment and the mitigation measures described in the ESMP. Specifically, the monitoring section of the ESMP provides (a) a specific description, and technical details, of monitoring measures, including the parameters to be measured, methods to be used, sampling locations, frequency of measurements, detection limits (where appropriate), and definition of thresholds that will signal the need for corrective actions; and (b) monitoring and reporting procedures to (i) ensure early detection of conditions that necessitate particular mitigation measures, and (ii) furnish information on the progress and results of mitigation.

(3) **Capacity development and training:** To support timely and effective implementation of social and environmental project components and mitigation measures, the ESMP draws on the environmental and social assessment of the existence, role, and capability of responsible parties on site or at the agency and ministry level. Specifically, the ESMP provides a description of institutional arrangements, identifying which party is responsible for carrying out the mitigation and monitoring measures (e.g. for operation, supervision, enforcement, monitoring of implementation, remedial action, financing, reporting, and staff training). Where support for strengthening social and environmental management capability is identified, ESMP recommends the establishment or expansion of the parties responsible, the training of staff and any additional measures that may be necessary to support implementation of mitigation measures and any other recommendations of the environmental and social assessment.

(4) **Stakeholder Engagement:** Outlines plan to engage in meaningful, effective and informed consultations with affected stakeholders. Includes information on (a) means used to inform and involve affected people in the assessment process; (b) summary of stakeholder engagement plan for meaningful, effective consultations during project implementation, including identification of milestones for consultations, information disclosure, and periodic reporting on progress on project implementation; and (c) description of effective processes for receiving and addressing stakeholder concerns and grievances regarding the project's social and environmental performance.

(5) **Implementation action plan (schedule and cost estimates):** For all four above aspects (mitigation, monitoring, capacity development, and stakeholder engagement), ESMP provides (a) an implementation schedule for measures that must be carried out as part of the project, showing phasing and coordination with overall project implementation plans; and (b) the capital and recurrent cost estimates and sources of funds for implementing the ESMP. These figures are also integrated into the total project cost tables. Each of the measures and actions to be implemented will be clearly specified and the costs of so doing will be integrated into the project's overall planning, design, budget, and implementation.

(6) **Biodiversity Action Plan:** A Biodiversity Action Plan will be part of the relevant ESMPs, to be prepared during implementation in line with UNDP SES Standard 1 on Biodiversity and NRM (which is equivalent to GCF ESS 6).

### **Appendix 3: Sample ToR for Project-level Grievance Redress Mechanism**

#### I. Mandate

The mandate of the GRM will be to:

- receive and address any concerns, complaints, notices of emerging conflicts, or grievances (collectively “*Grievance*”) alleging actual or potential harm to affected person(s) (the “*Claimant(s)*”) arising from Project;
- assist in resolution of Grievances between and among Project Stakeholders; as well as the various government ministries, agencies and commissions, CSOs and NGOs, and other natural resource users (collectively, the “*Stakeholders*”) in the context of the REDD+ Project;
- Conduct itself at all times in a flexible, collaborative, and transparent manner aimed at problem solving and consensus building.

#### II. Functions

The functions of the GRM will be to:

- Receive, Log and Track all Grievances received;
- Provide regular status updates on Grievances to Claimants, Policy Board (PB) members and other relevant Stakeholders, as applicable;
- Engage the PB members, Government institutions and other relevant Stakeholders in Grievance resolution;
- Process and propose solutions and ways forward related to specific Grievances within a period not to exceed sixty (60) days from receipt of the Grievance;
- Identify growing trends in Grievances and recommend possible measures to avoid the same;
- Receive and service requests for, and suggest the use of, mediation or facilitation;
- Elaborate bi-annual reports, make said reports available to the public, and more generally work to maximize the disclosure of its work (including its reports, findings and outcomes);
- Ensure increased awareness, accessibility, predictability, transparency, legitimacy, and credibility of the GRM process;
- Collaborate with Partner Institutions and other NGOs, CSOs and other entities to conduct outreach initiatives to increase awareness among Stakeholders as to the existence of the GRM and how its services can be accessed;
- Ensure continuing education of PB members and their respective institutions about the relevant laws and policies that they will need to be aware of to participate in the development of effective resolutions to Grievances likely to come before the GRM;
- Monitor follow up to Grievance resolutions, as appropriate.

#### III. Composition

The GRM will be composed of:

[Name of Implementing Partner] as the Secretariat and either:

- A standing GRM Sub-Committee [made up of x, y, z PB members]; and/or
- Ad hoc GRM Task Teams in response to specific requests for grievance

The GRM Sub-Committee will be balanced in composition (government and non-government) and should not include any PB members with a direct interest or role in the grievance/dispute.

#### IV. [Name of Implementing Partner]

In its role as GRM Secretariat, [Name of Implementing Partner] will perform the following core functions:

- Publicize the existence of the GRM and the procedure for using it;
- Receive and log requests for dispute resolution;
- Acknowledge receipt to the requestor;



- Determine eligibility;
- Forward eligible requests to the PB for review and action, and
- Track and document efforts at grievance/dispute resolution and their outcomes.

### V. Project Board

The Project Board would perform the following core functions:

GRM Sub-Committee and/or GRM Task Team will:

- Take direct action to resolve the grievance/dispute (e.g. bring the relevant parties together to discuss and resolve the issue themselves with oversight by the PB);
- Request further information to clarify the issue, and share that information with all relevant parties, or ensure that a government agency represented on the PB took an appropriate administrative action to deal with a complaint;
- Refer the grievance/dispute to independent mediation, while maintaining oversight; or
- Determine that the request was outside the scope and mandate of the PB and refer it elsewhere (e.g. Ministry of Justice and Police or to the courts).

### VI. Communicating a Grievance

- *Who can Submit a Grievance?*

A Grievance can be sent by any individual or group of individuals that believes it has been or will be harmed by the Project.

If a Grievance is to be lodged by a different individual or organization on behalf of those said to be affected, the Claimant must identify the individual and/or people on behalf of who the Grievance is submitted and provide written confirmation by the individual and/or people represented that they are giving the Claimant the authority to present the Grievance on their behalf. The GRM will take reasonable steps to verify this authority.

- *How is the Grievance Communicated?*

The GRM shall maintain a flexible approach with respect to receiving Grievances in light of known local constraints with respect to communications and access to resources for some Stakeholders. A Grievance can be transmitted to the GRM by any means available (i.e. by email, letter, phone call, meeting, SMS, etc.). The contact information is the following:

[Implementing Partner to add address, phone number, fax, etc.]

To facilitate communications with and between the GRM and potential Claimants, the GRM will receive support from the PB members' institutions, District Commissioners, [local actors and others?]

- *What information should be included in a Grievance?*

The Grievance should include the following information:

- (a) the name of the individual or individuals making the Complaint (the "Claimant");
- (b) a means for contacting the Claimant (email, phone, address, other);
- (c) if the submission is on behalf of those alleging a potential or actual harm, the identity of those on whose behalf the Grievance is made, and written confirmation by those represented of the Claimant's authority to lodge the Grievance on their behalf;
- (d) the description of the potential or actual harm;
- (e) Claimant's statement of the risk of harm or actual harm (description of the risk/harm and those affected, names of the individual(s) or institutions responsible for the risk/harm, the location(s) and date(s) of harmful activity);
- (f) what has been done by Claimant thus far to resolve the matter;
- (g) whether the Claimant wishes that their identity is kept confidential; and
- (h) the specific help requested from the GRM.

### VII. Logging, Acknowledgment, and Tracking

All Grievances and reports of conflict will be received, assigned a tracking number, acknowledged to Claimant, recorded electronically, and subject to periodic updates to the Claimant as well as the office file.

Within one (1) week from the receipt of a Grievance, the GRM will send a *written* acknowledgement to Claimant of the Grievance received with the assigned tracking number.<sup>13</sup>

Each Grievance file will contain, at a minimum:

- the date of the request as received;
- the date the written acknowledgment was sent (and oral acknowledgment if also done);
- the dates and nature of all other communications or meetings with the Claimant and other relevant Stakeholders;
- any requests, offers of, or engagements of a Mediator or Facilitator;
- the date and records related to the proposed solution/way forward;
- the acceptance or objections of the Claimant (or other Stakeholders);
- the proposed next steps if objections arose;
- the alternative solution if renewed dialogues were pursued;
- notes regarding implementation; and
- any conclusions and recommendations arising from monitoring and follow up.

### IX. Maintaining Communication and Status Updates

Files for each Grievance will be available for review by the Claimant and other Stakeholders involved in the Grievance, or their designated representative(s). Appropriate steps will be taken to maintain the confidentiality of the Claimant if previously requested.

The GRM will provide periodic updates to the Claimant regarding the status and current actions to resolve the Grievance. Not including the acknowledgment of receipt of the Grievance, such updates will occur within reasonable intervals (not greater than every thirty (30) days).

### X. Investigation and Consensus Building

Within one (1) week of receiving a Grievance, [Implementing Partner] will notify the PB and any other relevant institutions of the receipt of the Grievance.

The PB will identify [Need to develop a specific procedure for doing this] a specific team of individuals drawn from the PB and/or their respective institutions to develop a response to the Grievance. The names of these individuals will be made available to the Claimant.

The designated PB members [hereafter called Task Team] will promptly engage the Claimant and any other relevant Stakeholders deemed appropriate, to gather all necessary information regarding the Grievance.

Through the PB members, the GRM will have the authority to request from relevant Government institutions any information (documents or otherwise) relevant to resolving the Grievance and avoiding future Grievances of the same nature.

As necessary, the Task Team will convene one or more meetings with relevant individuals and institutions in [national capital], or elsewhere in [name of country] as needed.

The objective of all investigative activities is to develop a thorough understanding of the issues and concerns raised in the Grievance and facilitate consensus around a proposed solution and way forward.

The PB members will procure the cooperation of their respective staff with the investigation.

At any point during the investigation, the Task Team may determine that an onsite field investigation is necessary to properly understand the Grievance and develop an effective proposed solution and way forward.

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<sup>13</sup> Oral acknowledgments can be used for expediency (and also recorded), but must be followed by a written acknowledgment.

### XI. Seeking Advisory Opinion and/or Technical Assistance

At any point after receiving a Grievance and through to implementation of the proposed solution and way forward, the Task Team may seek the technical assistance and/or an advisory opinion from any entity or individual in [country] or internationally which may reasonably be believed to be of assistance.

### XII. Making Proposed Actions and Solutions Public and Overseeing Implementation

The Task Team will communicate to the Claimant one or more proposed actions or resolutions and clearly articulate the reasons and basis for proposed way forward.

If the Claimant does not accept the resolution, the Task Team will engage with the Claimant to provide alternative options.

If the Claimant accepts the proposed solution and way forward, the GRM will continue to monitor the implementation directly and through the receipt of communications from the Claimant and other relevant parties. As necessary, the GRM may solicit information from the relevant parties and initiate renewed dialogue where appropriate.

### XII. Monitoring and Evaluation

Bi-annually, the GRM will make available to the public, a report describing the work of the GRM, listing the number and nature of the Grievances received and processed in the past six months, a date and description of the Grievances received, resolutions, referrals and ongoing efforts at resolution, and status of implementation of ongoing resolutions. The level of detail provided with regard to any individual Grievance will depend on the sensitivity of the issues and Stakeholder concerns about confidentiality, while providing appropriate transparency about the activities of the GRM. The report will also highlight key trends in emerging conflicts, Grievances, and dispute resolution, and make recommendations regarding:

- measures that can be taken by the Government to avoid future harms and Grievances; and
- improvements to the GRM that would enhance its effectiveness, accessibility, predictability, transparency, legitimacy, credibility, and capacity.

### XIII. Mediation

For the option of independent mediation, mediators on the roster/panel should have at least the following qualifications:

- professional experience and expertise in impartial mediation;
- knowledge of [project type and activities in the country] and the region, including an understanding of traditional and if applicable, tribal culture and practices;
- [national and local language, as appropriate] proficiency;
- availability in principle for assignments of up to 20 days; and
- willingness to declare all relationships and interests that may affect their ability to act as impartial mediators in particular cases.

If mediation succeeded in resolving the dispute or grievance, the outcome would be documented by [Implementing Partner] and reviewed by the Task Team. If it were unsuccessful, stakeholders would have the option to return to the Task Team for assistance.

### XIV. Without Prejudice

The existence and use of this GRM is without prejudice to any existing rights under any other complaint mechanisms that an individual or group of individuals may otherwise have access to under national or international law or the rules and regulations of other institutions, agencies or commissions.





XV. Consideration of SEAH in GRM

**Uptake:** Are there multiple channels where grievances can be submitted ensuring that no group is excluded? Have women and girls and other groups at risk been consulted to identify safe, trusted and accessible ways to report SEAH? Can survivors be referred to at least one quality service provider that has already been identified or contracted?

**Sorting and Processing:** Are there processes and tools to keep the identity of the survivor (and others) protected at all times? Are cases safely and confidentially logged and secured? Is there someone responding that has been trained in SEAH response? Are there clear procedures to ensure that SEAH incidents are immediately escalated to a level where they can be safely addressed?

**Acknowledgement and Follow Up:** How will survivors be reached and contacted to safely be updated on progress or updates? How is consent continually gathered throughout the process?

**Verification, Investigation and Action:** How is the privacy of all parties ensured and kept within the GBV Committee? How are decisions made with the survivor's rights, wishes, and choices respected? How's survivor's safety assessed and protected?

**Monitoring and Evaluation:** How and when is follow up done with the service provider? Are there ways to safely receive feedback, identify trends, or fix issues in the system over time?

**Feedback:** How is the survivor provided with feedback and results on a resolution? What additional safety measures are put in place to prevent further harm or retribution?



## Appendix 4: Guidance for Submitting a Request to UNDP SECU and/or SRM



*Empowered lives.  
Resilient nations.*

### **Guidance for Submitting a Request to the Social and Environmental Compliance Unit (SECU) and/or the Stakeholder Response Mechanism (SRM)**

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#### Purpose of this form

- If you use this form, please put your answers in bold writing to distinguish text
- The use of this form is recommended, but not required. It can also serve as a guide when drafting a request.

This form is intended to assist in:

(1) Submitting a request when you believe UNDP is not complying with its social or environmental policies or commitments and you are believe you are being harmed as a result. This request could initiate a ‘compliance review’, which is an independent investigation conducted by the Social and Environmental Compliance Unit (SECU), within UNDP’s Office of Audit and Investigations, to determine if UNDP policies or commitments have been violated and to identify measures to address these violations. SECU would interact with you during the compliance review to determine the facts of the situation. You would be kept informed about the results of the compliance review.

and/or

(2) Submitting a request for UNDP “Stakeholder Response” when you believe a UNDP project is having or may have an adverse social or environmental impact on you and you would like to initiate a process that brings together affected communities and other stakeholders (e.g., government representatives, UNDP, etc.) to jointly address your concerns. This Stakeholder Response process would be led by the UNDP Country Office or facilitated through UNDP headquarters. UNDP staff would communicate and interact with you as part of the response, both for fact-finding and for developing solutions. Other project stakeholders may also be involved if needed.

Please note that if you have not already made an effort to resolve your concern by communicating directly with the government representatives and UNDP staff responsible for this project, you should do so before making a request to UNDP’s Stakeholder Response Mechanism.

#### Confidentiality

If you choose the Compliance Review process, you may keep your identity confidential (known only to the Compliance Review team). If you choose the Stakeholder Response Mechanism, you can choose to keep your identity confidential during the initial eligibility screening and assessment of your case. If your request is eligible and the assessment indicates that a response is appropriate, UNDP staff will discuss the proposed response with you, and will also discuss whether and how to maintain confidentiality of your identity.

#### Guidance

When submitting a request please provide as much information as possible. If you accidentally email an incomplete form, or have additional information you would like to provide, simply send a follow-up email explaining any changes.

#### Information about You

Are you...

1. A person affected by a UNDP-supported project?

Mark “X” next to the answer that applies to you:

Yes:

No:



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2. An authorized representative of an affected person or group?

Mark “X” next to the answer that applies to you:                      Yes:                      No:

*If you are an authorized representative, please provide the names of all the people whom you are representing, and documentation of their authorization for you to act on their behalf, by attaching one or more files to this form.*

3. First name:

4. Last name:

5. Any other identifying information:

6. Mailing address:

7. Email address:

8. Telephone Number (with country code):

9. Your address/location:

10. Nearest city or town:

11. Any additional instructions on how to contact you:

12. Country:

What you are seeking from UNDP: Compliance Review and/or Stakeholder Response

You have four options:

- Submit a request for a Compliance Review;
- Submit a request for a Stakeholder Response;
- Submit a request for both a Compliance Review and a Stakeholder Response;
- State that you are unsure whether you would like Compliance Review or Stakeholder Response and that you desire both entities to review your case.

13. Are you concerned that UNDP’s failure to meet a UNDP social and/or environmental policy or commitment is harming, or could harm, you or your community? Mark “X” next to the answer that applies to you:    Yes:                      No:

14. Would you like your name(s) to remain confidential throughout the Compliance Review process?

Mark “X” next to the answer that applies to you:    Yes:                      No:

If confidentiality is requested, please state why:

15. Would you like to work with other stakeholders, e.g., the government, UNDP, etc. to jointly resolve a concern about social or environmental impacts or risks you believe you are experiencing because of a UNDP project?

Mark “X” next to the answer that applies to you:    Yes:                      No:

16. Would you like your name(s) to remain confidential during the initial assessment of your request for a response?

Mark “X” next to the answer that applies to you:    Yes:                      No:

If confidentiality is requested, please state why:

17. Requests for Stakeholder Response will be handled through UNDP Country Offices unless you indicate that you would like your request to be handled through UNDP Headquarters. Would you like UNDP Headquarters to handle your request?

Mark “X” next to the answer that applies to you:    Yes:                      No:

If you have indicated yes, please indicate why your request should be handled through UNDP Headquarters:

18. Are you seeking both Compliance Review and Stakeholder Response?



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Mark "X" next to the answer that applies to you:      Yes:                      No:

19. Are you unsure whether you would like to request a Compliance Review or a Stakeholder Response? Mark "X" next to the answer that applies to you: Yes:                      No:

Information about the UNDP Project you are concerned about, and the nature of your concern:

20. Which UNDP-supported project are you concerned about? (if known):

21. Project name (if known):

22. Please provide a short description of your concerns about the project. If you have concerns about UNDP’s failure to comply with its social or environmental policies and commitments, and can identify these policies and commitments, please do (not required). Please describe, as well, the types of environmental and social impacts that may occur, or have occurred, as a result. If more space is required, please attach any documents. You may write in any language you choose:

- vii.
- viii.
- ix.
- x.

23. Have you discussed your concerns with the government representatives and UNDP staff responsible for this project? Non-governmental organisations?

Mark "X" next to the answer that applies to you:      Yes:                      No:

If you answered yes, please provide the name(s) of those you have discussed your concerns with in the next page.

Name of Officials You have Already Contacted Regarding this Issue:

First Name	Last Name	Title/Affiliation	Estimated Date of Cc Response from the Individual
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24. Are there other individuals or groups that are adversely affected by the project?

Mark "X" next to the answer that applies to you:      Yes:                      No:

25. Please provide the names and/or description of other individuals or groups that support the request:

First Name	Last Name	Title/Affiliation	Estimated Date of Cc Response from the Individual
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Please attach to your email any documents you wish to send to SECU and/or the SRM. If all of your attachments do not fit in one email, please feel free to send multiple emails.

### Submission and Support

To submit your request, or if you need assistance please email: [project.concerns@undp.org](mailto:project.concerns@undp.org)



### **Appendix 5: Indicative Outline for Livelihood Action Plan**

A Livelihood Action Plan (RAP) details the procedures and actions that will be undertaken in order to ensure that the capacity, production levels, and standards of living of economically displaced people are improved or at least restored, and that displaced people are compensated adequately. This plan must be developed after it has been determined, following the process outlined in Standard 5, that displacement is unavoidable. The LAP reflects the commitment made by the Implementing Partner and UNDP to affected people and communities to meet obligations arising from economic displacement.

#### 1. Introduction

- Briefly describe the project and associated facilities (if any)
- Describe project components requiring economic displacement; land acquisition and resettlement; give overall estimates of land and/or resources to which access has been restricted
- Provide explanation of how economic displacement is necessary to achieve the project objectives, how the project is in the 'public interest' and how displacement is proportional to project outcomes

#### 2. Minimizing Displacement

- Describe the justification for the displacement
- Describe efforts and measures to minimize displacement, and expected outcomes of these efforts and measures
- Describe how requirements of Indigenous Peoples Standard have been addressed, if Indigenous Peoples are identified and are at risk to be displaced.

#### 3. Census and Socioeconomic Surveys

- Provide results of the census, assets inventories, natural resource assessments, and socioeconomic surveys and briefly describe how these were performed, i.e., techniques used, individuals interviewed, etc.
- Identify all people and communities potentially affected by displacement activities and potential impacts to each

#### 4. Legal Framework

- Describe all relevant international, national, local, and community laws and customs that apply to displacement activities, with particular attention to laws and customs relating to tenure rights
- Describe how free, prior, informed consent was obtained for displacement of communities, if applicable
- Describe project-specific mechanisms to address conflicts
- Describe entitlement/compensation policies for each type of impact
- Describe method of valuation used for affected structures, land, trees, and other assets
- Prepare entitlement matrix, which includes budget and timeframe for payment of entitlements

#### 5. Displacement-related Property

- Describe how affected people have been involved in a participatory process to identify replacement property when they have lost access to property to which they have legitimate rights. Describe the advantages and disadvantages of the properties, including the property chosen.
- Describe how affected people whose livelihoods are urban-based have been involved in a participatory process to identify livelihood replacement and support opportunities.
- Describe how affected people whose livelihoods are land-based have been involved in a participatory process to identify lands they can access, including lands with productive potential, locational advantages, and other factors at least equivalent to that being lost.
- Describe how affected people whose livelihoods are natural resource-based have been involved in a participatory process to identify resources they can access with equivalent livelihood-earning potential and accessibility.
- Describe how affected people whose access to legally designated parks and protected areas has been restricted have been involved in identifying and choosing measures to mitigate impacts.
- Describe the feasibility studies conducted to determine the suitability of chosen lands and/or natural resources described above, including natural resource assessments (soils and land use capability, vegetation and livestock carrying capacity, water resource surveys) and environmental and social impact assessments of the sites.



- Give calculations relating to land and resource availability
  - Describe, as relevant, mechanisms for: 1) procuring, 2) developing and 3) allotting displacement property, including the awarding of title or use rights to allotted lands and/or resources. Indicate to whom titles and use rights will be allocated, including by gender.
  - Provide detailed description of the arrangements for site development for agriculture, including funding of development costs
  - If circumstances made it difficult to provide land or resources as described above, provide evidence of mutual agreement with affected people/communities on alternative measures.
6. Income Restoration
- Are compensation entitlements sufficient to restore and/or improve livelihoods and income streams for each category of impact? Attach independent review of opportunities to restore and improve incomes/livelihoods. What additional economic rehabilitation measures are necessary?
  - Briefly spell out the restoration strategies for each category of impact and describe their institutional, financial, and technical aspects
  - Describe the process of consultation with affected populations and their participation in finalizing strategies for income restoration
  - How do these strategies vary with the area of impact?
  - Does income restoration require change in livelihoods, development of alternative farmlands or some other activities that require a substantial amount of training, time for preparation, and implementation?
  - How are the risks of impoverishment to be addressed?
  - What are the main institutional and other risks for the smooth implementation of the resettlement programs?
  - Describe the process for monitoring the effectiveness of the income restoration measures
  - Describe any social or community development programs currently operating in or around the project area. If programs exist, do they meet the development priorities of their target communities? Are there opportunities to support new programs or expand existing programs to meet the development priorities of communities in the project area?
7. Institutional Arrangements
- Describe the institution(s) responsible for delivery of each item/activity in the entitlement policy; implementation of income restoration programs; and coordination of the activities associated with and described in the livelihood action plan
  - State how coordination issues will be addressed where displacement is spread over a number of jurisdictions or where displacement will be implemented in stages over a long period of time
  - Identify the agency that will coordinate all implementing agencies. Does it have the necessary mandate and resources?
  - Describe the external (nonproject) institutions involved in the process of income restoration (land development, land allocation, credit, training) and the mechanisms to ensure adequate performance of these institutions
  - Discuss institutional capacity for and commitment to displacement
  - Describe mechanisms for ensuring independent monitoring, evaluation, and financial audit of the LAP and for ensuring that corrective measures are carried out in a timely fashion
8. Implementation Schedule
- List the chronological steps in implementation of the LAP, including identification of agencies responsible for each activity and with a brief explanation of each activity
  - Prepare a month-by-month implementation schedule of activities to be undertaken as part of resettlement implementation
  - Describe the linkage between resettlement implementation and initiation of civil works for each of the project components
9. Participation and Consultation
- Describe the various stakeholders
  - Describe the process of promoting consultation/participation of affected populations and stakeholders in resettlement preparation and planning
  - Describe the process of involving affected populations and other stakeholders in implementation and monitoring

- Describe the plan for disseminating LAP information to affected populations and stakeholders, including information about compensation for lost assets, eligibility for compensation, displacement assistance, and grievance redress

### 10. Grievance Redress

- Describe the step-by-step process for registering and addressing grievances and provide specific details regarding a cost-free process for registering complaints, response time, and communication modes
- Describe the mechanism for appeal
- Describe the provisions for approaching civil courts if other options fail

### 11. Monitoring and Evaluation

- Describe the internal/performance monitoring process. Ensure monitoring program seeks to measure whether displaced enjoy at least a standard of living and access to livelihoods equal to what they enjoyed before displacement
- Define key monitoring indicators derived from baseline survey. Provide a list of monitoring indicators that will be used for internal monitoring, including number and location of displaced persons
- Describe institutional (including financial) arrangements
- Describe frequency of reporting and content for internal monitoring
- Describe process for integrating feedback from internal monitoring into implementation
- Define methodology for external monitoring
- Define key indicators for external monitoring
- Describe frequency of reporting and content for external monitoring. Ensure monitoring program is regular and ongoing following project completion until durable solutions are reached
- Describe process for integrating feedback from external monitoring into implementation
- Describe arrangements for final external evaluation
- Describe need for updates to census, assets inventories, resource assessments, and socioeconomic surveys, if necessary, as part of LAP monitoring and evaluation

### 12. Costs and Budgets

- Provide a clear statement of financial responsibility and authority
- List the sources of funds for displacement and describe the flow of funds
- Ensure that the budget for displacement is sufficient and included in the overall project budget. Include provisions for non-anticipated adverse impacts.
- Identify displacement costs, if any, to be funded by the government and the mechanisms that will be established to ensure coordination of disbursements with the LAP and the project schedule. Prepare estimated budget, by cost and by item, for all displacement costs including planning and implementation, management and administration, monitoring and evaluation, and contingencies
- Describe the specific mechanisms to adjust cost estimates and compensation payments for inflation and currency fluctuations
- Describe the provisions to account for physical and price contingencies
- Describe the financial arrangements for external monitoring and evaluation including the process for awarding and maintenance of contracts for the entire duration of displacement

Append the following documents:

- Copies of census and survey instruments, interview formats, and any other research tools
- Information on all public consultation including announcements and schedules of public meetings, meeting minutes, and lists of attendees
- Examples of formats to be used in monitoring and reporting on LAP implementation
- Entitlement matrix
- Evidence of prior informed consent for communities

### **Appendix 6: Indicative Outline for Labour Management Procedures**

The Labour Management Procedures (LMP) facilitates planning and assists responsible parties to ensure that project implementation adheres to the requirements of SES Standard 7 on Labour and Working Conditions. The LMP (a) sets out the written labour procedures for the project, (b) identifies the main labour requirements and risks associated with the project, and (c) helps the project developer to determine the resources necessary to address project labour issues and risks and sets out an action plan.

The LMP summarizes key labour-related risks and issues and may be supplemented by more targeted analyses and plans (e.g. such as an occupational safety and health action plan, WBG EHS sector specific guidelines, ISO standards, contractor management matrices, etc.). The LMP (as with supporting analyses) should be undertaken by experts with relevant expertise.

The LMP may be prepared as a stand-alone document, or form part of other environmental and social management documents. The LMP is a living document, which is initiated early in project preparation, and is reviewed and updated throughout development and implementation of the project.

In preparing and updating the LMP, project developers should refer to the requirements of national law and S7 and its Guidance Note. The content of the LMP is indicative: some issues may not be relevant to the project while some projects may have other issues that need to be captured from a planning perspective. Where national law addresses requirements of S7 this should be noted in the LMP.

Where project workers under a single project may be engaged under significantly different circumstances (e.g. different regions of a country, different employment arrangements), it may be necessary to ensure that these differences are appropriately addressed in the LMP, or separate LMPs may need to be developed.

For projects utilizing an ESMF given that specific activities and/or subprojects have yet to be defined, the development of the LMP may need to be deferred. The ESMF should address as many potential issues outlined in the LMP as is feasible during project development, and the ESMF should include procedures for undertaking a specific LMP once locations and activities are defined.

A concise and up to date LMP will enable different project-related parties, for example, staff of the project implementing unit, contractors and sub-contractors and project workers, to have a clear understanding of what is required on a specific labour issue. The level of detail contained in the LMP will depend on the type of project and information available. Where relevant information is not available, this should be noted and the LMP should be updated as soon as possible.

Below is an indicative outline of the LMP.

**Overview of Labour Use in the Project:** This section describes the following, based on available information:

*Number of Project Workers:* The total number of workers to be employed on the project, and the different types of workers: direct workers, contracted workers, temporary or seasonal workers and community workers. Where numbers are not yet firm, an estimate should be provided.

*Characteristics of Project Workers:* To the extent possible, a broad description and an indication of the likely characteristics of the project workers e.g. local workers, national or international migrants, female workers.

*Timing of Labour Requirements:* The timing and sequencing of the project's labour requirements in terms of numbers, locations, types of jobs and skills required.

*Contracted Workers:* The anticipated or known contracting structure for the project, with numbers and types of contractors/subcontractors and the likely number of project workers to be employed or engaged by each contractor/subcontractor. If it is likely that project workers will be engaged through brokers, intermediaries or agents, this should be noted together with an estimate of the number of workers that are expected to be recruited in this way.

*Migrant Workers:* If it is likely that migrant workers (either domestic or international) are expected to work on the project, this should be noted and details provided.

**Assessment of Key Potential Labour Risks:** This section describes the following, based on available information:

*Project activities:* The type and location of the project, and the different activities the project workers will carry out, including primary supplier(s)

*Key Labour Risks:* The key labour risks that may be associated with the project (see, for example, those identified in S7 and the GN). These could include, for example:

- xi. the conduct of hazardous work, such as working at heights or in confined spaces, use of heavy machinery, or use of hazardous materials
- xii. likely incidents of child labour or forced labour, with reference to the sector or locality
- xiii. discriminatory policies or practices that deny equal opportunity
- xiv. restrictions on freedom of association and collective bargaining
- xv. likely presence of migrants or seasonal workers

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- xvi. risks of labour influx or gender based violence
- xvii. possible accidents or emergencies, with reference to the sector or locality
- xviii. general understanding and implementation of occupational health and safety requirements

**Brief overview of labour legislation, agreements and potential gaps with Standard 7:**

- xix. **Core Labour Standards:** This section sets out the key aspects of national legislation implementing the ILO fundamental rights at work, i.e. prohibition of child labour/minimum working age; prohibition of forced labour, non-discrimination/equal opportunity; and freedom of association and collective bargaining. The overview should highlight any material gaps between national law and S7.9-19.
- xx. **Terms and Conditions:** This section sets out the *key aspects* of national labour legislation with regards to term and conditions of work, and how national legislation applies to different categories of workers identified in Section 1. The overview focuses on legislation which relates to the items set out in S7, paras.5-8 (i.e. wages, deductions and benefits) and any material gaps with S7. The section should also identify the terms of any existing collective agreements that stipulate workplace terms and conditions.
- xxi. **Occupational Safety and Health (OSH):** This section sets out the *key aspects* of the national labour legislation with regards to occupational health and safety, and how national legislation applies to the different categories of workers identified in Section 1. The overview focuses on legislation that relates to the items set out in S7, paras. 20-25 and any material gaps with S7.
- xxii. **Responsible Staff:** This section identifies the functions and/or individuals within the project responsible for (as relevant):
  - engagement and management of project workers
  - engagement and management of contractors/subcontractors
  - occupational safety and health (OSH)
  - training of workers
  - addressing worker grievances

In some cases, this section will identify functions and/or individuals from contractors or subcontractors, particularly in projects where project workers are employed by third parties.

Policies and Procedures: This section sets out :

- xxiii. **Management systems:** Relevant management systems *in place* to implement S7, e.g. human resources policy, anti-harassment policy, staff handbook, grievance procedure, OSH management system, etc. These can be referenced or annexed to the LMP, together with any other supporting documentation. Where relevant, it identifies applicable national legislation.
- xxiv. **Age of Employment:** Details regarding (see S7 paras. 16-19 and GN):
  - xxv. the minimum age for employment on the project, which is 18.
  - xxvi. the process that will be followed to verify the age of project workers
  - xxvii. the procedure that will be followed if underage workers are found working on the project
  - xxviii. Where incidences of **child labour** are identified, describe how these will be remediated
- xxix. **Forced Labour:** Where the risk of forced labour has been identified, this section outlines how this risk will be mitigated, and how any instances of forced labour will be addressed (see S7 para. 14 and GN).
- xxx. **Occupational safety and health:** Where significant health and safety risks have been identified, summarize how these will be addressed in a manner consistent with national labour and employment regulations and the requirements of S7. (Note that a specific OSH plan may be necessary.)
- xxxi. **Terms and Conditions:** This section sets out details regarding (see S7 paras. 5-8):
  - xxxii. specific wages, hours and other provisions that apply to the project
  - xxxiii. maximum number of hours that can be worked on the project
  - xxxiv. any collective agreements that apply to the project. When relevant, provide a list of agreements and describe key features and provisions
  - xxxv. other specific terms and conditions (e.g. benefits)
  - xxxvi. “Beyond compliance” initiatives e.g. to promote local employment or the hiring of traditionally underrepresented groups

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- **Grievance Mechanism:** This section sets out details of the grievance mechanism that will be provided for direct and contracted workers, and describes the way in which these workers will be made aware of the mechanism (S7, paras. 26-28).
- **Contractor Management:** This section sets out details regarding (see S7, paras. 29-31 and GN):
  - xxxvii. the selection process for contractors/third parties
  - xxxviii. the contractual provisions that will be put in place relating to contractors for the management of labour issues, including OSH
  - xxxix. the procedure for managing and monitoring the performance of contractors
    - **Community Workers:** Where community workers will be involved in the project, this section sets out details of the terms and conditions of work, and identifies measures to check that community labour is provided on a voluntary basis. It also provides details of the type of agreements that are required and how they will be documented. This section sets out details of the grievance mechanism for community workers and the roles and responsibilities for monitoring such workers.
    - **Primary Supply Workers:** Where a significant risk of violations of core labour standards<sup>14</sup> or serious safety issues in relation to primary suppliers has been identified, this section sets out the procedure for monitoring and reporting on primary supply workers (S7 paras. 32-34)

**Action Plan:** This section sets out details of actions required to achieve and maintain compliance with national law and S7, including responsibilities, timelines and cost/resource estimates. The Plan will also include monitoring and reporting requirements appropriate to the nature of the project and associated labour risks and impacts. The Action Plan includes the following elements:

- Summary of required measures identified in above sections of the LMP.
- Describe schedule, institutional arrangements, and responsibilities and mechanisms for carrying out the identified measures, indicating who is responsible and when actions will be undertaken.
- Describe the monitoring framework for the project and key indicators for measuring progress in implementing the identified measures.
- Budget and Financing: Include an appropriately costed plan, with itemized budget sufficient to satisfactorily undertake the identified measures.

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<sup>14</sup> Child labour, forced labour, non-discrimination and equal opportunity, freedom of association and collective bargaining.

### **Appendix 7: Note to File – Standard 6**

UNDP initially indicated that SES 6 might be relevant in the context of this GCF project in Haiti. However, this has been reconsidered in light of the following:

A review of UNDPs'<sup>15</sup> and other agencies'<sup>16</sup> programmes in Haiti indicate that SES 6 has not been triggered in the sites/areas of this GCF project

Field consultations (see reports<sup>17</sup>) concluded that:

- No sub-group in the project area and area of influence has pursued its own way or developed distinct group identity, languages., etc.;
- There are no distinct ethnicity nor group self-identifying as indigenous peoples in Haiti;
- There are no special connection between Haitian people and their territory other than the national one.

A baseline analysis of each standard was conducted and validated in October 2023 as part of the SES Capacity Assessment and Quality Assurance of project-level safeguards documentation of UNDP Haiti Country Programme. This analysis concluded on the non-applicability of standard 6<sup>18</sup>.

It is now determined based on the above cited information that Standard 6 on Indigenous Peoples is not applicable in this project, as no communities self-declare as “indigenous peoples” on the Haitian territory. This due diligence process led to the decision to revise the project’s Social and Environmental Screening Procedure and ESMF accordingly.

### **Background information on Haiti**

[RefWorld, World Directory of Minorities and Indigenous Peoples - Haiti<sup>19</sup>](#)

The original inhabitants of the island of Hispaniola were the indigenous Taíno, an Arawak-speaking people who began arriving from the Yucatan peninsula as early as 4000 BCE, but they have all perished during the Hispanic colonization period (16<sup>th</sup> century).

[Minority Rights Group, Directory: Haiti<sup>20</sup>](#)

The population of Haiti is predominantly of African descent (around 95 per cent) and homogeneous. The rest of the population is mostly of mixed European-African ancestry (*mulatto*). There are a few people of Syrian and Lebanese origin. There is also a community of Europeans of Polish origin and a small minority of people from the Dominican Republic. Haiti’s official languages are French and Kreyòl Ayisyen (Haitian Creole). Nearly all Haitians speak Kreyòl Ayisyen, with French being spoken by the small group of educated people. Many Haitians also speak English and Spanish, particularly due to the proximity of the Dominican Republic and Cuba and the extent of travel and trade between the nations. Catholicism is the formal state religion and there is a considerable Protestant minority. The largely African-based religious system known as Voodoo is recognized as an official religion and is practiced by a majority of the population.

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<sup>15</sup> For example, see the Social and Environmental Screening Procedure of Project PIMS6314 “Improving the flow of ecosystem services in biologically-rich watersheds of the Southern region of Haiti” (GEF) [https://pims.undp.org/attachments/6314/217428/1746819/1796973/6314%20Haiti%20UNDP%20SESP\\_November%202021.dot](https://pims.undp.org/attachments/6314/217428/1746819/1796973/6314%20Haiti%20UNDP%20SESP_November%202021.dot) x ; Project PIMS5628 “Strengthening the climatic resilience of the drinking water sector in South of Haiti” (LDCF) <https://pims.undp.org/attachment-revision-file/index?attachmentRevisionId=1790256>

<sup>16</sup> The World Bank also concluded that ESS7 (Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities) is not relevant to the project as there are no IP/SSAHUTLCs in Haiti as per standard definition of ESS7. For example, see the Appraisal Environmental and Social Review Summary (ESRS) of Project “Adaptive Social Protection for Increased Resilience” (P174111) <https://documents1.worldbank.org/curated/en/340371603899099121/pdf/Appraisal-Environmental-and-Social-Review-Summary-ESRS-HT-Adaptive-Social-Protection-for-Increased-Resilience-P174111.pdf>

<sup>17</sup> Reports of the consultations held during project design phase are available: <https://pims.undp.org/attachment-revision-file/index?attachmentRevisionId=1822500>

<sup>18</sup> The SES Capacity Assessment of UNDP Haiti CO was conducted in between May and October 2022. It included a full review of the portfolio, and a preliminary assessment of the applicability of each standard to the country. The full report is available: <https://pims.undp.org/attachment-revision-file/index?attachmentRevisionId=1822519>

<sup>19</sup> <https://www.refworld.org/docid/4954ce1ac.html>

<sup>20</sup> <https://minorityrights.org/country/haiti/>

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### **Appendix 8: Chance Find Procedures**

**Chance find procedures:** UNDP projects ensure that chance find procedures are included in all plans and contracts regarding project-related construction, including excavations, demolitions, movement of earth, flooding, or other changes in the physical environment; such procedures establish how chance finds of tangible Cultural Heritage shall be managed, including notification of relevant authorities and stakeholders, avoidance of further disturbance or damage, protection, documentation and assessment of found objects by relevant experts.

#### **Further Provisions for Specific Types of Cultural Heritage:**

**Archaeological sites and materials:** Where there is evidence or high probability of past human activity in the project area, projects require desk-based research and field surveys to document, map and investigate archaeological remains, document and characteristics of sites and materials discovered during the project cycle, provide documentation to Cultural Heritage authorities, and provide documentation, with guidance on due obligations, to relevant authorities undertaking project activities (e.g. departments of waterworks, agriculture, tourism, transportation and energy). Projects will determine in consultation with Heritage experts whether discovered material requires (a) documentation only, (b) excavation and documentation, or (c) conservation in place (in situ); and will ensure management of the site accordingly. Most archaeological features are best protected by preservation in situ. If not possible, the transfer of the Cultural Heritage to another location shall be conducted in consultation with and agreement of project-affected people and appropriate national partners, in accordance with good international practice. UNDP projects will determine ownership and custodial responsibility for discovered material. Until custody is transferred, projects ensure identification, conservation, labeling, secure storage and accessibility for study and analysis.

**Built heritage:** UNDP projects identify appropriate mitigation measures to address potential impacts on built heritage, which include (a) documentation; (b) conservation or rehabilitation in situ; and/or (c) relocation, reconstruction and conservation or rehabilitation. Most built heritage features are best protected by preservation in situ. If not possible, then the transfer of the Cultural Heritage to another location shall be conducted in consultation with and agreement of project-affected people, in accordance with good international practice. During any rehabilitation, UNDP projects maintain authenticity of form, construction methods and techniques of structures according to laws, regulations and good international practice. UNDP projects preserve physical context of individual or groups of historic structures by considering appropriateness and effect of supported infrastructure for the location within sight range.

**Landscapes and natural features with cultural significance:** UNDP projects identify through research and consultation with persons and communities the landscape elements and natural features with cultural significance, the people that value such sites and features, and individuals or groups with authority to represent and negotiate regarding their location, protection and management. Landscapes and natural features derive much of their significance from their location and their holistic environmental context, which often can only be protected by preservation in situ. UNDP projects preserve physical and visual integrity of landscapes by considering appropriateness and effect of project activities (e.g. infrastructure) proposed for the location within sight range. In cases where natural features can physically be relocated and cannot be preserved in situ, their transfer to another location is conducted with participation and agreement of project-affected people, in accordance with good international practice. Project activities and any decisions reached regarding the transfer of natural features shall respect and enable continuation and transmission of the traditions and knowledge associated with the landscape elements and natural features. See also Standard 1 regarding conservation of biodiversity and maintenance of ecosystem services.

**Movable Cultural Heritage:** UNDP projects include measures to guard against theft and illegal trafficking of movable Cultural Heritage (e.g. books, paintings, sculptures, costumes, jewelry, textiles) and artefacts stored and displayed in museums (or their equivalents) that are affected by project activities and notify relevant authorities if any such activity occurs. UNDP projects identify items that are endangered and make provision for their protection throughout the project cycle. UNDP projects inform religious or secular authorities or other responsible Cultural Heritage custodians of project activities, schedule and alert them regarding potential vulnerabilities of movable Cultural Heritage items.

### Appendix 9: Guidance for Biodiversity Action Plan

According to UNDP guidance, where biodiversity values of importance to conservation are associated with a project or its area of influence, the preparation of a Biodiversity Action Plan (BAP) or Biodiversity Management Plan (BMP) provides a useful means to focus a project's mitigation and management strategy. For project activities in critical habitats and protected areas, Standard 1 (of UNDP's Social and Environment Standards) notes that a BAP needs to be in place. Targeted biodiversity-related mitigation and management measures may be integrated into more general Environmental and Social Management Plans (ESMPs) or related plans, when developed at the implementation stage. However, a BAP or BMP provides focused attention to actions in ecologically critical areas. A BAP/BMP may be included as part of a broader ESMP. A BAP/BMP is a more targeted instrument for enhancing and conserving biodiversity and ecosystem services in particular habitats, demonstrated on an appropriate geographic scale. A BAP/BMP should seek to achieve net gains to the biodiversity values for which the critical habitat was designated. A BAP/BMP is highly context specific.

There is no one widely recognized, cross-sectoral framework for the development of a BAP/BMP. Typically a BAP will be undertaken to address significant gaps in information for undertaking biodiversity-related actions (such as insufficient baseline data or understanding of key biodiversity values) whereas a BMP would be developed where adequate information is available for developing appropriate actions.

**General elements of a BAP/BMP include the following:**

- (1) Description of biodiversity context:** Identifies national and/or regional biodiversity context; location of projects site/s; relevant physiography; general description of relevant ecosystems, habitats, flora, fauna; priority biodiversity features and components of elevated significance.
- (2) Objectives and targets biodiversity actions and mitigation:** Identifies measures and actions to enhance and conserve biodiversity and/or in accordance with the mitigation hierarchy avoid, minimize, mitigate, potentially significant adverse social and environmental impacts to acceptable levels. Describes – with technical details – each biodiversity-related action/mitigation measure, including the type of issue/impact to which it relates and the conditions under which it is required (e.g., continuously or in the event of contingencies), together with designs, implementation descriptions and operating procedures, as appropriate; takes into account, and is consistent with, other relevant mitigation plans (e.g. indigenous peoples, economic displacement).
- (3) Implementation action plan (schedule and cost estimates):** Outlines an implementation schedule for measures that must be carried out as part of the project, showing phasing and coordination with overall project implementation plans; and the capital and recurrent cost estimates and sources of funds for implementing the BAP/BMP. Describes institutional arrangements, identifying which party is responsible for carrying out the actions/mitigation and monitoring measures.
- (4) Stakeholder Engagement:** Outlines plan to engage in meaningful, effective and informed consultations with relevant stakeholders, including locally affected groups. Includes information on (a) means used to inform and involve affected people and description of effective processes for receiving and addressing stakeholder concerns and grievances regarding the project's social and environmental performance.
- (5) Monitoring and reporting:** Identifies monitoring objectives and specifies the type of monitoring, with linkages to the biodiversity actions and mitigation measures. Describes parameters to be measured, methods to be used, sampling locations, frequency of measurements, detection limits (where appropriate), and definition of thresholds that will signal the need for corrective actions. Establishes reporting schedule and format.

Please refer to Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management in the [UNDP Social and Environmental Standards Toolkit](#) for additional information.



**Appendix 10: Outline for a Conflict Analysis**

This outline guides the preparation of a Conflict Analysis, although not necessarily in the order shown.

**Executive Summary of the Conflict Analysis**

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

**Project Description**

This section provides a general description of the project; discusses project components and activities that may interact / exacerbate existing conflicts.

**On-going conflict on project area**

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

- o Stakeholders
- o Locations
- o Reasons / motives / causes (from superficial to root causes)
- o Human impact
- o Environmental impact
- o What has been done to manage the conflict so far (legal, customary, mediations, etc.)
- o Potential interactions (resolve / escalate / affect) with the project

**Peace Matrix**

	Environmental	Political	Economic	Social	Arm related
Existing peace processes					
Structures and institutions					
Gaps					

**Conflict-specific GRM(s)**

(i.e. gender-based violence)

**Recommendations**

- How could the project avoid exacerbating the existing conflicts?
- How could it use existing peace processes?
- Could it contribute positively to the security situation?