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Annex 10: Draft Environmental and Social Management Framework (ESMF)

For six (UNDP-supported) National child projects under the GEF Africa Minigrids Program (AMP):

Country	Project Name	UNDP ID	GEF ID
Benin	Benin National Child Project under the Africa Minigrid Program	6658	10831
Madagascar	Madagascar National child project under the Africa Mini-grids Program	XXX	-
Mali	Mali national child project under the Africa Minigrids Program	6660	10834
Niger	Niger national child project under the Africa Minigrids Program	6659	10833
São Tomé and Príncipe	São Tomé and Príncipe National Child Project under the Africa Minigrid Program	6657	10832
Zambia	National child project under the GEF Africa Minigrids Program: Zambia Minigrids (ZMG) Project	6613	10841

1 SECTION I - Executive Summary

1.1 Purpose and context of the Environmental and Social Management Framework (ESMF)

This Environmental and Social Management Framework (ESMF) covers six UNDP-supported national projects, which are part of the Africa Minigrids Program (AMP), a technical assistance program for minigrids, developed by UNDP with initial funding from the Global Environment Facility (GEF). The primary form of country participation in AMP is through national projects. The overall program is so far supporting 18 projects through three cohorts of participating countries.

The AMP's objective is to increase access to electricity by improving the financial viability and promoting scaled-up commercial investment in renewable energy minigrids ('minigrids'). The objective of each national child project (hereafter, the "project") is to provide technical support to improve energy access in rural areas through the introduction of renewable technologies. Each project consists of specific components to be implemented over the course of a 4-year period as described in each project document.

The overall objective of the ESMF is to ensure compliance with relevant policies, **including UNDP's Social and Environmental Standards (SES)**, and to direct the project personnel and stakeholders during the implementation of the project in tackling any social and environmental concerns identified. The ESMF is a tool used to proactively manage potential Environmental & Social (E&S) impacts that may arise with the implementation of the project by providing **specific guidance to be followed** in order to abide by existing policies at the local, national and international level, as well as with those of the UNDP.

All projects under this ESMF have been categorized as "substantial risk" projects, and the measures outlined in this ESMF reflect the UNDP SES' requirements for such risk categorization. This is in part attributable to the nature of the AMP intervention and the adoption of conservative, prudent approach, since some of the project activities, sub-projects and/or minigrid pilot locations **are still to be defined or fully designed**. For instance: final minigrid pilot sites as well as specific activities to be implemented will be precisely defined and committed to *during project implementation*, when detailed information on minigrid pilot sites is received. Therefore, this document provides the requirements to be followed once activities are further defined, such as site-specific Environmental and Social Assessments for pilot minigrids, for instance.

1.2 Methodology and coverage

This ESMF was prepared by UNDP and covers one of the first round projects and five of the second round projects under AMP. **The countries covered by this Framework are Madagascar (first round), Benin, Mali, Niger, STP, and Zambia (second round).**

The conclusions and recommendations contained in this document were drawn from a study undertaken by an Environmental and Social Safeguards expert, in coordination with national consultants and AMP team members at the project preparation phase. The following methods were used to produce the results:

- Site visits
- Stakeholder interviews
- Concertation with UNDP on the scale of the assessment to be undertaken during project design
- Review of the previous work conducted at the Project Identification Form (PIF) stage
- Online research

- Review of existing relevant documentation
- Expert knowledge of the team members

In conjunction with the design of this ESMF and in accordance with UNDP SES policy, a Social and Environmental Screening Procedure (or “SESP”) has been developed for each of the projects¹ covered in this ESMF in order to:

- a) identify potential social and environmental risks associated with planned activities and
- b) assess their likely significance.

This, in turn, determined both the project's risk category (Low, Moderate, Substantial, High) and the level of social and environmental assessment and management measures required to address potential risks and impacts.

This ESMF covers the full project cycle, from initiation to closure. The cycle stages are design and planning, including site selection; construction; operation and maintenance; and decommissioning.

This ESMF identifies the steps that will be followed for each project for avoiding, and where avoidance is not possible, reducing, mitigating, and managing adverse impacts (as justified based on results of the procedures). All projects considered in this ESMF will also update their SESP as needed during implementation as part of project risk management and monitoring. At a minimum, projects that undergo substantive revision or experience a change in context that affects the risk profile will be re-screened and potentially recategorized.

1.3 Contents of the ESMF

The ESMF is organized into ten sections:

- (Section I – this executive summary)
- Section II describes the project scope and coverage, and objectives of the ESMF in relation to the project preparation phase.
- Section III identifies the potential social and environmental impacts due to the project activities and the methodology used.
- Section IV analyses the legal and institutional framework relevant to the safeguards.
- Section V describes the SESP used for screening, assessment and management of environmental and social risks identified.
- Section VI describes the stakeholder engagement, disclosure process, access to the grievance mechanisms and Accountability Mechanism.
- Section VII describes the grievance redress mechanism to be provided during the project.
- Section VIII provides an overview of institutional arrangements and capacity building, including the assignment of roles and responsibilities along the project cycle.
- Section IX establishes the monitoring and evaluation arrangements
- Section X presents the action plan and budget for ESMF implementation.

The main sections of the ESMF are complemented by several Annexes providing project/country-level details and other relevant information:

- Annex I – Project Description
- Annex II – Draft SES Screening Checklist for Minigrid Development

¹ The project document (ProDoc) for each National Project includes the SESP, which details the specific environmental and social risks associated with each project. See Annex 6 of each project document.

- Annex III - Guidance on Screening for Indigenous Peoples
- Annex IV - Indicative Outline of Environmental and Social Impact Assessment Report
- Annex V - Indicative Outline of an Environmental and Social Management Plan
- Annex VI - Indicative Outline of an Indigenous People's Plan (or equivalent)
- Annex VII - Labour Management Procedures Template
- Annex VIII – Indicative Steps and Guidance for Documenting FPIC Process
- Annex IX - Sample Terms of Reference: Project-level Grievance Redress Mechanism

1.4 Overview of Potential Environmental and Social Benefits and Risks

1.4.1 Expected positive impacts

Depending on the option chosen among the mini-grid technologies and other features, the following positive environmental effects are sought by the overall Africa Minigrids Program:

- **Development of economic activities and job creation** due to the development of the energy sector. This is particularly relevant for the project activities dedicated to productive energy (versus household).
- **Women empowerment** by project design.
- **Reducing the rural exodus** due to the creation of new economic activities and related facilities. This is particularly relevant for the project activities dedicated to productive energy (versus household).
- The installation of mini-grids based on renewable energy will **reduce the consumption of fuel and greenhouse gas (GHG) emissions** in the atmosphere because it will replace in some cases the existing mini-grids based on diesel. Pollution and noise from diesel generators will be greatly reduced. This will preserve the tranquility of the residents and natural life of its sites where the mini-power plants will be installed. This is when the project mini-grid (based on renewable energy) will replace the existing diesel mini-grid.
- **Increase community, in particular women, safety/health conditions.** For example, with available electricity in community health centers, schools, collective-social facilities, street lighting, etc. This is when the project mini-grid will power public spaces/services.
- Improvement of family (and in particular women and children) **indoor air quality** due to a reduction of exposure to smoke in confined space and the associated illnesses. **Improvement from dangerous conditions of cooking and lighting fuels** (i.e. wood/charcoal/kerosene/paraffin and other fossil based fuels), affecting mainly women and children. This is for when the project replaces other fuels in the household for the basic tasks (i.e. cooking and lighting).

The various assessments, guidelines and prescriptions contained in this ESMF seek to maximize such benefits at the activity or site level, while at the same time – and level - minimizing the potential negative impacts of interventions.

1.4.2 Potential negative impacts

All national projects covered by this ESMF **pose a range of potentially negative social and environmental impacts**. These include potential damage to ecosystems/biodiversity, potential economic or physical displacement, potential harm to cultural heritage and potential impacts to indigenous peoples.

Mapped against the UNDP's 8 Social and Environmental Safeguard **Principles**, each project of the first cohort of countries (10 out of 18) has been found to exhibit various risks and potential impact

significance (low, moderate, and substantial) across principles². Variations in both country contexts (e.g. biodiversity profile, presence/absence of indigenous peoples in targeted areas, maturity of national regulations, etc.) and in project design features explain the rich landscape of differentiated risks, as the following table illustrates.

Table 1: Project Risk Categorization as revised during the PPG Phase

Principle / Standard	Benin	Madagascar	Mali	Niger	STP	Zambia
Overarching Principle: Leave No One Behind						
Human Rights	Substantial	Substantial	Substantial	Substantial	Substantial	Substantial
Gender Equality and Women's Empowerment	Substantial	Moderate	Substantial	Moderate	Moderate	Moderate
Sustainability and Resilience						
Accountability	Substantial	Moderate	Substantial	Moderate	Moderate	Moderate
Project-level Standards						
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management	Substantial	Substantial	Substantial	Substantial	Moderate	Substantial
Standard 2: Climate Change and Disaster Risks	Moderate	Substantial	Substantial	Substantial	Moderate	Substantial
Standard 3: Community Health, Safety and Security	Substantial	Substantial	Substantial	Substantial	Moderate	Substantial
Standard 4: Cultural Heritage	Moderate	Substantial	Substantial	Substantial	Moderate	Substantial
Standard 5: Displacement and Resettlement		Substantial	Substantial	Moderate	Substantial	Substantial
Standard 6: Indigenous Peoples	Moderate	Substantial	Substantial	Moderate	-	Substantial
Standard 7: Labour and Working Conditions	Moderate	Moderate	Moderate	Moderate	Moderate	Moderate
Standard 8: Pollution Prevention and Resource Efficiency	Substantial	Substantial	Substantial	Substantial	Substantial	Substantial
Number of principles/standards triggered in each category						
High	0	0	0	0	0	0
Substantial	3	6	8	4	4	5
Moderate	8	5	5	8	7	7
Low	1	0	0	0	1	0
Total number of project risks	12	11	13	12	12	12
Overall Project Risk Categorization	Substantial	Substantial	Substantial	Substantial	Substantial	Substantial
Number of safeguard standards triggered	10	11	11	11	10	11

There are however some commonalities in terms of potential individual risks found during the project preparation phase. The list below, which aggregates them under simplified descriptions, is **based on the more comprehensive and tailored SESP**s accompanying each Project Document:

- Risk 1: Discrimination or marginalization of vulnerable communities through the proposed tariff model, tax incentives, strategies or investment selection in the replication plan
- Risk 2: Marginalization of vulnerable groups when developing standards and selecting the pilot minigrids
- Risk 3: Reproducing existing discriminations against women through excluding them from decision-making on project activities, benefiting from project outputs and capacity building initiatives
- Risk 4: Damage to biodiversity, natural resources and cultural heritage sites due to

² See Table 1 in the core of this ESMF

installation and operation of pilot minigrids

- Risk 5: Exposure to electrocution risks for humans and any fauna (ex. animals or birds) using the minigrid area
- Risk 6: Climate events and disasters (including floods) on new and existing infrastructure due to installation and operation of pilot minigrids
- Risk 7: Risk on the community and biodiversity due to generation of hazardous materials (mainly batteries, e-waste) due to installation and operation of pilot minigrids.
- Risk 8: Community health and safety risks due to construction of the pilot minigrids and relevant infrastructure and new economic activities subsequent from productive use of the energy
- Risk 9: Risk on community health, safety and/or security due to the influx of people, mainly project workers due to installation and operation of pilot minigrids
- Risk 10: Physical or economic displacement and loss of livelihood due to eviction from land on which pilot minigrid may be installed
- Risk 11: Loss of income for fuel sellers once pilot minigrids are operational
- Risk 12: Working conditions not in line with national and international standards (by contractor or other entities involved in the minigrid pilots)
- Risk 13: Productive activities expanded due to availability of reliable power supply may lead to unsustainable fishing or agricultural practices

Note on presence and potential impact on indigenous peoples: While this EMSF defines Indigenous Peoples using the UNDP characteristics³, in some cases locally these groups are not identified or self-identify as such. A preliminary due diligence was conducted for all the target countries using standard international resources that publish information on indigenous peoples and found that Standard 6 is applicable to four of these countries, namely Benin, Mali, Niger and Zambia.

1.5 Procedures for Minigrid Pilots and Planned Investments

All minigrid pilots that may be supported during project implementation are subject to this procedure, which includes screening.

Once a potential site is identified for a minigrid, a preliminary screening process will be undertaken by filling out the checklist in Annex II of the ESMF. The screening will be done by the minigrid developer and verified by the PMU. The screening will be undertaken for each pilot to determine, based on size, nature (greenfield or rehabilitation, new transmission lines) and location of activities, whether a site-specific Environmental and Social Impact Assessment (ESIA), targeted assessment or no assessments are required. The assessments will be conducted based on the screening results. The ESIA or targeted assessment will assess all risks identified in the

³ UNDP uses the following characteristics to define Indigenous Peoples: (1) self-identifies as indigenous peoples; (2) has pursued its own concept and way of human development in a given socio-economic, political and historical context; (3) has tried to maintain its distinct group identity, languages, traditional beliefs, customs, laws and institutions, worldviews and ways of life; (4) 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/or (5) whether its existence pre-dates those that colonized the lands within which it was originally found or of which it was then dispossessed.

screening checklist (including gender aspects) and any additional associated risks that are identified. As part of the social baseline assessment, screening should be carried out at each site during the ESIA to ensure the identification of indigenous peoples/ethnic groups in target sites, or lack thereof.

After the required assessment is undertaken, if any, an Environmental and Social Management Plan (ESMP) or other management plans will be developed and implemented. The ESMP may include multiple pilots but will include site-specific management measures. The measures will be adopted and integrated into the project activities, monitoring and reporting framework and budget, and captured in a revised SESP for the project. The site-specific ESMP will likely include relevant elements of a Waste Management Plan, Pollution Prevention and Management Plan, Occupational Health and Safety Plan and Labour Management Procedures, as well as Resettlement Action Plan (RAP) and Indigenous Peoples Plan (IPP) (or equivalent plan) if required. The ESMPs will also include requirements related to the procurement of solar panels and related components to ensure the risk of forced labour in the supply chain is considered, including through a Forced Labour Bidder Declaration.

Only once the relevant ESMP or other required management plans are in place can the specific minigrid pilot proceed.

1.6 UNDP's Accountability Mechanism

UNDP's Social and Environmental Standards (SES) recognize that even with strong planning and stakeholder engagement, to which this ESMF contributes, unanticipated issues can still arise. Therefore, the ESMF also describes additional grievance mechanisms, which are also underpinned by an Accountability Mechanism with two key components:

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

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