



**Food and Agriculture  
Organization of the  
United Nations**

## **Environmental and Social Action Plan (ESAP)**

**Promoting zero-deforestation cocoa  
production for reducing emissions in  
Côte d'Ivoire (PROMIRE)**

Summary of risks	Mitigation measures	Risk significance	Responsible party/person	Schedule	Expected results	Cost/Budget
Loss of access to natural resources / land tenure security / loss of community property rights.	<p>Certification of private land only recognized by customary law, without potential conflicts on property rights.</p> <p>Communication on rural land law and new forest code (for local communities' forest resource use rights).</p> <p>Recruitment of M&amp;E officer within the PMU.</p>	Low	FAO (project team) and Côte d'Ivoire Government	Checked during all the implementation	Consultations, land certificates, plots delimited, independent observations	125,000 USD
Pest and diseases management	<p>Use of organic and natural products against pest and diseases (like neem).</p> <p>Use of only authorized products by certifying company (ECOCERT).</p> <p>Information sharing and training on the itinerary and process for organic and fair production.</p>	Low	FAO (project team) and Côte d'Ivoire Government	Checked during implementation of agroforestry activities	Crops diversity, biological control, training sessions	40,000 USD
Child Labor	<p>During the identification of the beneficiaries of the project, the criteria on child labor will be highlighted: beneficiaries who potentially use child labor for their production won't be eligible as recipient of project technical and financial support.</p> <p>A child under the minimum age established in regard to the law will not be employed. The labor management procedures will specify the minimum age for employment.</p> <p>All communication and sensitization done during the project implementation and beyond, on the REDD+ process, will include the thematic of child labor. Communication tool on child labor will be developed and shared amongst the</p>	Low	FAO (project team) and Côte d'Ivoire Government	Checked during all the implementation	Child labor monitoring, training and raising awareness sessions	123,000 USD

	<p>stakeholders and broadly to local communities. This sensitization could be done at different level and raising awareness could be done even in school. These tools will be developed with local NGO specialized in social protection and with the technical partners already aware and working in this thematic.</p> <p>“Observatoire indépendante” of civil society organizations will be involved in the raising awareness and monitoring of the social and environmental safeguards, at national but also at local level. They will be involved during the whole duration of the project.</p> <p>A full time M&amp;E officer will be hired for the project.</p>					
Weak involvement of women during project implementation	<p>A gender specialist has undertaken a gender assessment during the formulation phase and a gender action plan has been developed for the project implementation phase.</p> <p>The M&amp;E officer of the PMU should have technical background on gender.</p> <p>During the identification of the producers, a stress will be done for communities with a good rate of women.</p> <p>The objective is to have 30% women amongst the members of the strengthened cooperative.</p>	Low	FAO (project team) and Côte d’Ivoire Government	Checked during project formulation and implementation	Consultations, stakeholder engagement plan, participation of at list 30% of women in activities (FAO’s obligation)	55,000 USD
Intensive agriculture in proximity to preserves, parks, reserves, gazetted and sacred forests, protected areas and fragile	<p>The project will be overseen by a Steering Committee with all key stakeholders. As such, managers of parks, reserves and gazetted forests and SODEFOR will be part of this Steering Committee. Concerted actions will be implemented</p>	Low	FAO (project team) and Côte d’Ivoire Government	Checked during all the implementation	Consultation, monitoring of project activities, compliance with environmental safeguards	336,195 USD

<p>ecosystems (e.g. mangroves)</p>	<p>with protected area managers in order to strengthen the monitoring of these areas and reduce the various anthropogenic pressures with the following activities by the improvement of the producer's livelihood: stabilization of agricultural plantations, agricultural intensification, and promotion of agroforestry, community surveillance and monitoring, local development plans and communication / advocacy for behavior change. Also, as the forest restoration activities will be implemented in the buffer zone of these protected areas, these reforested area will become the barrier between the agroforestry activities / agricultural activities and the protected areas (as the monitoring and maintenance of the restored forest will be stronger, with the involvement of SODEFOR and local / decentralized forestry administration).</p>					
<p>Lack of E&amp;S safeguards capacities of technicians</p>	<p>Côte d'Ivoire has undertaken a study on the potential structure of the SIS but has no financial means for the development of the SIS itself. The project will support the development of the SIS, and once developed, the platform will be shared to the stakeholders. The SIS is the tool which will support the country to report the status of the safeguards respects at national level through different indicators, aiming the submission of the Safeguards Summary of Results to UNFCCC, in order for the country to comply with the UNFCCC requirement. As part of this development phase, several workshops to communicate on E&amp;S and build capacities of technicians on safeguards will be organized.</p>	<p>Low</p>	<p>FAO (project team) and Côte d'Ivoire Government</p>	<p>Checked during all the implementation</p>	<p>Training and raising awareness sessions</p>	<p>163,860 USD</p>

<p>Production related labour and occupational hazards and risk as regards production-related activities (e.g. processing and storage; construction of the stockage warehouses, etc.)</p>	<p>Project activities will respect national and international laws and conventions related to labour, occupational hazards and potential risks in the production chain. Specific attention will be drawn to protect workers and guarantee good conditions to their work.</p>	<p>Low</p>	<p>FAO (project team) and Côte d'Ivoire Government</p>	<p>Checked during all the implementation</p>	<p>Labor monitoring, training and raising awareness sessions</p>	<p>56,800 USD</p>
<p>Rehabilitation of cocoa plantations by introducing trees (timber, firewood and fruit trees): choice of species used to be left to small producers</p>	<p>Introduction of food crops and the valorization of other promising cash crops must follow and respect very strict conditions for species choice (use of native, local species and variety is better). Organic production gives more space to biodiversity and insects, for example, allowing the system to self-regulate. Increased vegetation complexity in agroforests, will harbor greater abundance and diversity of insectivorous birds enhancing pest control services. Inputs may be used but following the Ecocert restrictions and guidelines for organic cocoa production. Training and awareness-raising of the stakeholders on these aspects will help. Finally, the project can build on lessons learnt by La Mé region project in the choice of species to use as these crops have been in the field for 5 years, showing it has few impact on environment. Pest are also well documented and know among Africa, EEE species will not be used as part of this project.</p>	<p>Low</p>	<p>FAO (project team) and Côte d'Ivoire Government</p>	<p>Checked during all the implementation</p>	<p>Crops diversity, biological control, training sessions</p>	<p>70,000 SUD</p>
<p>Stakeholder Consultations and Stakeholder Engagement Plan (SEP)</p>	<p>The project will be overseen by a Steering Committee with all key stakeholders in order to have a continuing consultation on key questions. The Project Steering Committee will be the highest decision-making body during all project's implementation. It will provide oversight</p>	<p>Low</p>	<p>FAO (project team) and Côte d'Ivoire Government</p>	<p>Checked during all the implementation</p>	<p>Consultations</p>	<p>135,000 USD</p>

		<p>and guidance, ensuring that links and appropriate coordination are maintained with all relevant programmes and projects, as well as with international conventions (UNFCCC, CBD and CCD). It will be jointly chaired by the Government and FAO, and members will be implementing entities, GCF focal point, ministries involved, head of the Project Management Unit (PMU). Strategic development partners (World Bank, African Development Bank, EU, UNDP, etc.), representatives of civil society and private sector will be independent observers of the PSC. The PSC will hold its meetings at least twice a year to oversee project's activities and make the necessary decisions for their implementation.</p> <p>Also, the project will implement the FPIC before and during project implementation, for a better engagement of the local communities, using the guideline to be strengthened by SEP-REDD.</p>					
Grievance mechanism	redress	<p>The project will establish a grievance mechanism at field level to file complaints during project inception phase. Contact information and information on the process to file a complaint will be disclosed in all meetings, workshops and other related events throughout the life of the project. In addition, it is expected that all awareness raising material to be distributed will include the necessary information regarding the contacts and the process for filing grievances. The project will also be responsible for documenting and reporting as part of the safeguards performance monitoring on</p>	Low	FAO (project team) and Côte d'Ivoire Government	Checked during all the implementation	Consultations	25,488 USD

	any grievances received and how they were addressed					
Money laundering, terrorist financing, and prohibited practices	The project will monitor closely the use of funds transferred through letter of agreement, and in line with the MS 507. Periodic reporting (technical and financial reports), with field control, will be sought from the implementing partners. The project M&E expert will be in charge of this close monitoring.	Low	FAO (project team) and Côte d'Ivoire Government	Checked during all the implementation	Consultations	254,880 USD

*\*Risk significance. The probability of occurrence is the likelihood for a risk to occur and can be characterized in terms of the degree to which it will happen (for example, the UNDP screening procedure uses “expected, highly likely, moderately likely, not likely, and slight”). The impact or magnitude of risks is the description of how severe the impacts would be if it were to occur (for example, “critical, severe, moderate, minor, and negligible”). A significance value of the risk (for example low, medium, high) can be obtained by combining the probability and impact values. The risk significance indicates the relationship between probability and severity or magnitude of impacts. The entities or organizations that will be implementing the proposed activities are best positioned to define the probability of occurrence and severity or magnitude of impacts.*

*There is no single technique to determine the significance of risks nor will it apply in all situations. The entities and organizations that will be implementing the activities will need to determine which technique will work best for each situation. Determining risk significance would require an understanding of activities and locations, the urgency of situations, and objective judgment.*

## **Appendix a. Institutional and project level grievance redress mechanism**

FAO is committed to ensuring that its programs are implemented in accordance with the Organization's environmental and social obligations. In order to better achieve these goals, and to ensure that beneficiaries of FAO programs have access to an effective and timely mechanism to address their concerns about non-compliance with these obligations, the Organization, in order to supplement measures for receiving, reviewing and acting as appropriate on these concerns at the program management level, has entrusted the Office of the Inspector-General with the mandate to independently review the complaints that cannot be resolved at that level.

FAO will facilitate the resolution of concerns of beneficiaries of FAO programs regarding alleged or potential violations of FAO's social and environmental commitments. For this purpose, concerns may be communicated in accordance with the eligibility criteria of the Guidelines for Compliance Reviews Following Complaints Related to the Organization's Environmental and Social Standards, which applies to all FAO programs and projects.

Concerns must be addressed at the closest appropriate level, i.e. at the project management/technical level, and if necessary, at the Regional Office level. If a concern or grievance cannot be resolved through consultations and measures at the project management level, a complaint requesting a Compliance Review may be filed with the Office of the Inspector-General (OIG) in accordance with the Guidelines. Program and project managers will have the responsibility to address concerns brought to the attention of the focal point.

The principles to be followed during the complaint resolution process include: impartiality, respect for labour and human rights, including those pertaining to indigenous peoples, compliance of national norms, and coherence with the norms, equality, transparency, honesty, and mutual respect.

### *Project-level grievance mechanism*

The project will establish a grievance mechanism at field level to file complaints during project inception phase. Contact information and information on the process to file a complaint will be disclosed in all meetings, workshops and other related events throughout the life of the project. In addition, it is expected that all awareness raising material to be distributed will include the necessary information regarding the contacts and the process for filing grievances. The project will also be responsible for documenting and reporting as part of the safeguards performance monitoring on any grievances received and how they were addressed.

The mechanism includes the following stages:

1. In the instance in which the claimant has the means to directly file the claim, he/she has the right to do so, presenting it directly to the National Project Coordinator (NPC) or Focal point to be based in the FAO Country Office (FP) who informs the Lead Technical Officer (LTO) and international project coordinator (PC) based in the Decent Rural Employment team (DRET) in the Social Policies and Rural Institutions Division (ESP). The process of filing



a complaint will duly consider anonymity as well as any existing traditional or indigenous dispute resolution mechanisms and it will not interfere with the community's self-governance system,

2. The complainant files a complaint through one of the channels of the grievance mechanism. This will be sent to the NPC or FP who will inform the LTO and PC based in the in DRET, ESP to assess whether the complaint is eligible. The confidentiality of the complaint must be preserved during the process,
3. Eligible complaints will be addressed by the NPC or FP, who will also inform the LTO and PC based in DRET, ESP. The NPC will be responsible for recording the grievance and how it has been addressed if a resolution was agreed,
4. If the situation is too complex, or the complainer does not accept the resolution, the complaint must be sent to a higher level, until a solution or acceptance is reached,
5. For every complaint received, a written proof will be sent within ten (10) working days; afterwards, a resolution proposal will be made within thirty (30) working days,
6. In compliance with the resolution, the person in charge of dealing with the complaint, may interact with the complainant, or may call for interviews and meetings, to better understand the reasons,
7. All complaint received, its response and resolutions, must be duly registered.

Internal process includes the following:

1. Project Task Force. The complaint could come in writing or orally to the PTF directly. At this level, received complaints will be registered, investigated and solved by the PTF,
2. If the complaint has not been solved and could not be solve in level 1, then it gets elevated to the LTO and PC,
3. FAO Representative. The assistance of the FAO Representative is requested if a resolution was not agreed in levels 1 and 2,
4. FAO Regional Office. FAO Representative will request if necessary, the advice of the relevant Regional Office to resolve a grievance, or will transfer the resolution of the grievance entirely to the regional office, if the problem is highly complex,
5. The FAO Regional Representative will request only on very specific situations or complex problems the assistance on the FAO Inspector General who pursuits its own procedures to solve the problem.

Resolution is done upon acceptance a solution by the complainer, a document with the agreement should be signed with the agreement.

## **Appendix b. Stakeholder consultation process**

Stakeholder consultations have been carried out at both national and subnational levels. A first set of consultation has been undertaken during the concept-note development phase. A second set of consultations has been done during the development of the funding proposal. All consultations were led by SEP-REDD+ and the NDA. Stakeholders consulted were local communities, regional councils through the Assembly of Regions and Districts of Côte d'Ivoire, decentralized ministries, ministries, local NGO and association, cooperatives, media, etc.

At a subnational level, sessions were organized from 22 to 24 of October 2019 to discuss about project's activities and goals as well as to refine activities when needed. Following these consultations, a national validation workshop of the project document with all stakeholders was organized on the 29 of October in Abidjan. Also, many interactions have been done with national institutions such as Coffee Cocoa Council, ANADER and MINADER, IDH for the Forest and Cocoa Initiative, SODEFOR for the identification of future collaboration and for the enhancement of the consistency of interventions during the project implementation.

Micro-finance institutions have been consulted also: a meeting has been carried out with the Professional Association of Decentralized Financial Systems of Côte d'Ivoire in January 2020 to share information and discuss the PROMIRE project. Following this first meeting, a short-list of MFI institutions present in the three targeted regions that could fund agricultural activities has been developed. With the administrative authorization of the association, consultations were conducted with each institution to collect further information on fields of intervention, loans' amounts, conditions to obtain a loan, rates, risks and advantages, politic and strategy of each organization.