

# Social, Environmental and Climate Assessment Procedures

2021 EDITION



## SECAP standards requirements checklists

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# Checklist SECAP Standard 1: Biodiversity conservation

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## Requirements

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### Identification of potential risks and impacts

The project team has reviewed the extent of the biodiversity and habitats in the proposed project area, including:

- Vulnerability
- Irreplaceability
- Protected status
- Significance to local communities
- Potential direct and indirect and cumulative impacts on biodiversity, ecosystems and ecosystem services, including risks related to: habitat and species loss, land degradation and fragmentation, overexploitation, invasive alien species, hydrological changes, nutrient loading, pollution, incidental take of species, potential climate change impacts, and differing values attached to potentially affected biodiversity and ecosystem services by any communities and other stakeholders concerned.

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### Assessment of identified risks and impacts

- If screening has triggered SECAP Standard 1, then a biodiversity impact assessment or enhanced considerations of biodiversity in the Environmental and Social Impact Assessment (ESIA) has been carried out.
  - The risk and impact assessment recognizes that the affected communities might attach different values to biodiversity, e.g. indigenous peoples and communities whose livelihoods depend on local natural resources and biodiversity.
  - Relevant expertise has been used to ensure that biodiversity impacts are assessed at appropriate geographic scale.
  - For substantial- and high-risk projects, direct and indirect adverse impacts on biodiversity have been assessed.
  - A baseline assessment has been conducted for the relevant biodiversity attributes and ecosystem services and it identified/ comprised:
    - The habitats that will be affected (directly or indirectly) in the project's area of influence, describes the distribution, range and status of the species and biological communities present, and specifies the location, status and main biodiversity values of nearby protected areas or other areas important for biodiversity
    - Some combination of literature review, stakeholder engagement and consultation, field surveys and other relevant assessments
    - For sites with potentially significant impacts on natural and critical habitats and ecosystem services, the baseline included field surveys over multiple seasons, and were undertaken by competent professionals and with the involvement of external experts, as necessary
    - A landscape/seascape approach was used
  - For natural and critical habitats where significant risks and adverse impacts on biodiversity have been identified, borrowers/recipients/partners have developed/are developing and have implemented/are implementing a biodiversity management plan, which includes:
    - Key biodiversity objectives, activities to achieve the objectives, an implementation schedule, institutional and gender-inclusive responsibilities, and cost and resourcing estimates (see volume 3 of the SECAP)
  - Or a biodiversity action plan, which includes:
    - Description of the biodiversity context, objectives and targets, biodiversity actions and mitigation, implementation action plan (schedule and cost estimates), stakeholder engagement, monitoring and reporting
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## Requirements

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- Mitigation, management and monitoring of identified risks and impacts**
- For moderate-, substantial- and high-risk projects, the precautionary principle has been applied and it follows the mitigation hierarchy.
  - Biodiversity offsets were only undertaken after all prior steps in the mitigation hierarchy were fully assessed and implemented, but significant residual impacts still remain.
  - The biodiversity offset met the following criteria:
    - It is designed and implemented to achieve measurable conservation outcomes expected to result in no net loss and preferably a net gain of biodiversity, adhering to the “like-for-like or better” principle and carried out by experienced external experts
    - For critical habitats, biodiversity offsets are considered only in exceptional circumstances, and in such circumstances a net gain is required
  - The Environmental, Social and Climate Management Plan (ESCMP) reflects relevant requirements of Standard 1 and has been developed.
  - A plan to monitor all mitigation measures and biodiversity actions has been developed, including specific, measurable, achievable, relevant and time-bound (SMART) indicators.
  - Mitigation and management measures meet (and ideally exceed) national regulations and obligations as well as international law.
  - In cases of unavoidable damage to biodiversity, the project is planning/has planned how to compensate for its negative effects on biodiversity by supporting mitigation or restoration of similar biodiversity-rich habitats elsewhere.
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- Habitats**
- The habitat(s) that the project might affect has/have been classified (modified, natural, critical).
  - The project is not implemented in a highly valuable habitat.
  - Where natural habitats are affected, the project only proceeded after appropriate mitigation measures were put in place to achieve no net loss, and preferably a net long-term gain of the associated biodiversity values.
  - If the project activities were proposed to take place in a critical habitat, qualified and experienced external experts were retained to assist in conducting the assessment.
  - If the project affects habitats, it has been reviewed to establish whether any threatened species are present in the project’s area of influence (check the International Union for Conservation of Nature list [here](#)).
  - If the project activities are located within a legally protected area or an internationally recognized area it was ensured that:
    - Actions were taken in a manner consistent with any existing protected area management plans
    - Protected area sponsors and managers, local communities and other key stakeholders in the proposed activities were consulted
  - Additional activities, as appropriate, were implemented to promote and enhance the conservation aims and effective management of the area.
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- Further considerations**
- If the project involves the utilization of genetic resources, there are measures to ensure that the collection of such resources is conducted sustainably and that benefits derived from their utilization are shared in a fair and equitable manner ([Guideline from the Convention on Biological Diversity \[CBD\]](#)).
  - Measures are in place to avoid introduction or utilization of invasive alien species, whether accidental or intentional, and support activities to mitigate and control their further spread.
  - Whenever small-scale producers or landowners have agreed to take certain actions to manage their land or watersheds to provide an ecological service, payments for environmental services have been considered.
  - If the project involves purchasing of natural resource commodities, procurement is/has been/will be limited to suppliers who can demonstrate that they are not contributing to significant conversion or degradation of natural or critical habitats.
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- Procurement**
- The Environment, Climate, Gender and Social Inclusion Division (ECG) specialist has touched base with the senior procurement officers (SPOs) to ensure that all environmental and social (E&S) risks that bear on procurement are adequately addressed in line with the revised procurement guidelines.
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## Checklist SECAP Standard 2: Resource efficiency and pollution prevention

Requirements	
<b>Identification and assessment of potential risks and impacts</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> For moderate-, substantial- and high-risk projects, direct, indirect and cumulative adverse impacts relating to resource use and pollution/emissions have been assessed.</li> <li><input type="checkbox"/> Relevant expertise has been employed and resource use and pollution-related impacts have been assessed at appropriate geographic scale.</li> <li><input type="checkbox"/> The level of stakeholder engagement at a scale appropriate to potential risks/impacts has been ensured.</li> </ul>
<b>Mitigation, management and monitoring of identified risks and impacts</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> The <a href="#">precautionary principle</a> has been applied and follows the mitigation hierarchy.</li> <li><input type="checkbox"/> Where use of a significant volume of pesticides is foreseen, a pest management plan has been developed and applied. See the Codex Alimentarius guidelines of the Food and Agriculture Organization of the United Nations (FAO) and the <a href="#">World Bank's guidance note</a> for reference.</li> <li><input type="checkbox"/> Where specific details and sites of proposed projects were not yet fully defined, an Environmental, Social and Climate Management Framework (ESCMF) has been developed.</li> <li><input type="checkbox"/> The project considers how to monitor all mitigation measures.</li> </ul>
<b>Resource efficiency</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> The borrowers/recipients/partners will implement/have implemented technically and financially feasible measures for improving efficient consumption of energy, water and raw materials, as well as other resources, and have included these requirements in their procurement strategy.</li> <li><input type="checkbox"/> Alternatives that can technically be implemented and are financially feasible have been developed to reduce project-related greenhouse gas (GHG) emissions.</li> <li><input type="checkbox"/> An integrated preventive environmental strategy to products, processes and services has been applied/is being considered.</li> <li><input type="checkbox"/> If available, good international industry practice has been/will be used to evaluate project performance on resource efficiency or pollution intensity requirements.</li> </ul>

<b>Pollution prevention</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> The assessment process has identified the technically and financially feasible pollution prevention and control techniques that are best-suited to avoid or minimize adverse consequences on human health and the environment: these solutions have been included in the project's procurement planning and strategy.</li> <li><input type="checkbox"/> The project's activities favour the prevention or avoidance of risks and impacts over minimization and reduction, in accordance with the mitigation hierarchy.</li> <li><input type="checkbox"/> Measures have been developed/are being developed to avoid or minimize emissions of pollutants into sensitive or already degraded water, air or soil environments.</li> <li><input type="checkbox"/> Proximity to communities/residential areas has been considered and the impacts of pollutants on local communities will be addressed in the project's ESIA.</li> <li><input type="checkbox"/> It is planned to use the waste management hierarchy (reuse, recycle, use waste for energy generation and where no other alternative is technically and economically feasible, dispose of adequately) to dispose of the materials utilized in the project.</li> <li><input type="checkbox"/> If the use of plastics is involved extensively in the project: <ul style="list-style-type: none"> <li>– A waste prevention/management strategy has been developed and the appropriate requirements have been integrated into the project's bidding documents</li> <li>– A recycling plan has been implemented and considers the following elements: <ul style="list-style-type: none"> <li>– Evaluation of the waste production process and identification of potentially recyclable materials</li> <li>– Investigation of external markets for recycling by other industrial processing operations located in the intervention zone</li> <li>– Providing training and incentives to employees in order to meet the objectives</li> </ul> </li> </ul> </li> <li><input type="checkbox"/> There is a duty of care in place, imposing accountability on grant borrowers/recipients/partners to ensure that third parties who transport and dispose of waste do so in ways that are safe, secure and legal, and that these conditions have been integrated into grant and contract templates.</li> <li><input type="checkbox"/> If the project produces any medical waste, its disposal and storage will follow national and international regulations and best practices.</li> </ul>
<b>Air pollution</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Borrowers/recipients/partners have considered alternatives and implemented actions to avoid or minimize project-related air emissions during the design, construction and implementation of the project/programme.</li> <li><input type="checkbox"/> Borrowers/recipients/partners have systems in place to manage and monitor the air emissions associated with their operations.</li> <li><input type="checkbox"/> The air emissions planned for the project do not result in pollutant concentrations that exceed emission limits or ambient air quality standards set by national authorities.</li> </ul>
<b>Historical pollution</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> If project/programme activities are planned to generate significant emissions in previously polluted/degraded areas, borrowers/recipients/partners are adopting/planning to adopt measures that avoid or minimize potential negative effects.</li> <li><input type="checkbox"/> If historical pollution could pose a significant risk to human health or the environment, the borrowers/recipients/partners have undertaken, or are planning to undertake, a health and safety risk assessment of any existing pollution affecting communities, workers, or the environment.</li> </ul>
<b>Hazardous material</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> The project design accounts for hazardous materials to be adequately stored to avoid any release that could affect workers, communities, biodiversity or ecosystem services. Requirements for safe storage have been included in all relevant bidding documents and contracts.</li> <li><input type="checkbox"/> The ESCMP/ESCMF covers the handling of hazardous materials and the adequate handling of pesticides.</li> <li><input type="checkbox"/> Where the public might be exposed to hazardous materials, special care has been taken to avoid or minimize such risks by modifying, substituting or eliminating the materials or conditions concerned.</li> <li><input type="checkbox"/> The project does not support the manufacture, trade or use of chemicals or hazardous substances subject to international bans, restrictions or phase-outs.</li> </ul>

<b>Sustainable management of living natural resources</b>	<input type="checkbox"/> Appropriate industry-specific management practices and available technologies have been/will be applied.
	<input type="checkbox"/> Borrowers/recipients/partners will adopt/are adopting appropriate measures, where relevant, to promote animal welfare, control of potential invasiveness or escape of production species, as well as minimization of antimicrobial resistance.
	<input type="checkbox"/> Slash-and-burn/fire-fallow cultivation has been avoided.
	<input type="checkbox"/> If certifications of compliance are being used/will be used, they are/will be independent, cost-effective, based on objective and measurable performance standards, and developed through consultation with relevant stakeholders such as local residents and communities, indigenous peoples, and civil society organizations representing consumer, producer and conservation interests.
<b>Water usage (for projects affecting water resources)</b>	<input type="checkbox"/> An integrated water resources management approach has been applied.
	<input type="checkbox"/> Assessments of water availability in the project area, including seasonal and multi-year variations in water tables and precipitation, as well as water resource demand, have been conducted.
	<input type="checkbox"/> Cumulative impacts of water use have been assessed and appropriate mitigation measures have been/will be implemented.
	<input type="checkbox"/> Where project activities may restrict or alter riverine systems (e.g. dams, significant water diversion or withdrawals), the project ensures that it does not contribute to further degradation of the freshwater ecosystem.
	<input type="checkbox"/> If the project risks negatively affect the quality or quantity of water in an international waterway, IFAD or its partners have notified all riparian states and/or the international body that coordinates management of the waterway in writing.
	<input type="checkbox"/> The project applies good international practice for water conservation and management, including for irrigation activities and wastewater usage.
<b>Fisheries resources (for IFAD projects supporting small-scale capture fishing)</b>	<input type="checkbox"/> Potential risks of overfishing and destruction of coastal habitats have been identified.
	<input type="checkbox"/> Support given to communities includes adopting adequate equipment and respecting closure periods and zones to avoid the capture of juveniles and reduce by-catch and discards.
	<input type="checkbox"/> Where relevant, the unintended catch of threatened species, such as sea turtles, has been/will be avoided by using excluder devices.
	<input type="checkbox"/> Coastal ecosystems with specific importance for the reproduction of fisheries resources have been protected.
	<input type="checkbox"/> Avoidance and <a href="#">mitigation measures</a> to resolve or alleviate the negative impacts of fisheries and aquaculture have been considered.
<b>Soil management</b>	<input type="checkbox"/> Adverse impacts on soils, their biodiversity, organic content, productivity, structure, and water-retention capacity have been avoided or, if impossible, minimized.
	<input type="checkbox"/> Practices that cause land degradation, soil erosion, degradation of soil organic matter and soil nutrient mining have been/will be avoided.
	<input type="checkbox"/> Where relevant, <a href="#">sustainable soil and land management techniques</a> and <a href="#">approaches</a> have been applied.
	<input type="checkbox"/> Where relevant, support on how to manage soil salinity has been given/will be given to farmers.
	<input type="checkbox"/> Integrated soil fertility management has been/will be promoted.

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- Forest resources**
- The project has avoided clearing forests for agricultural or other purposes and other actions that may inadvertently result in forest conversion or degradation.
  - The construction of roads and other infrastructure in natural forests and other sensitive habitats has been avoided.
  - Measures for mitigating the negative impacts of deforestation have been considered in terms of vegetation, soils, biodiversity, water, and reforestation and afforestation activities.
  - For projects involving industrial-scale commercial forest harvesting, borrowers/recipients/partners have ensured/will ensure that such operations are certified via an independent [forest certification system](#) or adhere to a time-bound phased action plan acceptable to IFAD for achieving such certification.
  - For projects involving forest harvesting by small-scale producers or local communities under community forest management, borrowers/recipients/partners will ensure that they:
    - Have achieved a suitable standard of sustainable forest management developed with the meaningful participation of project-affected parties, including indigenous peoples
    - Adhere to a time-bound action plan to be developed with the meaningful participation of project-affected parties and meeting the requirements of IFAD/SECAP

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- Pesticide use and management**
- Where recourse to pesticides is deemed necessary, IFAD has ensured/will ensure [safe, effective and environmentally sound pest management](#).
  - If pesticides are to be applied, training and awareness-raising on health and environmental aspects for personnel handling and using pesticides have been planned/implemented.
  - The project includes suitable investments and capacity-building activities for the selection, distribution, storage, application and disposal of pesticides and fertilizers.
  - The project does not supply or use pesticides that contain active ingredients banned or restricted under applicable international treaties and agreements, or meeting the criteria of carcinogenicity, mutagenicity or reproductive toxicity, as set forth by such international agencies as the World Health Organization, [United Nations GHS](#),<sup>1</sup> [Stockholm Convention and Rotterdam Convention](#), [Montreal Protocol](#), and [FAO](#).
  - Integrated pest management and vector management approaches are used and entail the coordinated use of pest and environmental information along with available pest/vector control methods, including cultural practices, biological, genetic and, as a last resort, chemical means to prevent unacceptable levels of pest damage.
  - If applicable, pest and vector management, and its linkages to post-harvest losses, were assessed and screened for potential risks.
  - If the project promotes post-harvest use of pesticides for storage of grains by households, training has been/will be provided.

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- Procurement**
- The ECG specialist has touched base with the SPOs to ensure that all E&S risks involving procurement are adequately addressed according to the revised procurement guidelines.
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<sup>1</sup> United Nations Globally Harmonized System of Classification and Labelling of Chemicals.





# Checklist SECAP Standard 3: Cultural heritage

<b>Requirements</b>	
<b>Identification and assessment of potential risks and impacts</b>	<input type="checkbox"/> Potential impacts and risks that project activities pose to both tangible and intangible cultural heritage have been screened and assessed. <input type="checkbox"/> Project activities or features that are likely to impact tangible and intangible cultural heritage have been identified. <input type="checkbox"/> Indirect and cumulative impacts that may occur during implementation or after the completion of a project have been assessed.
<b>Mitigation, management and monitoring of identified risks and impacts</b>	<input type="checkbox"/> Appropriate measures to avoid, minimize or mitigate impact have been identified by borrowers/recipients/partners if the project is likely to affect cultural heritage adversely. <input type="checkbox"/> Where the project might impact cultural heritage, an appropriate management plan has been developed to ensure compliance with the country's overall policy framework, national legislation and international standards for protecting cultural heritage. <input type="checkbox"/> All mitigation measures have been monitored.
<b>Chance finds</b>	<input type="checkbox"/> Chance finds procedures have been included in all plans and contracts regarding project-related construction, including excavation, demolition, earth-moving, flooding, or other changes. Chance finds procedures comprise the following: <ul style="list-style-type: none"> <li>– Definition of cultural heritage, including a description of the types of cultural heritage that might be covered by interventions</li> <li>– Ownership: report the identity of the owner of any cultural heritage found</li> <li>– Recognition: include a technical expert where the risk to cultural heritage is high</li> <li>– Outline procedures upon discovery, if possible based on national procedures. These include: suspension of work, demarcation of the discovered area, chance finds report, actions of the cultural authority and further suspension of work, procedure for non-disturbance of chance finds until assessment by experts</li> </ul>
<b>Community participation, consultation and use of qualified personnel</b>	<input type="checkbox"/> Full and effective participation of local people and qualified personnel has been ensured when screening project areas. <input type="checkbox"/> Communities have been informed of their rights and potential consequences when cultural heritage is used for commercial purposes. <input type="checkbox"/> Fair and equitable sharing of cultural heritage has been ensured. <input type="checkbox"/> Meaningful consultations have been conducted, leading to free, prior and informed consent (FPIC) of the project-affected groups, key users, custodians, local communities, relevant government authorities and interested NGOs.
<b>Continued access</b>	<input type="checkbox"/> Restriction of access has been avoided to cultural heritage sites and places of memory necessary for expression of intangible cultural heritage. <input type="checkbox"/> Where restrictions cannot be avoided, continued access has been ensured subject to overriding safety and security considerations. <input type="checkbox"/> Early stakeholder engagement has been ensured to make certain that potential impacts of access to cultural heritage are identified and assessed as early as possible.
<b>Confidentiality and restricted access by communities</b>	<input type="checkbox"/> Together with the stakeholders, it has been established whether disclosure of information regarding cultural heritage risks would compromise its safety and endanger sources of information. If that is so, sensitive information is withheld from public disclosure. <input type="checkbox"/> Confidentiality has been maintained and customary laws and practices limiting access to specific aspects of customary heritage have been respected.

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## Requirements

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### Commercial use of cultural heritage

- The rights of project-affected communities and individuals to use, manage and access their cultural heritage have been taken into account.
- The requirements of FPIC have been applied to all rural communities.
- Whenever a project involves the commercial use of indigenous peoples' cultural heritage, the requirements of Standard 4 on indigenous peoples are applied.
- Meaningful consultations and stakeholder engagement leading to FPIC have been carried out.
- Fair and equitable sharing of benefits from commercial use of cultural heritage has been arranged.

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### Meaningful consultation leading to consent

- Project-affected groups, relevant government authorities and interested NGOs have been included in public consultations.
- The above-mentioned groups have assisted the borrowers/recipients/partners and IFAD's project delivery team in documenting the presence and significance of cultural heritage.
- Potential impacts have been assessed and avoidance and mitigation options have been explored through a consultation process leading to consent.

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### Procurement

- The ECG specialist has touched base with the SPOs to ensure that all E&S risks with implications for procurement are adequately addressed in line with the revised procurement guidelines.
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## Checklist SECAP Standard 4: Indigenous peoples

### Requirements

#### Identification of indigenous peoples

- Indigenous peoples have been identified according to IFAD's working definition of the term.

#### Identification and assessment of potential risks and impacts

- Potential partners from indigenous peoples have been identified.
- A stakeholder engagement plan has been developed at a scale appropriate to identify potential risks/impacts.
- Early consultations on the proposed project have begun.
- Potential impacts of the project on the social, cultural and economic status of indigenous peoples have been identified.
- Initial mapping of the potentially affected indigenous peoples has been undertaken.

#### Mitigation, management and monitoring of identified risks and impacts

- An indigenous peoples' plan and FPIC implementation plan with appropriate mitigation and management measures has been developed.
- Measures put in place to monitor the impact of the project on the indigenous peoples' communities. This is done in a participatory way, not as a top-down approach, and agreed on in the FPIC implementation plan.

#### Meaningful consultations and FPIC

[IFAD how to do note: FPIC](#)

- FPIC was solicited either before project approval (design phase) or during the implementation phase and has been documented.
- The FPIC process, timeline and decision-making structure have been determined by all stakeholders.
- Meetings and decisions have taken place at locations and times, and in languages and formats, determined by the stakeholders. Collective decisions are reached by the affected peoples (e.g. consensus, majority, etc.) in accordance with their own governance, customs and traditions. Information has been provided at the start of every activity and throughout the different phases of project implementation.
- Information given is culturally appropriate, objective, clear and delivered in an appropriate language.
- No activity has been implemented without consent from areas home to indigenous peoples.

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## Requirements

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### Indigenous peoples' plan (IPP)

- The IPP is prepared as a stand-alone document (annex to ESCMP/ESCMF) or integrated in the project design report or project implementation manual.
- The IPP is integrated into the design and implementation of the project.
- The IPP identifies risks and impacts, and outlines risk avoidance and mitigation measures.
- The IPP includes:
  - Baseline information
  - Key findings and analyses of impacts, risks and opportunities
  - Measures to avoid, minimize and mitigate negative impacts and enhance positive impacts and opportunities
  - Community-based management
  - Results of consultations (during the socio-environmental risk assessment), the FPIC and future engagement plans
  - Benefit-sharing plans (if any)
  - Tenure arrangements
  - Grievance redress mechanism
  - FPIC implementation plan
  - Costs, budget, timeline, organizational responsibilities
  - Monitoring, evaluation and reporting of culturally appropriate benefits

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### Culturally appropriate benefits

[Nagoya Protocol](#)  
[CBD-Agricultural Sector](#)

- Information is given about deriving benefits from programming activities in a culturally appropriate and inclusive manner.
- Any benefits derived from commercial development of indigenous peoples' land, territories or resources, or from the valuing of their cultural heritage are shared equally.

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### Land tenure

[IFAD's how to do note](#)

- Issues that have been considered include:
  - Customary laws related to tenure of lands and territories and resource use and management;
  - Indigenous peoples' ownership, use and management of their land, territories and resources in accordance with their customary laws, practices, values and traditions;
  - Existence of any formal legal ownership, occupation, management and/or use recognition resting with the concerned indigenous peoples and regarding all or some of the ancestral area;
  - Identification of relevant recognition, protection and mechanisms for ensuring indigenous peoples' land and territories security under national law and international obligations;
  - Extent of titling/concessions/usage and management given to non-indigenous peoples within the lands and territories in question and any competing claims, as well as any squatting or intrusions exist in the same area;
  - Existence of land and territories claims initiated by indigenous peoples before tribunals, government offices and administrative proceedings (including their duration);
  - The interest in, and potential for, indigenous peoples' contributions and/or management of project activities impacting their lands, resources and territories; and
  - The potential for increased conflicts over land, territories and resources between indigenous peoples and neighbouring communities.

Based on this analysis:

- Provisions are made in project design and implementation to support the establishment of legal recognition of customary or traditional land and territories tenure, and of management systems and collective rights used by project-affected indigenous peoples.
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## Requirements

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### Resettlement (voluntary and involuntary)

- The project does not pose a risk to indigenous peoples of involuntary resettlement from their lands and/or territories. If physical relocation of indigenous peoples took/will take place on a voluntary basis, the following has been/will be complied with:
  - FPIC has been granted by the affected indigenous peoples' communities
  - Impacts have been assessed so as to minimize and mitigate risks
  - The scope and the extent of impacts has been identified
  - A survey of potentially affected indigenous peoples has been conducted, together with a socio-economic analysis of the indigenous peoples' communities in order to determine eligibility for entitlements and gather baseline information for measuring restoration of incomes and living standards
  - A resettlement action plan has been developed
- If the project involves the development of a dam, indigenous peoples were not involuntarily resettled as a result.

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### Voluntary isolation

- It has been assessed that the project does not cause adverse impacts (including undesired or initial contact) on indigenous peoples living in voluntary isolation.
- Where projects may directly or indirectly impact them, the IPP includes measures to:
  - Safeguard the collective and individual physical, territorial, and cultural integrity of these peoples
  - Recognize, respect and protect their lands and territories, environment, health and culture
- Prohibit and therefore avoid contact with voluntary isolated indigenous peoples as a direct or indirect consequence of the project.

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### Cultural heritage

- The project makes it a priority to avoid affecting the cultural heritage, both tangible and intangible, as well as the identity and/or cultural, ceremonial or spiritual aspects of indigenous peoples.
- If the project is likely to significantly affect cultural heritage, FPIC has been granted by the affected communities.
- If the project is likely to significantly affect cultural heritage, further requirements for Standard 3: Cultural Heritage have been considered.

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### Information disclosure

- Documentation of the consultation process, the FPIC implementation plan and the IPP/IPPF framework have been disclosed in a timely manner and are accessible to indigenous stakeholders, as well as in a form and language understandable to them.

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### Grievance redress mechanism

- An accessible, effective project-level grievance redress mechanism has been put in place, which:
  - has taken into account indigenous peoples' customary laws and dispute resolution processes. Traditional dispute mechanisms for affected indigenous peoples have been used to the greatest extent possible
  - is the result of a full, effective and meaningful consultation and participation process
  - takes into account the capacity of indigenous peoples under national laws to denounce violations of their rights and secure remedies in domestic courts or administrative redress

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### Procurement

- The ECG specialist has touched base with the SPOs to ensure that all E&S risks with implications for procurement are adequately addressed in line with the revised procurement guidelines.
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## Checklist SECAP Standard 5: Labour and working conditions

### Requirements

#### Identification and assessment of potential risks and impacts

- Review of relevant national employment and labour laws has been conducted and areas that require further attention have been identified.
- A stakeholder engagement plan has been developed and early consultations have started to identify options to avoid potential adverse risks and impacts regarding labour and working conditions.
- An appropriately scaled E&S assessment has been undertaken for moderate-, substantial- and high-risk projects to assess risks and impacts on labour and working conditions.

#### Mitigation, management and monitoring of identified risks and impacts

- Qualified and experienced social experts with direct knowledge of local conditions and national labour and employment regulations have been employed where significant labour risks are present. The precautionary principle and mitigation hierarchy has been applied.
- Appropriately scaled labour management procedures have been developed and implemented to ensure that labour management practices meeting Standard 5 requirements are followed.
- All management and mitigation measures are included in the ESCMP/ESCMF and monitored.

#### Terms and conditions of employment

- Applicable written labour management procedures have been put in place by the borrowers/recipients/partners who set out the conditions in which workers are to be employed, in accordance with IFAD standards and national law.
- Workers have been provided with clear and understandable documentation of employment terms and conditions, including their rights under national law related to hours of work, wages, overtime, compensation and benefits.
- Workers engaged by the project have been provided regular and timely wages, and adequate periods of rest, holidays, sick, maternity, paternity and family leave, and written notice of termination and severance payments, as required under national laws and the labour management procedures.

#### Non-discrimination and equal opportunity

- Decisions relating to any aspect of the employment relationship, including recruitment, hiring and treatment of workers, have been made based on the principles of non-discrimination, equal opportunity and fair treatment rather than on the basis of personal considerations unrelated to job requirements.
- Appropriate measures have been put in place by borrowers/recipients/partners to prevent harassment, intimidation and exploitation, and to protect disadvantaged and vulnerable workers, including but not limited to, women, children of working age, migrants and persons with disabilities.
- Borrowers/recipients/partners have, to the extent technically and financially feasible, put in place reasonable measures to adapt the workplace to workers with disabilities (e.g. wheelchair ramps and alternative means of communication).
- Clear provisions regarding non-discrimination and prevention of sexual harassment, exploitation and abuse have been included in all contracts with project employers, contractors and suppliers.

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## Requirements

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### Workers' organizations

- Freedom of association and the right to collective bargaining have been respected and any violation denounced, including any retaliation against workers who participated in organizations and collective bargaining.
- Opportunities have been considered for empowering rural youth and women, and other disadvantaged workers, to organize themselves in specific groups.
- Where national law restricts workers' organizations, avenues have been provided for workers to develop alternative mechanisms to express their grievances and protect their rights.

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### Forced labour

- No forced labour is used and immediate steps have been taken to correct and remedy cases of forced labour, where identified.
- Any cases of forced labour have been referred to relevant government authorities and support services, to be addressed in accordance with national law.
- Where national law fails to effectively prohibit forced labour, appropriate labour management procedures have been put in place.
- No trafficked persons have been employed in connection with project activities.

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### Child labour

- The following steps have been taken to avoid the use of child labour:
  - Compliance with minimum age requirements set out in International Labour Organization conventions or national legislation and kept records of the dates of birth of all employees, verified by official documentation
  - Regular supervision of activities carried out by young workers, ensuring that those under 18 years are not employed in hazardous work
  - Assessment of the safety risks arising from work by children under 18 years and regular monitoring of their health, working conditions and hours
  - The provision that any workers aged 13–15 years may only perform light work outside school hours, in accordance with national legislation, or are working in a government-approved training programme
  - Contractors to have adequate systems in place to identify workers under the age of 18 and ensure that they are not engaged in hazardous work; and guarantee that their duties are subject to appropriate risk assessment and health monitoring
  - Assessment of the risk of child labour occurring in the core supply chain and, where identified, steps to be taken to remedy or mitigate the problem
- Immediate steps have been taken to correct and remedy cases of child labour where identified, including the rehabilitation and social integration of the children concerned where necessary and appropriate.

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### Occupational safety and health

- The following safety and health measures have been applied to protect workers from chemical, physical, biological and psychosocial hazards:
    - Identification of potential hazards to workers, particularly potentially life-threatening ones
    - Provision of preventive and protective measures, implemented in the following order of priority: (a) elimination/substitution; (b) engineering and organizational controls; (c) administrative controls; and where residual risks remain: (d) provision of personal protective equipment at no cost to the worker; and (e) provision of adequate first-aid facilities to workers
    - Safety and healthy training
    - Documentation and reporting of occupational accidents, diseases and incidents
    - Implementation of emergency prevention, preparedness and response procedures
    - Appropriate response to adverse impacts such as occupational injuries, deaths, disability and disease
  - Services have been provided to assist project workers in a non-discriminatory manner and in compliance with national law.
  - Appropriate, clean and safe accommodation meeting the basic requirements of workers has been provided.
  - Remedies or reparation have been provided for adversities such as occupational injuries, disability, ill health or disease and death.
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## Requirements

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### Workplace grievance redress mechanism

- Effective, accessible and inclusive workplace grievance mechanisms and processes have been put in place so that project workers can report unsafe situations without fear of retaliation.
- Workers have been informed of applicable grievance and conflict resolution mechanisms provided in the workplace.
- Grievance and conflict resolution systems have been designed to address workers' concerns promptly, using an easily comprehensible, transparent process providing timely feedback to those concerned in a language they understand.
- Grievance and conflict resolution systems do not impede access to other judicial or administrative remedies available under national law.

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### Contractor/third-party worker

- Due diligence has been conducted to ensure that third parties hiring workers are legitimate and reliable entities.
- Applicable procedures and requirements, including SECAP, have been ensured and are incorporated into contractual agreements with third parties, together with appropriate non-compliance remedies.
- Procedures for managing and monitoring the performance of third parties have been established.
- Contracted and subcontracted workers have been granted effective access to a grievance mechanism.
- An effective workplace grievance mechanism has been set up for cases where the third party employing the workers is unable to provide one.

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### Primary supplier

- Potential risks of violations of primary supplier workers' fundamental rights, safety and health have been identified and roles and responsibilities have been established for monitoring primary suppliers.
- A primary supplier is required to take appropriate steps to remedy identified instances of child labour, forced labour, unsafe working conditions or other breaches of fundamental rights.
- In instances where workers are exposed to serious hazards (injury, ill-health, death), primary suppliers have procedures in place to prevent and mitigate such issues.
- Where there is imminent danger to workers of serious injury, ill health or death, borrowers/recipients/partners have stopped the operation concerned until the hazard is controlled.

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### Procurement

- The ECG specialist has touched base with the SPO to ensure that all E&S risks that have implications for procurement are adequately addressed according to the revised procurement guidelines.
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## Checklist SECAP Standard 6: Community health and safety

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### Requirements

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<b>Identification and assessment of potential risks and impacts</b>	<input type="checkbox"/> Risk and impact assessments have been undertaken on how project activities affect the health and safety of the communities concerned during the project life cycle.
<b>Mitigation, management and monitoring of identified risks and impacts</b>	<input type="checkbox"/> Mitigation measures have been included in the ESCMP/ESCMF and implemented for each impact and risk identified in the E&S assessment. Such measures are aimed at avoiding adverse impacts, following the mitigation hierarchy.
<b>Community exposure</b>	<input type="checkbox"/> Project activities potentially exposing a community to health and safety risks (e.g. pollution, contaminated areas/resources) and diseases have been avoided or minimized. <input type="checkbox"/> Consideration has been given to how different marginalized groups, including communities living in voluntary isolation, may be exposed and/or react to exposure.
<b>Nutrition</b>	<input type="checkbox"/> Potential, unintended negative impacts on nutrition have been systematically identified and assessed during the planning phase, and a mitigation plan has been developed.
<b>Infrastructure design and safety</b>	<input type="checkbox"/> Structural elements and services have been designed, constructed, operated and decommissioned in accordance with national legal requirements and the World Bank Group's Environmental, Health and Safety Guidelines, taking into consideration safety risks to third parties and affected communities. <input type="checkbox"/> Structural project elements have been designed and constructed by competent professionals, and certified or approved by competent authorities. <input type="checkbox"/> GPS coordinates of infrastructure sites have been collected by the borrowers/recipients/partners following a systematic and standardized methodology, and geospatial data have been submitted to IFAD. <input type="checkbox"/> Structural design has taken climate change considerations into account as appropriate. <input type="checkbox"/> The incremental risks of the public's potential exposure to operational accidents or natural hazards have been considered by borrowers/recipients/partners in situations where the project includes new buildings and structures accessible to the public. <input type="checkbox"/> One or more independent experts have been engaged by borrowers/recipients/partners to conduct a review as early as possible in project development and throughout the stages of design, construction, operation and decommissioning, whenever structural elements are situated in high-risk locations, including sites exposed to extreme weather or slow-onset events, and when their failure or malfunction may threaten the safety of communities.

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## Requirements

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<b>Dams</b>	<ul style="list-style-type: none"><li><input type="checkbox"/> The financing agreement negotiated contains a covenant to ensure that dams and reservoirs are designed, constructed, operated, maintained and eventually decommissioned to the highest possible standard of safety.</li><li><input type="checkbox"/> Generic dam safety measures for small dams have been applied, such as ensuring adequate spillway capacity, freeboard<sup>2</sup> and protection of downstream areas among others.</li><li><input type="checkbox"/> A suitably qualified and experienced independent consulting officer has been incorporated for a medium-sized dam in order to provide recommendations directly to the implementing agency on all aspects of the infrastructure. For financing or cofinancing of a large dam, the following have been undertaken:<ul style="list-style-type: none"><li>– Review of the investigation, design and construction by an independent panel of experts</li><li>– Preparation and implementation of detailed plans for construction, supervision and quality assurance.</li><li>– Instrumentation, operation and maintenance, and emergency preparedness plans</li><li>– Submission of geographical coordinates of planned and completed dam locations</li><li>– Periodic safety inspections after completion</li></ul></li><li><input type="checkbox"/> Emergency preparedness plans have been prepared for all dams with significant or high hazard potential.</li></ul>
<b>Hazardous materials</b>	<ul style="list-style-type: none"><li><input type="checkbox"/> Measures to avoid or minimize community exposure to any hazardous materials used during project activities have been taken.</li><li><input type="checkbox"/> Special care has been taken to avoid exposure to health- and life-threatening hazards by modifying or eliminating their causes.</li><li><input type="checkbox"/> Appropriate due diligence has been undertaken to control the safety of delivery, transport and disposal of hazardous materials and wastes.</li><li><input type="checkbox"/> Training programmes have been conducted for employees and the community, and protective equipment and proper cautionary signs have been provided.</li><li><input type="checkbox"/> Local emergency responders have been informed of the risks and borrowers/recipients/partners have collaborated with them in emergency response and planning.</li><li><input type="checkbox"/> A monitoring plan, an emergency plan (including spill prevention) and a long-term plan for containing and disposing of materials have been developed and carried out. Additionally, all incidents involving exposure or release of chemicals have been tracked over time.</li></ul>
<b>Emergency preparedness</b>	<ul style="list-style-type: none"><li><input type="checkbox"/> Communities have been informed of risks or negative impacts in a socially and culturally appropriate manner, when some hazardous elements still exist despite all attempts to avoid or minimize them.</li><li><input type="checkbox"/> Sound, socially and culturally appropriate emergency preparedness and response plans have been established to respond to accidental and emergency situations that may pose a risk to local communities.</li></ul>
<b>Impacts on ecosystem services</b>	<ul style="list-style-type: none"><li><input type="checkbox"/> Measures have been taken to avoid adverse impacts on ecosystem services that may arise from project activities.</li><li><input type="checkbox"/> Special attention has been paid to avoid causing or exacerbating potential adverse impacts on marginalized and disadvantaged groups.</li><li><input type="checkbox"/> Where appropriate, potential risks and negative impacts on ecosystem services that may be exacerbated by climate change have been identified in the screening and assessment phase.</li></ul>

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<sup>2</sup> The vertical distance of a dam crest above the maximum reservoir water level.



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## Requirements

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<b>Gender-based violence including sexual harassment, exploitation and abuse</b>	<ul style="list-style-type: none"><li><input type="checkbox"/> Risks of project-related gender-based violence, risks of sexual harassment, exploitation and abuse, and human trafficking have been assessed.</li><li><input type="checkbox"/> Specific measures have been adopted where appropriate to address and prevent the above risks, including through confidential channels created to report incidents and provide support.</li><li><input type="checkbox"/> Reporting and response protocols have been established to deal with instances of gender-based violence and abuse in line with the IFAD Policy to Preventing and Responding to Sexual Harassment, Sexual Exploitation and Abuse.</li><li><input type="checkbox"/> Procedures have been established to provide services and redress to survivors/affected persons.</li></ul>
<b>Traffic and road safety</b>	<ul style="list-style-type: none"><li><input type="checkbox"/> A road safety assessment has been undertaken where necessary (for each phase of the project) and incidents and accidents have been monitored. Regular reports based on such monitoring will be issued.</li><li><input type="checkbox"/> Appropriate, technically and financially feasible safety measures have been incorporated into the design, included in the ESCMP/ESCMF and implemented to prevent accidents potentially involving members of the public, given the presence of construction and other equipment on public roads.</li><li><input type="checkbox"/> Responsibilities for the identification, monitoring and evaluation (M&amp;E) of potential traffic and road safety risks to affected local communities and other road users have been specified.</li><li><input type="checkbox"/> Geographical information system data have been submitted to IFAD showing planned and completed transects of new/rehabilitated roads.</li></ul>
<b>Influx of project workers</b>	<ul style="list-style-type: none"><li><input type="checkbox"/> Appropriate mitigation and management measures have been taken to address risks and potential impacts on the health and safety of communities arising from the influx of project workers.</li></ul>
<b>Security-related personnel</b>	<ul style="list-style-type: none"><li><input type="checkbox"/> Security personnel engaged in the project do not violate international human rights standards.</li><li><input type="checkbox"/> Risks posed by such security arrangements to a potentially affected community have been assessed to ensure that those providing security are appropriately vetted, trained and supervised.</li><li><input type="checkbox"/> Any allegations of unlawful or abusive acts have been reviewed, with action taken to prevent any recurrence against individuals or communities.</li></ul>
<b>Procurement</b>	<ul style="list-style-type: none"><li><input type="checkbox"/> The ECG specialist has touched base with the SPOs to ensure that all E&amp;S risks with implications for procurement are adequately addressed according to the revised procurement guidelines.</li></ul>

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## Checklist SECAP Standard 7: Physical and economic resettlement

Requirements	
<b>Identification and assessment of potential risks and impacts</b>	<input type="checkbox"/> Potential risks of physical and economic displacement of individuals as a result of the project have been identified (using the SECAP screening questions).
	<input type="checkbox"/> Displaced persons directly and indirectly impacted by the project have been identified.
	<input type="checkbox"/> Risks to food security have been evaluated.
<b>Mitigation, management and monitoring of identified risks and impacts</b>	<input type="checkbox"/> For moderate-, substantial and high-risk projects, an (abbreviated) Resettlement Action Plan/Framework (RAP/RAF) that stipulates entitlements, compensation and assistance to displaced persons has been developed. It is designed to improve, or at least restore, livelihoods.
<b>Forced evictions</b>	<input type="checkbox"/> Project has not led to forced evictions and measures have been incorporated to avoid forced evictions.
	<input type="checkbox"/> Allowed evictions are carried out lawfully, and only in exceptional circumstances to promote the general welfare and with full justification.
<b>Prior displacement</b>	<input type="checkbox"/> Where displacement has occurred in anticipation of the project, an audit has been conducted to identify: <ul style="list-style-type: none"> <li>– Gaps of past activities against Standard 7</li> <li>– Corrective actions that may be required to ensure compliance with Standard 7</li> </ul>
<b>Avoidance and minimization of displacement</b>	<input type="checkbox"/> Involuntary resettlement has been avoided or, when unavoidable, has been minimized by exploring feasible alternative project designs and sites.
	<input type="checkbox"/> All feasible project alternatives have been considered and measures to avoid displacement, including the “no action” option, have been considered.
	<input type="checkbox"/> Services of experienced professionals have been relied on in order to establish baseline information and to design displacement activities.
	<input type="checkbox"/> Public disclosure has been carried out, together with dissemination of information and justification for activities resulting in displacement.
	<input type="checkbox"/> Affected individuals and communities have been informed of their rights under national law and have been provided with access to legal counselling.
	<input type="checkbox"/> Effective remedies have been provided for affected individuals and communities.
	<input type="checkbox"/> The RAP was publicly disclosed at least 120 days prior to displacement activities.
<b>Consideration of vulnerable groups</b>	<input type="checkbox"/> Access has been identified and impacts on disadvantaged and vulnerable groups have been addressed in accordance with the screening and assessment phase of the project cycle and specifically: <ul style="list-style-type: none"> <li>– Carried out through socio-economic surveys and analyses to determine pertinent vulnerability factors in the project areas, in cooperation with relevant stakeholders including affected communities</li> <li>– Identified vulnerable and disadvantaged individuals and groups based on the results of this vulnerability analysis</li> <li>– Conducted consultations with vulnerable groups</li> </ul>
	<input type="checkbox"/> The RAP includes specific assistance measures tailored to the different needs of vulnerable groups and funding as part of the overall acquisition, and the resettlement budget has been provided.

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## Requirements

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<b>Develop plans to enhance and restore livelihoods of affected persons</b>	<ul style="list-style-type: none"><li><input type="checkbox"/> Action plans have been designed to enhance and restore the standards of living and livelihoods of affected persons. Such plans will address, at a minimum, the following elements:<ul style="list-style-type: none"><li>– Established eligibility criteria, cut-off dates, compensation and entitlements for all categories of affected persons</li><li>– Measures to provide (a) fair and just compensation; (b) transition support (both financial and in-kind); and (c) assistance such as land development, credit facilities, direct benefits, training and provision of expertise, as appropriate</li></ul></li><li><input type="checkbox"/> Displaced individuals and communities have been provided secure access to necessary services, shelter, food, water, energy as applicable.</li></ul>
<b>Physical displacement</b>	<ul style="list-style-type: none"><li><input type="checkbox"/> Action plans have been developed addressing the following elements if programming activities involved physical displacement:<ul style="list-style-type: none"><li>– Specification of the resettlement options chosen by displaced persons, respecting preferences to relocate in pre-existing communities wherever possible, with all transactions documented</li><li>– Choice of replacement property, with secure tenure of higher-value and better housing whenever possible for affected people with formal land rights or recognizable claims</li><li>– Identification of resettlement sites for adequate housing with improved living conditions, essential civic infrastructure and services</li></ul></li><li><input type="checkbox"/> Compensation for loss of assets other than land for affected people without formal land rights or recognizable claims.</li></ul>
<b>Economic displacement</b>	<ul style="list-style-type: none"><li><input type="checkbox"/> Compensation is adequate to cover all commercial losses and other assets such as crops, irrigation infrastructure or other improvements in affected areas.</li><li><input type="checkbox"/> Replacement property of improved value has been provided where legitimate tenure rights are restricted.</li><li><input type="checkbox"/> Economically displaced people who are without legally recognizable claims to land have been compensated for lost assets other than land, at full replacement cost (e.g. crops, irrigation infrastructure and other improvements to the land).</li><li><input type="checkbox"/> Replacement land has been offered and access to alternative resources with a combination of productive potential, locational advantage and other factors has been made available with improved earning potential and accessibility, whenever feasible.</li><li><input type="checkbox"/> A collaborative process has been established with affected people and communities to negotiate and determine appropriate restrictions and mitigation measures to improve affected livelihoods while maintaining the sustainability of the park or protected area.</li></ul>
<b>Procurement</b>	<ul style="list-style-type: none"><li><input type="checkbox"/> The ECG specialist has touched base with the SPOs to ensure that all E&amp;S risks that have implications for procurement are adequately addressed according to the revised procurement guidelines.</li></ul>

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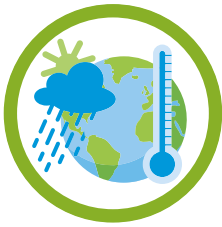


## Checklist SECAP Standard 8: Financial intermediaries and direct investments

Financial intermediaries	Requirements
<b>Identification and assessment of potential risks and impacts</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> The E&amp;S capacities of the proposed financial intermediary (FI) have been screened and categorized using the screening procedure in SECAP.</li> <li><input type="checkbox"/> The proposed FI clearly undertakes to abstain from activities on the IFAD exclusion list (Volume 1, Annex 5).</li> <li><input type="checkbox"/> The risk of the FI's portfolio has been categorized using SECAP risk assessment tools.</li> <li><input type="checkbox"/> There is a clear link between the FI's E&amp;S category and the E&amp;S risk categories of its subprojects and portfolio exposure.</li> </ul>
<b>E&amp;S management system (ESMS) of the FI</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> The FI has a fully operating ESMS in place, which includes the following: <ul style="list-style-type: none"> <li>– An environmental and social policy that includes a requirement for subprojects to meet an acceptable level of compliance with IFAD's SECAP standards and requirements as well as local E&amp;S regulation</li> <li>– A process to identify environmental, social and climate risks</li> <li>– Management programmes to avoid, minimize or compensate for identified risks and impacts</li> <li>– Internal organizational capacity and competency to implement the ESMS</li> <li>– Monitoring and reporting systems</li> <li>– A mechanism for responding to accidents, emergencies and a grievance redress apparatus</li> </ul> </li> </ul>
<b>Stakeholder engagement planning</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> It has been assessed whether the FI has established: <ul style="list-style-type: none"> <li>– An appropriate stakeholder engagement process</li> <li>– An external communication mechanism that allows the FI to inform affected communities and: (a) explain the project to them; (b) incorporate their feedback and any agreed changes; (c) inform local authorities, other stakeholders and IFAD on project progress and on any unexpected and unintended events affecting those communities</li> </ul> </li> <li><input type="checkbox"/> It has been assessed whether the FI has provided: <ul style="list-style-type: none"> <li>– Guidance on the establishment of grievance mechanisms (for FI subprojects)</li> <li>– An appropriate monitoring and reporting programme</li> </ul> </li> </ul>
<b>Monitoring and reporting</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> The FI has the capacity and is committed to: <ul style="list-style-type: none"> <li>– Establishing monitoring procedures to review progress with E&amp;S assessment procedures and compliance of operations with any legal and/or contractual obligations and regulatory requirements</li> <li>– Reporting on the portfolio to IFAD with the annual environmental performance report</li> <li>– Requesting a compliance statement in its investment agreements with clients/ investees</li> </ul> </li> </ul>
<b>Disclosure</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> FI has procedures in place to communicate the E&amp;S policy externally through public disclosure, presenting it in corporate statements and reports and publishing it on the FI's website.</li> </ul>
<b>E&amp;S covenants in legal agreements</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> E&amp;S covenants are clearly defined in loan/subscription agreements.</li> </ul>
<b>Procurement</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> The ECG specialist has touched base with the SPOs to ensure that all E&amp;S risks with implications for procurement are adequately addressed in line with the revised procurement guidelines.</li> </ul>

Direct investments	Requirements
<b>Identification and assessment of potential risks and impacts</b>	<input type="checkbox"/> The E&S capacities of the proposed direct investee (DI) have been screened using SECAP's screening procedure. <input type="checkbox"/> The proposed operations of the DI have been screened and categorized using the SECAP risk assessment tool. <input type="checkbox"/> The proposed DI clearly undertakes to abstain from activities on the IFAD exclusion list (Volume 1, Annex V).
<b>ESMS of the DI</b>	<input type="checkbox"/> The DI has a fully operating ESMS in place and it includes the following: <ul style="list-style-type: none"> <li>– An environmental and social policy that calls on subprojects to meet the DI's Environmental and Social Standards requirements as well as local E&amp;S regulations</li> <li>– A process to identify environmental, social and climate risks</li> <li>– Management programmes to avoid, minimize or compensate for identified risks and impacts</li> <li>– Internal organizational capacity and competence to implement the ESMS</li> <li>– Monitoring and reporting systems</li> <li>– A system for responding to accidents and emergencies</li> </ul>
<b>E&amp;S due diligence (ESDD) for direct investment projects</b>	<input type="checkbox"/> For substantial- and high-risk projects: <ul style="list-style-type: none"> <li>– An ESDD was conducted in accordance with IFAD's SECAP requirements, including a full or abbreviated ESIA (for substantial-risk projects) and a compliance summary table with IFAD's Social, Environmental and Climate Standards</li> <li>– A draft consultation and participation plan, grievance redress mechanism and an ESCMP have been prepared</li> <li>– The ESCMP includes relevant indicators (outcome and milestone) for monitoring climate, environmental, health, safety and social issues</li> <li>– The relevant provisions of ESCMPs, including costs of implementation, are fully included in bid and contract documents</li> </ul> <input type="checkbox"/> For moderate-risk projects: <ul style="list-style-type: none"> <li>– ESCMP has been developed</li> </ul>
<b>Stakeholder engagement planning and M&amp;E</b>	<input type="checkbox"/> It has been assessed whether the DI has established: <ul style="list-style-type: none"> <li>– An appropriate stakeholder engagement process</li> <li>– An external communication mechanism that allows the DI to inform affected communities and explain the project to them; incorporating feedback from and changes agreed with them; informing project-affected local authorities, other stakeholders and IFAD on project progress and on any unexpected and unintended events affecting those communities</li> </ul> <input type="checkbox"/> It has been assessed whether the DI has provided: <ul style="list-style-type: none"> <li>– Guidance on the establishment of grievance mechanisms (for direct-investment activities)</li> </ul> <input type="checkbox"/> It has been assessed whether the DI has provided an appropriate monitoring and reporting programme.
<b>E&amp;S covenants</b>	<input type="checkbox"/> E&S covenants are clearly defined in loan/subscription agreements.
<b>Procurement</b>	<input type="checkbox"/> The ECG specialist has touched base with the SPOs to ensure that all E&S risks with implications for procurement are adequately addressed in line with the revised procurement guidelines.





## Checklist SECAP Standard 9: Climate change

### Requirements

#### General objectives

- The project is aligned with targets and priorities of countries' nationally determined contributions and the goals of the Paris Agreement and other international frameworks.
- The project strengthens/will strengthen the climate resilience of communities and their adaptive capacity to address climate change risks and impacts, and climate-related disasters.

#### Identification and assessment of potential risks and impacts

- Proposed activities are screened and assessed for climate change and disaster risks and impacts – including impacts both on, and from, projects.
- Potential adverse climate change impacts on the project and impacts from the project on GHG emissions have been identified.
- Where there is a risk of significant GHG emissions, potential sources have been defined and amounts estimated to form a baseline for reducing emissions (if an estimate is technically and financially feasible). The borrowers/recipients/partners have adopted GHG accounting methodologies for project activities according to international best practices and should protect, conserve and (where appropriate) incorporate carbon sinks into project activities.
- For substantial and high-risk projects, direct and indirect adverse climate-related impacts have been assessed.
- For potentially high-risk projects, a vulnerability, impact and adaptation assessment has been produced.
- For substantial-risk projects, a targeted adaptation assessment has been produced.
- For moderate-risk projects, a literature review of climate assessments and proposed adaptive/mitigation measures in the ESCMP has been undertaken.
- Impacts have been assessed utilizing relevant expertise and at appropriate geographic scale.
- The level of stakeholder engagement is appropriate to potential risks/impacts.

#### Mitigation, management and monitoring of identified risks and impacts

- If the specific details and sites of proposed projects have not been fully defined, a management framework has been developed.

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## Requirements

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### Hazard identification

[Thinkhazard Tool](#)

[World Bank Climate Change Knowledge Portal](#)

- The key natural hazards, in light of their expected effects, from what is known from past and current climate observations and trends as well as future projections for a given location, have been identified.
- The identified natural hazards have been considered/will be considered in project design and implementation to promote disaster and climate resilience.
- Where the project area is affected by river, urban or coastal floods (and classified as high risk), appropriate and context-specific flood control measures have been considered.
- If the risk of landslides is classified as high, planning decisions such as project siting, project design and construction methods have taken this into account.
- If the risk of cyclones is classified as high, their impact (wind, rain, subsequent flooding and coastal floods) has been considered in all phases of the project, in particular during design and construction.
- If the risk of water scarcity is classified as high, the impact of drought has been considered in all phases of the project, in particular the effect on personnel and stakeholders, and during the design of infrastructure.
- If extreme heat hazard is classified as high, project planning decisions and project design have taken this into account.
- If the wildfire hazard is classified as high, its impacts (not only direct flame and radiation exposure but also ember storm, low-level surface fire, strong winds and windborne debris that can weaken infrastructure) have been taken into account in all phases of the project, in particular during design and implementation.
- Alternatives and implementation of technically and financially feasible options to reduce GHG emissions have been considered.

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### Exposure

- The exposure of the project area to the previously noted hazards has been identified.
- The likelihood of the project increasing the target population's vulnerability to climate hazards (e.g. maladaptation) has been analysed.
- Borrowers/recipients/partners have analysed/will analyse physical, social, economic and environmental factors and processes that increase communities' susceptibility and vulnerability to potential climate change impacts and hazards – with a focus on marginalized and disadvantaged people.

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### Sensitivity

- The degree to which the system is susceptible to, and unable to cope with, adverse effects of climate change, including climate variability and extremes, has been analysed.
- In the above, current social, economic and political factors in the project area have been considered.

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### Adaptive capacity

- An assessment has been made of the degree to which the system or the community is able to adapt to the impacts of climate change, including climate variability and extremes.
- The project increases/will increase the ability of communities to adapt to the impacts of climate change, and foster climate resilience and low GHG-emitting projects that do not threaten food production.

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### Procurement






- An ECG specialist has touched base with the SPOs to ensure that all E&S risks which have implication for procurement are adequately addressed according to the revised procurement guidelines.
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International Fund for Agricultural Development  
Via Paolo di Dono, 44 - 00142 Rome, Italy  
Tel: +39 06 54591 - Fax: +39 06 5043463  
Email: [ifad@ifad.org](mailto:ifad@ifad.org)  
[www.ifad.org](http://www.ifad.org)

-  [facebook.com/ifad](https://facebook.com/ifad)
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