



Central African Forest Initiative

Application Form for Prospective Non-UN Applicants for Funding

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1. Introduction

This document consists of the **application form that prospective Implementing Organizations under the category of NUNO (Non-UN Organizations) should complete** if they are contemplating applying to the Central African Forest Initiative for project funding.

Completion of the form allows CAFI to assess whether the Implementing Partner meets CAFI's environmental and social safeguard requirements. The form consists of an Assessment Tool that focuses on a prospective Partner's formal environmental and social safeguards policies, procedures and guidelines, along with an evaluation of the agency's experience with implementation of the safeguards approach.

This form consists of five additional sections:

- Section 2 discusses how the Assessment Tool should be applied to different categories of Implementing Partners.
- Section 3 consists of a brief background to the Assessment Tool for Standard Implementing Partners.
- Section 4 outlines the steps that are required to be taken in the application process.
- Section 5 presents Part I of the Assessment Tool, which focuses on the evidence that a prospective Implementing Partner should provide to enable CAFI to assess the Partner's formal safeguards policies and procedures.
- Section 6 presents Part II of the Assessment Tool, which focuses on the evidence that a prospective Implementing Partner should provide to enable CAFI to assess the Partner's experience with implementation of its environmental and social safeguards procedures.



2. Implementing Partner Status: Standard vs Fast Track

The Assessment Tool applies to all Implementing Organizations, whether existing or proposed. The Tool is structured to distinguish between two different types of Implementing Partner: Standard, and Fast Track.

2.1 Standard

These are Implementing Partners that are not accredited with either the GCF, GEF, Adaptation Fund, or the Directorate-General Development and Cooperation – EuropeAid of the European Commission (EU DEVCO). **These Partners will need to follow the assessment procedure as outlined in Section 5 and Section 6.**

2.2 Fast Track

These are Implementing Partners that are accredited with one or more of the GCF, GEF, Adaptation Fund, or EU-DEVCO. **These Partners will not need to undertake the assessment procedure as outlined in Section 5 and Section 6. However, potential Fast Track Implementing Partners will need to provide CAFI with the following information:**

- (i) A letter of confirmation from the relevant funding source/s mentioned above, as to the current status of accreditation;
- (ii) With regard to the funding source that the Implementing Partner is accredited to, an indication of the timing of the next re-accreditation, and a commitment to provide CAFI with re-accreditation documentation;
- (iii) An indication of the Implementing Partner's safeguard implementation record, as presented to one or more of the funding sources indicated above, during either initial accreditation or re-accreditation; and,
- (iv) An indication of the conditions or limitations placed on the Implementing Partner by the funding sources to which it is accredited.

With regard to point (iv), the conditions placed on the Implementing Partner by its accredited funding source will be reflected in the Assessment Agreement between CAFI and the Partner.



3. Background to the Assessment Tool for Standard Implementing Organizations

The purpose of the Assessment Tool for Standard Implementing Partners is to provide an approach that will enable CAFI to ensure that the Partners meet best practice environmental and social safeguard requirements. Because CAFI is a programme managed by UNDP, the Assessment Tool is based on the requirements of UNDP's Social and Environmental Standards (SES).

The Assessment Tool evaluates two aspects of an Implementing Partner's eligibility to receive funds from CAFI. The first aspect is the agency's environmental and social safeguards framework, meaning the formal written set of policies and procedures that outline how a potential Implementing Partner currently goes about ensuring that the risks associated with its own projects and programmes are adequately identified, assessed, mitigated, and managed. The second aspect that needs to be integrated into the Assessment Tool is a method for reviewing an agency's experience with the implementation of its safeguards framework.

The Assessment Tool is guided by the following principles:

- a. **Initial self-assessment:** All prospective Standard Implementing Partners are required to complete the checklists contained in Sections 5.2 to 5.6, and Section 6.
- b. **Impartiality:** All prospective Implementing Partners are assessed in a balanced and unbiased manner. Impartial external experts will be contracted to undertake the assessment of a potential Implementing Partner's eligibility to receive funds from CAFI. The experts' assessment will be based on the evidence provided by applicants in Sections 5.2 to 5.6, and Section 6 of this Tool. Experts will be chosen based on their experience with the implementation of environmental and social safeguard frameworks, and their judgments will be provided to applicants as a basis for discussion on the content of required gap filling measures.
- c. **Transparency:** The assessment process will be carried out in a transparent manner, with clear communication, timely responses to queries, and – to the extent feasible – based on public and easily accessible evidence, with due protection of information shared in confidence.
- d. **Reasonable assurance of effectiveness:** The assessment considers an Implementing Partner's relevant policies, procedures, guidelines, and systems, and evidence of their effective implementation. With respect to implementation, the assessment seeks reasonable assurance of effectiveness based on a sample of implementation experience, rather than a comprehensive review of the Implementing Partner's operations.
- e. **Comparability:** The assessment aims to ascertain whether the Implementing Partner's policies, procedures, and systems are comparable and equivalent to the set of assessment criteria presented in Section 5 and Section 6.



4. Application Process

The CAFI Secretariat is responsible for overseeing the implementation of the Assessment Tool. Relevant steps are outlined here:

1. **Agencies' self-assessment:** Potential Implementing Partners compile evidence of their compliance and submit such evidence to the CAFI Secretariat. Potential Partners complete the checklist tables presented in Section 5 and Section 6.
2. **CAFI Secretariat's screening:** The CAFI Secretariat screens the evidence provided by the potential Implementing Partners for clarity, completeness, and relevance. If necessary, the Secretariat requests prospective Partners to amend or complement their submissions to enable a complete assessment to be undertaken.
3. **Expert assessment:** CAFI hires an expert, or experts, to assess whether prospective Implementing Partners meet the requirements of the Assessment Tool. Should the expert assessment find that a prospective Implementing Partner does not meet one or more of the requirements, the expert or experts may make recommendations on how the Partner could achieve compliance.
4. **Preparation of plans for dealing with safeguard gaps as part of the Assurance Plan:** If the assessment finds that a prospective Implementing Partner does not meet one or more of the assessment requirements, the Partner develops and submits to the CAFI Secretariat a concrete, time-bound plan to achieve compliance, taking into account any expert recommendations. Should a prospective Implementing Partner be required to present a time-bound plan, the Partner would be reassessed against the relevant assessment requirements, at a later date consistent with the agreed plan.
5. **Report to the Executive Board:** The CAFI Secretariat prepares, for Executive Board review and decision, a report on the findings of the assessment, including any potential Implementing Partner plans.

5. Assessment Tool as Applied to Standard Implementing Partners.

Part I: Assessing an Implementing Partner’s Safeguards Framework

5.1 Structure of the Assessment Tool

The Assessment Tool is based on the sustainability framework model designed by the UN Environment Management Group in its [UN Environmental and Social Sustainability Framework produced in 2012](#). This was followed by an [“Interim Guide” in 2014](#). This ‘ideal-typical’ framework model is presented in Fig 1.

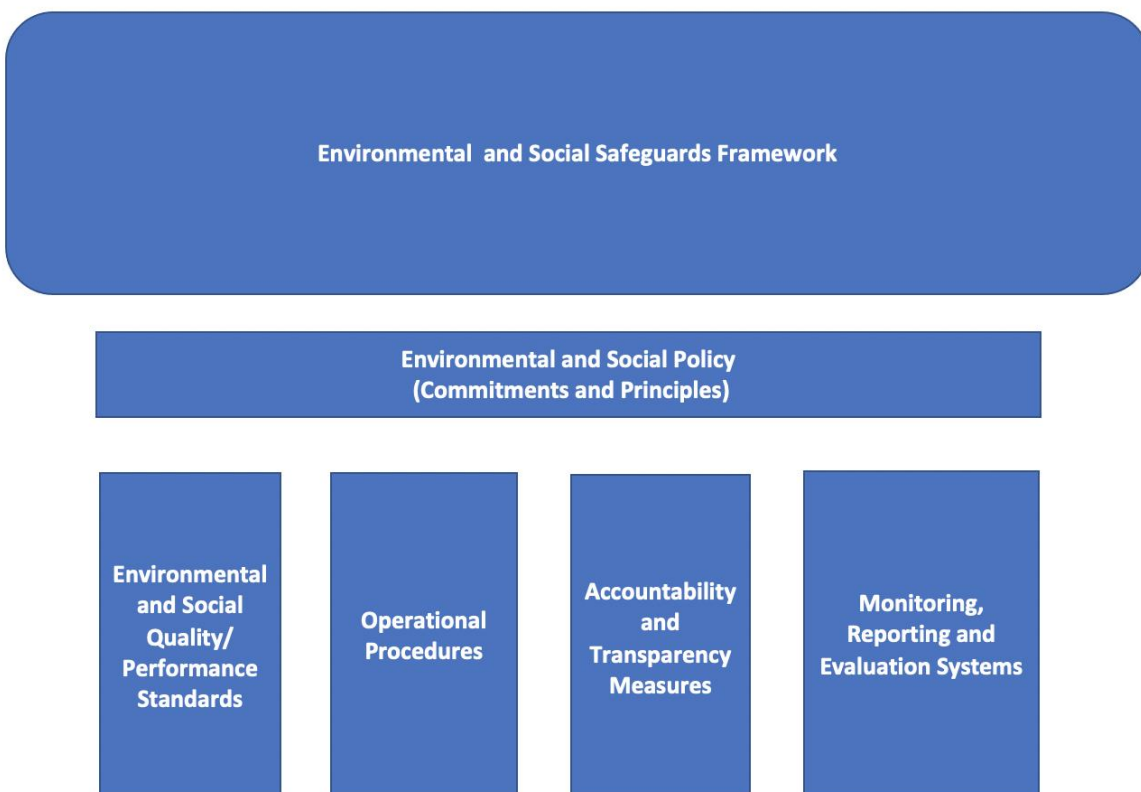


Figure 1: Ideal Elements of an Environmental Safeguards Framework

Each prospective Implementing Partner is required to provide evidence that it has these elements in place. The evaluation criteria for each element are specified in the following sections.



5.2 Evaluation Criterion: Environmental and Social Policy

The Implementing Partner needs to provide evidence of corporate commitment to address environmental and social sustainability issues across all activities. This sets the basis for what the organization will be held accountable for. It drives operational procedures and review processes.

The relevant assessment question for the Implementing Partner is:

Does the Implementing Partner have an Environmental and Social Policy in place, that is consistent with UNDP's SES?



5.3 Evaluation Criterion: Environmental and Social Performance Standards

The purpose of environmental and social standards is to further support implementation of an Implementing Partner’s commitments, as presented in its overall corporate environmental and social safeguards policy. Performance or quality standards define the criteria that must be met/achieved with respect to environmental and social sustainability. Typically, these would define the threshold values and/or benchmarks against which proposed projects or activities would be measured. Implementing Partners will need to demonstrate consistency with UNDP’s Social and Environmental Standards (SES).

The relevant assessment task for the Implementing Partner is:

Complete the Environmental and Social Principles and Standards table by addressing each of the review indicators. Please note the importance of providing clear explanations and relevant documentation to facilitate the review process by CAFI Secretariat and experts.

Environmental and Social Principles and Standards		Implementing Partner’s relevant policy or procedure	CAFI assessment
		<ul style="list-style-type: none"> Please provide links, references and/or attachments with relevant documentation. Please also provide a short explanation of how the Implementing Partner framework complies (or not) with each UNDP SES indicator. If gaps are identified, please suggest how these could be overcome. 	
Leave No One Behind			
<i>Key objectives:</i>	<i>Review indicators:</i>		
Support actions and decisions that improve the lives of poor, excluded and marginalized groups	<ul style="list-style-type: none"> Measures in place to target the poor, marginalized and disadvantaged 	<p>Explanation and proof of consistency:</p> <hr/> <p>Gap identified (if any) and proposed measures to address:</p>	
Human Rights			

Environmental and Social Principles and Standards		Implementing Partner's relevant policy or procedure	CAFI assessment
<i>Key objectives:</i>	<i>Review indicators:</i>	<ul style="list-style-type: none"> Please provide links, references and/or attachments with relevant documentation. Please also provide a short explanation of how the Implementing Partner framework complies (or not) with each UNDP SES indicator. If gaps are identified, please suggest how these could be overcome. 	
Support universal respect for, and observance of, human rights and fundamental freedoms of all	<ul style="list-style-type: none"> Measures in place to uphold human rights principles of accountability and rule of law, participation and inclusion, and equality and non-discrimination No activities undertaken that may contribute to violations of a State's human rights obligations and the core international human rights treaties 	<p>Explanation and proof of consistency:</p> <hr/> <p>Gap identified (if any) and proposed measures to address:</p>	
Gender Equality and Women's Empowerment			
<i>Key objectives:</i>	<i>Review indicators:</i>		
Promote gender equality and women's empowerment	<ul style="list-style-type: none"> Activities do not discriminate against women or girls or reinforce gender-based discrimination Activities are designed in a gender responsive manner (e.g. address both women's and men's needs, interests and concerns) Equitable access to opportunities, benefits, and resources Meaningful and equitable participation of women and men 	<p>Explanation and proof of consistency:</p> <hr/> <p>Gap identified (if any) and proposed measures to address:</p>	

Environmental and Social Principles and Standards		Implementing Partner's relevant policy or procedure	CAFI assessment
		<ul style="list-style-type: none"> Please provide links, references and/or attachments with relevant documentation. Please also provide a short explanation of how the Implementing Partner framework complies (or not) with each UNDP SES indicator. If gaps are identified, please suggest how these could be overcome. 	
Address risks of gender-based violence and sexual exploitation, abuse, and harassment	<ul style="list-style-type: none"> Protocols/measures in place to respond to and prevent GBV and SEAH Confidential reporting processes in place Codes of conduct adopted for project workers Provision of training on prevention and response to GBV Referrals for safe and confidential survivor assistance Prompt investigation of allegations of GBV related to project activities 	<p>Explanation and proof of consistency:</p> <hr/> <p>Gap identified (if any) and proposed measures to address:</p>	
Social and Environmental Assessment and Management			
<i>Key objectives:</i>	<i>Review indicators:</i>		
Potential social and environmental risks and impacts are identified, assessed, managed, and monitored	<ul style="list-style-type: none"> Systematic process in place to identify, assess, mitigate and manage potential social and environmental risks and impacts Assessment and management conducted in manner proportionate to significance of risks Impact mitigation measures follow mitigation hierarchy 	<p>Explanation and proof of consistency:</p> <hr/> <p>Gap identified (if any) and proposed measures to address:</p>	

Environmental and Social Principles and Standards		Implementing Partner's relevant policy or procedure	CAFI assessment
	<ul style="list-style-type: none"> Mitigation measures monitored in manner proportionate to risks and corrective actions are taken as required 	<ul style="list-style-type: none"> Please provide links, references and/or attachments with relevant documentation. Please also provide a short explanation of how the Implementing Partner framework complies (or not) with each UNDP SES indicator. If gaps are identified, please suggest how these could be overcome. 	
Stakeholder Engagement			
<i>Key objectives:</i>	<i>Review indicators:</i>		
Promote effective stakeholder engagement throughout the proposal-cycle	<ul style="list-style-type: none"> Stakeholders and engagement process identified Stakeholders, in particular proposal-affected groups, involved in planning, implementation, monitoring Vulnerable or disadvantaged groups identified and consulted Stakeholder views taken into account and considered in proposal design and implementation 	<p>Explanation and proof of consistency:</p> <hr/> <p>Gap identified (if any) and proposed measures to address:</p>	
Ensure stakeholders have access to relevant and timely information	<ul style="list-style-type: none"> Information on proposal opportunities and risks disclosed in timely, accessible, appropriate manner, language, form Environmental/social reviews and assessments disclosed 	<p>Explanation and proof of consistency:</p> <hr/> <p>Gap identified (if any) and proposed measures to address:</p>	

Environmental and Social Principles and Standards		Implementing Partner's relevant policy or procedure	CAFI assessment
		<ul style="list-style-type: none"> Please provide links, references and/or attachments with relevant documentation. Please also provide a short explanation of how the Implementing Partner framework complies (or not) with each UNDP SES indicator. If gaps are identified, please suggest how these could be overcome. 	
Ensure stakeholders may communicate proposal concerns	<ul style="list-style-type: none"> Stakeholders have access to effective grievance redress mechanism or process 	<p>Explanation and proof of consistency:</p> <hr/> <p>Gap identified (if any) and proposed measures to address:</p>	
Biodiversity and Sustainable Natural Resource Management			
<i>Key objectives:</i>	<i>Review indicators:</i>		
Conserve biodiversity	<ul style="list-style-type: none"> Adverse impacts (direct and indirect) to natural resources, biodiversity, ecosystem services identified, assessed, mitigated and managed No conversion of natural forests 	<p>Explanation and proof of consistency:</p> <hr/> <p>Gap identified (if any) and proposed measures to address:</p>	
Maintain and enhance benefits of ecosystem services	<ul style="list-style-type: none"> No measurable adverse impacts to critical habitats Adverse impacts to other habitat types avoided, minimized and managed No reduction in endangered species No introduction of known invasive species 		

Environmental and Social Principles and Standards		Implementing Partner's relevant policy or procedure	CAFI assessment
		<ul style="list-style-type: none"> Please provide links, references and/or attachments with relevant documentation. Please also provide a short explanation of how the Implementing Partner framework complies (or not) with each UNDP SES indicator. If gaps are identified, please suggest how these could be overcome. 	
Promote sustainable management of living natural resources (e.g. forestry, agriculture, livestock, fisheries)	<ul style="list-style-type: none"> Ensure sustainable resource management that protects biodiversity and ecosystem services Appropriate industry-specific sustainable resource production/management practices applied, including credible certification systems where appropriate Sustainable practices supported for small-scale producers Equitable benefit sharing arrangements reached for utilization of genetic resources 	<p>Explanation and proof of consistency:</p> <hr/> <p>Gap identified (if any) and proposed measures to address:</p>	
Climate Change and Disaster Risks			
<i>Key objectives:</i>	<i>Review indicators:</i>		
Ensure proposals are sensitive to climate change risks	<ul style="list-style-type: none"> Proposal components reviewed for sensitivity and vulnerability to potential climate change Social and gender risks and differentiated impacts related to climate change addressed 	<p>Explanation and proof of consistency:</p> <hr/> <p>Gap identified (if any) and proposed measures to address:</p>	
Reduce proposal-related GHG emissions	<ul style="list-style-type: none"> Feasible alternatives considered and adopted for reducing proposal-related greenhouse gas emissions (GHGs) 	<p>Explanation and proof of consistency:</p> <hr/> <p>Gap identified (if any) and proposed measures to address:</p>	

Environmental and Social Principles and Standards		Implementing Partner's relevant policy or procedure	CAFI assessment
		<ul style="list-style-type: none"> Please provide links, references and/or attachments with relevant documentation. Please also provide a short explanation of how the Implementing Partner framework complies (or not) with each UNDP SES indicator. If gaps are identified, please suggest how these could be overcome. 	
Ensure proposals take account of disaster risks	<ul style="list-style-type: none"> Proposals are screened for disaster risk Disaster risk management plans are in place 	<p>Explanation and proof of consistency:</p> <hr/> <p>Gap identified (if any) and proposed measures to address:</p>	
Community Health, Safety Security			
<i>Key objectives:</i>	<i>Review indicators:</i>		
Avoid adverse health and safety impacts	<ul style="list-style-type: none"> Risks to communities and workers from construction and other interventions prevented or minimized and managed Measures adopted to prevent or minimize health risks and spread of infectious disease 	<p>Explanation and proof of consistency:</p> <hr/> <p>Gap identified (if any) and proposed measures to address:</p>	
Avoid risks of water-borne or other vector-borne diseases	<ul style="list-style-type: none"> Measures in place to identify and deal with risks of water-borne or other vector-borne diseases (e.g. temporary breeding habitats), communicable and noncommunicable diseases, nutritional disorders, mental health 	<p>Explanation and proof of consistency:</p> <hr/> <p>Gap identified (if any) and proposed measures to address:</p>	
		Explanation and proof of consistency:	

Environmental and Social Principles and Standards		Implementing Partner's relevant policy or procedure	CAFI assessment
		<ul style="list-style-type: none"> Please provide links, references and/or attachments with relevant documentation. Please also provide a short explanation of how the Implementing Partner framework complies (or not) with each UNDP SES indicator. If gaps are identified, please suggest how these could be overcome. 	
Emergency preparedness plans developed	<ul style="list-style-type: none"> Emergency preparedness plans implemented and monitored in collaboration with stakeholders and relevant authorities, where relevant 	<p><i>Gap identified (if any) and proposed measures to address:</i></p>	
Provide for adequate supervision of security personnel	<ul style="list-style-type: none"> Any security arrangements to safeguard personnel or property are proportional and consistent with applicable national laws and good international industry practice 	<p><i>Explanation and proof of consistency:</i></p> <p><i>Gap identified (if any) and proposed measures to address:</i></p>	
Avoid threats of sexual violence and harassment	<ul style="list-style-type: none"> Activities are designed to prevent and address potential exposure of project-affected people to GBV risks Screening of personnel Provision of training on prevention and response to GBV Development of effective reporting and response protocols Development of referrals for safe and confidential survivor assistance Prompt investigation of allegations of GBV related to project activities 	<p><i>Explanation and proof of consistency:</i></p> <p><i>Gap identified (if any) and proposed measures to address:</i></p>	
Cultural Heritage			
<i>Key objectives:</i>	<i>Review indicators:</i>		

Environmental and Social Principles and Standards		Implementing Partner's relevant policy or procedure	CAFI assessment
		<ul style="list-style-type: none"> Please provide links, references and/or attachments with relevant documentation. Please also provide a short explanation of how the Implementing Partner framework complies (or not) with each UNDP SES indicator. If gaps are identified, please suggest how these could be overcome. 	
Protect, manage, and conserve cultural heritage	<ul style="list-style-type: none"> Cultural heritage protected from adverse risks and impacts Qualified experts utilized for risk management and conservation Chance find procedures in place 	<p>Explanation and proof of consistency:</p> <hr/> <p>Gap identified (if any) and proposed measures to address:</p>	
Promote equitable benefit sharing from utilization of cultural heritage	<ul style="list-style-type: none"> Inform affected communities of rights and proceed only if good faith negotiations provide for fair and equitable benefit sharing 	<p>Explanation and proof of consistency:</p> <hr/> <p>Gap identified (if any) and proposed measures to address:</p>	
Displacement and Resettlement			
<i>Key objectives:</i>	<i>Review indicators:</i>		
Avoid adverse impacts from land or resource acquisition or restrictions on land/resource use. Minimize adverse impacts where avoidance not possible	<ul style="list-style-type: none"> Measures in place to avoid, and where avoidance is not possible, minimize and mitigate physical or economic displacement from land or resource acquisition or restrictions on land or resource use Any displacement activities carried out in fully participatory manner 	<p>Explanation and proof of consistency:</p> <hr/> <p>Gap identified (if any) and proposed measures to address:</p>	
		Explanation and proof of consistency:	

Environmental and Social Principles and Standards		Implementing Partner's relevant policy or procedure	CAFI assessment
		<ul style="list-style-type: none"> Please provide links, references and/or attachments with relevant documentation. Please also provide a short explanation of how the Implementing Partner framework complies (or not) with each UNDP SES indicator. If gaps are identified, please suggest how these could be overcome. 	
Recognize and respect the prohibition on forced evictions	<ul style="list-style-type: none"> No forced evictions, allowing evictions only in exceptional circumstances meeting lawful criteria 	<p><i>Gap identified (if any) and proposed measures to address:</i></p>	
Enhance or at least restore livelihoods of all displaced persons, and improve living standards of displaced poor and other displaced groups	<ul style="list-style-type: none"> Livelihoods of any displaced persons enhanced or at least restored through compensation at full replacement costs and other assistance 	<p><i>Explanation and proof of consistency:</i></p> <p><i>Gap identified (if any) and proposed measures to address:</i></p>	
Indigenous Peoples			
<i>Key objectives:</i>	<i>Review indicators:</i>		
Recognize and foster full respect for indigenous peoples' human rights	<ul style="list-style-type: none"> Indigenous peoples are clearly defined and identified Indigenous peoples' rights recognized and protected No actions supported that violate indigenous peoples' rights 	<p><i>Explanation and proof of consistency:</i></p> <p><i>Gap identified (if any) and proposed measures to address:</i></p>	
Ensure proposals designed in partnership with full, effective indigenous peoples'	<ul style="list-style-type: none"> Culturally appropriate meaningful participation undertaken for all activities that affect indigenous peoples 	<p><i>Explanation and proof of consistency:</i></p>	

Environmental and Social Principles and Standards		Implementing Partner's relevant policy or procedure	CAFI assessment
		<ul style="list-style-type: none"> Please provide links, references and/or attachments with relevant documentation. Please also provide a short explanation of how the Implementing Partner framework complies (or not) with each UNDP SES indicator. If gaps are identified, please suggest how these could be overcome. 	
participation, and securing FPIC where IP rights, lands, resources, territories of traditional livelihoods affected	<ul style="list-style-type: none"> Free Prior and Informed Consent (FPIC) obtained for activities that affect the rights, interests, lands, resources, territories, traditional livelihoods of affected indigenous peoples No relocation of indigenous peoples without FPIC and only after just and fair compensation, with option of return where possible 	<p><i>Gap identified (if any) and proposed measures to address:</i></p>	
Promote greater indigenous peoples' control and management of developments affecting their lands and resource, aligning with their visions and priorities	<ul style="list-style-type: none"> Measures recognize indigenous peoples' collective rights to own, use, develop, control lands, resources, territories they have traditionally owned, occupied, otherwise used or acquired 	<p><i>Explanation and proof of consistency:</i></p> <p><i>Gap identified (if any) and proposed measures to address:</i></p>	
Avoid adverse impacts, mitigate residual impacts, ensure just equitable benefits and opportunities in a culturally appropriate manner	<ul style="list-style-type: none"> Adverse impacts on indigenous peoples are avoided, and where avoidance is not possible, minimized and mitigated Measures in place to ensure equitable benefit sharing from proposal activities in culturally appropriate manner 	<p><i>Explanation and proof of consistency:</i></p> <p><i>Gap identified (if any) and proposed measures to address:</i></p>	

Environmental and Social Principles and Standards	Implementing Partner's relevant policy or procedure	CAFI assessment
Labour and Working Conditions		
Respect and promote workers' rights	<ul style="list-style-type: none"> ▪ Measures in place to promote non-discrimination, equal opportunity and fair treatment of workers ▪ No use of forced labour or child labour, consistent with relevant ILO conventions 	<p>Explanation and proof of consistency:</p> <hr/> <p>Gap identified (if any) and proposed measures to address:</p>
Provide safe and healthy working conditions	<ul style="list-style-type: none"> ▪ Measures adopted to ensure healthy and safe working conditions 	<p>Explanation and proof of consistency:</p> <hr/> <p>Gap identified (if any) and proposed measures to address:</p>
Respect the right to freedom of association	<ul style="list-style-type: none"> ▪ Measures in place to recognize the right to freedom of association and collective bargaining 	<p>Explanation and proof of consistency:</p> <hr/> <p>Gap identified (if any) and proposed measures to address:</p>
Prevent child labour	<ul style="list-style-type: none"> ▪ Measures in place to define child labour and to ensure that projects do not use child labour 	<p>Explanation and proof of consistency:</p> <hr/> <p>Gap identified (if any) and proposed measures to address:</p>

Environmental and Social Principles and Standards		Implementing Partner's relevant policy or procedure	CAFI assessment
		<ul style="list-style-type: none"> Please provide links, references and/or attachments with relevant documentation. Please also provide a short explanation of how the Implementing Partner framework complies (or not) with each UNDP SES indicator. If gaps are identified, please suggest how these could be overcome. 	
Eliminate all forms of forced labour	<ul style="list-style-type: none"> Measures in place to ensure that projects to not employ forced labour 	<p>Explanation and proof of consistency:</p> <hr/> <p>Gap identified (if any) and proposed measures to address:</p>	
Ensure that working conditions meet national regulatory requirements	<ul style="list-style-type: none"> National regulatory requirements for labour and working conditions outlined in project proposals 	<p>Explanation and proof of consistency:</p> <hr/> <p>Gap identified (if any) and proposed measures to address:</p>	
Pollution Prevention and Resource Efficiency			
<i>Key objectives:</i>	<i>Review indicators:</i>		
Avoid/minimize adverse impacts on human health and environment from pollution	<ul style="list-style-type: none"> Measures in place to avoid, minimize and mitigate risks posed to human health and the environment from pollutants, wastes, and hazardous materials Integrated Pest Management (IPM) approaches utilized to reduce reliance on synthetic pesticides. 	<p>Explanation and proof of consistency:</p> <hr/> <p>Gap identified (if any) and proposed measures to address:</p>	

Environmental and Social Principles and Standards	Implementing Partner's relevant policy or procedure	CAFI assessment
	<ul style="list-style-type: none"> • Please provide links, references and/or attachments with relevant documentation. • Please also provide a short explanation of how the Implementing Partner framework complies (or not) with each UNDP SES indicator. If gaps are identified, please suggest how these could be overcome. 	
<p>Promote more sustainable use of resources, incl energy, land and water</p>	<ul style="list-style-type: none"> ▪ Least toxic effective pesticides utilized and pesticides handled per FAO Code of Conduct ▪ Feasible measures implemented to improve efficiency in consumption of inputs (e.g. raw materials, energy, water) ▪ Use of water resources does not adversely impact others or sensitive ecosystems 	<p>Explanation and proof of consistency:</p> <hr/> <p>Gap identified (if any) and proposed measures to address:</p>

5.4 Evaluation Criterion: Operational Procedures

Operational procedures are the specific processes used to implement the environmental and social standards. They are crucial because they define the framework within which environmental and social safeguard measures will be implemented, and they include the overall management structures needed for implementation. Specific procedures include management tools, templates, workflow management systems, project screening approaches, environmental and social assessment studies, and supporting technical guidance material.

For the identification and management of environmental and social risks/impacts, the fundamental operational procedures required are a screening and risk categorization procedure, and environmental and social assessment and management planning guidance.

The relevant assessment task for the Implementing Partner is:

Complete the Operational Procedures table by addressing each of the review indicators. Please note the importance of providing clear explanations, relevant documentation and past project examples, to facilitate the review process by CAFI Secretariat and experts.

Operational Procedures		Implementing Partner's relevant policy or procedure	CAFI assessment
		<ul style="list-style-type: none"> • Please provide links, references and/or attachments with relevant documentation. • If possible, please also include examples from past projects. • Please provide an explanation of how the implementing partner's relevant procedures work and how they align with UNDP SES. If gaps are identified, please suggest how these could be overcome. 	
Screening and Risk Categorization			
Key objectives:	Review indicators:		
Screen projects for environmental and social risk	<ul style="list-style-type: none"> ▪ Social and environmental risk screening procedure in place 	Explanation and proof of consistency:	
		Gap identified (if any) and proposed measures to address:	
Projects classified according to level of risk	<ul style="list-style-type: none"> ▪ Projects and programs are classified based on the level and magnitude of potential risks and impacts, including considerations of: ▪ Direct, indirect, cumulative, and transboundary Environmental and Social Risks and potential Impacts, and the risks and impacts of Associated Facilities; ▪ (Physical, biological, socio-economic (including livelihoods), other social (including on social organization, health and human safety), and cultural resources; and 	Explanation and proof of consistency:	
		Gap identified (if any) and proposed measures to address:	

Operational Procedures		Implementing Partner's relevant policy or procedure	CAFI assessment
	<ul style="list-style-type: none"> Applicable national and local laws as well as directly relevant provisions of international treaties and agreements Risk categories designed on either a 4-point or 3-point significance scale 	<ul style="list-style-type: none"> Please provide links, references and/or attachments with relevant documentation. If possible, please also include examples from past projects. Please provide an explanation of how the implementing partner's relevant procedures work and how they align with UNDP SES. If gaps are identified, please suggest how these could be overcome. 	
Environmental and Social Assessment			
<i>Key objectives:</i>	<i>Review indicators:</i>		
Appropriate levels of environmental and social assessment undertaken	<ul style="list-style-type: none"> Projects are assessed, designed and implemented consistent with the mitigation hierarchy Depending on the nature and scale of Environmental and Social Risks and potential Impacts identified, appropriate assessments are carried out Alternatives are assessed, including the no-action scenario Independent expertise is used in the assessment of Environmental and Social Risks and Impacts, where appropriate 	<p>Explanation and proof of consistency:</p> <hr/> <p>Gap identified (if any) and proposed measures to address:</p>	
Environmental and Social Management Planning			
<i>Key objectives:</i>	<i>Review indicators:</i>		

Operational Procedures		Implementing Partner's relevant policy or procedure	CAFI assessment
		<ul style="list-style-type: none"> • Please provide links, references and/or attachments with relevant documentation. • If possible, please also include examples from past projects. • Please provide an explanation of how the implementing partner's relevant procedures work and how they align with UNDP SES. If gaps are identified, please suggest how these could be overcome. 	
Produce appropriate environmental and social management plans	<ul style="list-style-type: none"> ▪ In response to the findings of the relevant environmental and social assessments, an appropriately-scaled and adequately budgeted management plan – such as an Environmental and Social Management Plan or another appropriate instrument – should be developed ▪ Environmental and social impact mitigation measures scaled to potential risks/impact and follow mitigation hierarchy ▪ Assessment completed and management measures/plans in place prior to construction/activities that may cause harm to people or the environment 	<p>Explanation and proof of consistency:</p> <hr/> <p>Gap identified (if any) and proposed measures to address:</p>	

5.5 Evaluation Criterion: Accountability and Transparency Measures

An Implementing Partner's environmental and social safeguards framework needs to be supported by internal compliance and accountability oversight and incentives, including audits. The notion here is that an organisation should be held to account for complying with its own operational procedures and performance standards. Accountability should be thought of as being both internal (to internal stakeholders and governing bodies), as well as external (to donors, partners, the general public, and beneficiaries, etc.) and is usually facilitated/ reinforced by/through regular engagement with key stakeholders.

An access to information policy and/or other public information mechanism needs to be designed, along with an independent evaluation and oversight mechanism. Internal and/or external complaints mechanisms and processes need to be in place.

The relevant assessment task for the Implementing Partner is:

Complete the Accountability and Transparency Measures table by addressing each of the review indicators. Please note the importance of providing clear explanations, relevant documentation and past project examples, to facilitate the review process by CAFI Secretariat and experts.

Accountability and Transparency Measures		Implementing Partner's relevant policy or procedure	CAFI assessment
		<ul style="list-style-type: none"> • Please provide links, references and/or attachments with relevant documentation. • If possible and relevant,, please also include examples from past projects. • Please provide an explanation of how the implementing partner's relevant requirements and procedures work and how they align with UNDP SES. If gaps are identified, please suggest how these could be overcome. 	
Internal Accountability and Oversight			
<i>Key objectives:</i>	<i>Review indicators:</i>		
Undertake regular auditing of environmental and social performance	<ul style="list-style-type: none"> ▪ A corporate audit policy is in place ▪ The audit policy is accompanied by an auditing procedures manual ▪ Environmental and social performance indicators are based on commitments made in monitoring plans 	<p>Explanation and proof of consistency:</p> <hr/> <p>Gap identified (if any) and proposed measures to address:</p>	
Access to Information and Public Disclosure			

Accountability and Transparency Measures		Implementing Partner's relevant policy or procedure	CAFI assessment
<i>Key objectives:</i>	<i>Review indicators:</i>	<ul style="list-style-type: none"> Please provide links, references and/or attachments with relevant documentation. If possible and relevant,, please also include examples from past projects. Please provide an explanation of how the implementing partner's relevant requirements and procedures work and how they align with UNDP SES. If gaps are identified, please suggest how these could be overcome. 	
Provide clear methods for public access to environmental and social performance information	<ul style="list-style-type: none"> An Access to Information policy is in place Stakeholders have access to timely, relevant and understandable information about project activities, and clear procedures to request information. 	<p>Explanation and proof of consistency:</p> <hr/> <p>Gap identified (if any) and proposed measures to address:</p>	
Clear formal public disclosure periods for moderate and high risk projects	<ul style="list-style-type: none"> A formal public disclosure policy is in place, indicating time periods for disclosure of assessments and management plans for moderate and high risk projects. Environmental/social assessments and management plans disclosed 	<p>Explanation and proof of consistency:</p> <hr/> <p>Gap identified (if any) and proposed measures to address:</p>	
Complaints Mechanisms			
<i>Key objectives:</i>	<i>Review indicators:</i>		

Accountability and Transparency Measures	Implementing Partner's relevant policy or procedure	CAFI assessment
Ensure the availability of accessible complaints procedures/grievance redress mechanisms	<ul style="list-style-type: none"> ▪ Stakeholders have access to effective grievance redress mechanism or process at the project level ▪ Stakeholders have access to grievance redress mechanisms at the corporate level 	<p>Explanation and proof of consistency:</p> <hr/> <p>Gap identified (if any) and proposed measures to address:</p>
Provide a structure for grievance redress at the corporate level	<ul style="list-style-type: none"> ▪ 	<p>Explanation and proof of consistency:</p> <hr/> <p>Gap identified (if any) and proposed measures to address:</p>

5.6 Monitoring, Reporting and Evaluation Systems

Monitoring and reporting on results of actions taken to address environmental and social sustainability considerations are an important part of ensuring accountability and transparency. For an environmental and social safeguards framework to operate effectively, an Implementing Partner

needs to have a monitoring, reporting and evaluation system in place that includes clear and measurable environmental and social sustainability targets and indicators.

The relevant assessment task for the Implementing Partner is:

Complete the Monitoring, Reporting and Evaluation Systems table by addressing each of the review indicators. Please note the importance of providing clear explanations, relevant documentation and past project examples, to facilitate the review process by CAFI Secretariat and experts.

Monitoring, Reporting and Evaluation Systems		Implementing Partner's relevant policy or procedure	CAFI assessment
		<ul style="list-style-type: none"> • Please provide links, references and/or attachments with relevant documentation. • If possible and relevant,, please also include examples from past projects. • Please provide an explanation of how the implementing partner's relevant requirements and procedures work and how they align with UNDP SES. If gaps are identified, please suggest how these could be overcome. 	
Monitoring			
<i>Key objectives:</i>	<i>Review indicators:</i>		
Undertake regular monitoring of environmental and social performance	<ul style="list-style-type: none"> ▪ Regular monitoring of environmental and social performance against indicators based on commitments made in monitoring plans ▪ Environmental and social performance monitoring plans are part of management plans 	<p><i>Explanation and proof of consistency:</i></p> <hr/> <p><i>Gap identified (if any) and proposed measures to address:</i></p>	
Reporting			

Monitoring, Reporting and Evaluation Systems		Implementing Partner's relevant policy or procedure	CAFI assessment
		<ul style="list-style-type: none"> • Please provide links, references and/or attachments with relevant documentation. • If possible and relevant,, please also include examples from past projects. • Please provide an explanation of how the implementing partner's relevant requirements and procedures work and how they align with UNDP SES. If gaps are identified, please suggest how these could be overcome. 	
<i>Key objectives:</i>	<i>Review indicators:</i>		
Provide regular reports on environmental and social performance	<ul style="list-style-type: none"> ▪ Publicly available monitoring reports produced on a regular basis ▪ 	<p>Explanation and proof of consistency:</p> <hr/> <p>Gap identified (if any) and proposed measures to address:</p>	
Independent Evaluation and Oversight Mechanism			
<i>Key objectives:</i>	<i>Review indicators:</i>		
Provide for independent evaluation of environmental and social performance	<ul style="list-style-type: none"> ▪ Project evaluation procedures are in place ▪ End-of-project evaluation takes place for every project ▪ Mid-term evaluation takes place for moderate and high risk projects 	<p>Explanation and proof of consistency:</p> <hr/> <p>Gap identified (if any) and proposed measures to address:</p>	



6. Assessment Tool as Applied to Standard Implementing Partners, Part II: Reviewing a Partner’s Experience with the Implementation of its Safeguards Framework

As part of the overall CAFI assessment, the prospective Implementing Partner is required to show evidence of effective implementation of its environmental and social safeguards framework. In general, “track record” evidence includes providing actual project documents at the project preparation and approval stages, and during project implementation, which would demonstrate compliance with the Implementing Partner’s environmental and social framework, along with use of relevant systems/procedures, and would provide evidence of organisational competence to undertake/oversee/integrate these requirements. Specific evidentiary requirements are listed in the following table.

The relevant assessment task for the Implementing Partner is:

Complete the Implementation Experience table by providing relevant documents.

Evidentiary Requirement	Detail	Implementing Partner Evidence <i>Please provide links, references and/or attachments with relevant documentation.</i>	CAFI comments
Project Design Document	<ul style="list-style-type: none"> Evidence provided from three Project Design Documents, showing how environmental and social risks have been dealt with at the design stage 		
Project impact assessment document	<ul style="list-style-type: none"> Evidence provided from three projects of environmental and social impact assessment studies 		
Project management plan	<ul style="list-style-type: none"> Evidence provided from three projects of environmental and social management plan documents 		
Project monitoring report	<ul style="list-style-type: none"> Provision of environmental and social monitoring reports from three projects 		
Mid-term and final evaluation	<ul style="list-style-type: none"> Mid-term or final evaluations from three projects 		
Corporate organogram	<ul style="list-style-type: none"> Organisational chart that identifies key units, departments, senior and line management personnel who are responsible for implementing the safeguards framework, along with their authority and reporting lines 		
Staffing	<ul style="list-style-type: none"> Evidence of adequate technical staff with direct responsibility for the safeguards procedure as applied to projects/programmes 		
Grievance log	<ul style="list-style-type: none"> Provision of grievance logs from the grievance redress or complaints mechanisms of three projects 		
Safeguard budget	<ul style="list-style-type: none"> Evidence of budget allocations for environmental and social safeguards 		
Safeguard Training programmes	<ul style="list-style-type: none"> Description of training and development programs for E&S and other relevant staff 		

