

PLAN  VIVO

Plan Vivo Safeguarding Procedures

Environmental and Social Risk Management

Version 1.0

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Contents

- 1 Introduction and context..... 3
 - 1.1 What are Environmental and Social Risks and Safeguards?..... 3
 - 1.2 Understanding E&S Risks and Impacts 4
 - 1.3 Responsibilities for Managing E&S Risks and Impacts..... 4
- 2 In Plan Vivo Projects..... 5
 - 2.1 E&S Safeguarding in PV Climate V5 Requirements..... 5
 - 2.2 E&S Safeguarding through the Project Design Process..... 8
- 3 Building E&S Safeguarding into your Project..... 9
 - 3.1 Stage 1: PIN Development..... 9
 - 3.1.1 Exclusion List..... 9
 - 3.1.2 E&S Screening..... 10
 - 3.2 Stage 2: PDD Development..... 12
 - 3.2.1 E&S Assessment (ESA)..... 12
 - 3.2.2 E&S Risk Management Plan (ESMP)..... 14
 - 3.2.3 Validation 15
 - 3.3 Stage 3: Implementation..... 16
 - 3.3.1 Annual E&S Monitoring and Reporting..... 16
 - 3.3.2 Verification of E&S monitoring and reporting..... 17
 - 3.3.3 Final evaluation of ESMP implementation..... 18
- 4 Annexes..... 18
 - 4.1 Exclusion List..... 19
 - 4.2 Environmental and Social Risk Screening 23
 - 4.3 Environmental and Social Risk Management Plan..... 44

1 Introduction and context

1.1 What are Environmental and Social Risks and Safeguards?

Environmental and Social (E&S) risks are negative social or environmental impacts triggered by a project activity or outcome. Safeguards are measures put in place to manage these undesired and sometimes unexpected adverse risks and impacts.

Social risks, include, for example risks to:

- Vulnerable groups
- Gender equality
- Human rights
- Community, health, safety, and security
- Labour and working conditions, including occupational health and safety, child labour, forced labour
- Access restrictions and livelihoods
- Cultural heritage
- Indigenous peoples
- Land tenure conflicts
- Climate vulnerability

Environmental risks, include, for example:

- Invasive species
- Habitat loss, degradation and fragmentation
- Overexploitation and unsustainable use of natural resources
- Disturbance of water and energy supply
- Use of biocides/pesticides
- Resource efficiency, pollution, wastes (both hazardous and non-hazardous), chemicals, and GHG Emissions biodiversity
- Pollution, including land contamination

- Soil degradation
- Air and noise pollution
- Consequential development
- Climate vulnerability

While Plan Vivo certified projects aim to achieve positive environmental and social outcomes, all Plan Vivo certified projects must identify any potential downside risks in their projects and include measures to address them adequately. This document will guide Project Coordinators on how to do this.

1.2 Understanding E&S Risks and Impacts

Plan Vivo assesses risk significance based on the likelihood of a particular impact occurring, and the consequence of such an impact. See Figure 1 below. More significant risks may require additional investigation and mitigation measures.

Figure 1 below provides the Plan Vivo risk significance matrix, which illustrates how likelihood and consequence combine to indicate risk significance. This matrix can also be found in Annex 4 (E&S Screening) of the PIN template.

		Likelihood of occurrence				
		<i>Very unlikely to occur (1)</i>	<i>Not expected to occur (2)</i>	<i>Likely – could occur (3)</i>	<i>Known to occur – almost certain (4)</i>	<i>Common occurrence (5)</i>
Magnitude	<i>Severe (5)</i>	Moderate	Substantial	High	High	High
	<i>Major (4)</i>	Low	Moderate	Substantial	Substantial	High
	<i>Medium (3)</i>	Low	Moderate	Moderate	Moderate	Substantial
	<i>Minor (2)</i>	Low	Low	Moderate	Moderate	Moderate
	<i>Negligible (1)</i>	Low	Low	Low	Low	Low

Fig. 1: Plan Vivo risk significance matrix (based on IUCN ESMS Screening Report, 2022¹).

1.3 Responsibilities for Managing E&S Risks and Impacts

Projects are responsible for the negative adverse impacts that they cause. For example, a project that prevents community members from gathering honey using traditional techniques, would need to understand the impacts of this, and decide, with those people who are affected (those who gather honey), how to manage the impacts.

Impacts can arise from activities (such as building a fence across a grassland, preventing small mammal movement), and outcomes (improved wildlife habitat for wildlife leading to higher wildlife populations and increase levels of agricultural crop destruction).

Projects can cause impacts (constructing a fence), contribute to impacts (working with local government, donors, and communities to contribute to fence construction), or be linked to impacts (working closely with an organisation which is constructing fences, but not doing it as a project activity).

Project responsibilities for impacts for when a project 'causes', 'contributes', or is 'linked to' a negative risk or impact varies, with the highest responsibility for those impacts caused by the project, then to which the project contributes, and then linked to².

For impacts caused by a project, the project's responsibilities are to:

- Stop the activity (or inaction)
- Put in place measures to prevent or mitigate the impact occurring again
- Provide any remedy required if harm has occurred

For impacts to which a project is contributing, the project's responsibilities are to:

- Stop the contribution to the activity (or contribution to inaction)
- Contribute to measures to prevent or mitigate the impact occurring again
- Contribute to any remedy required if harm has occurred
- Use leverage to influence other contributors (other project partners, government, etc) to do the same

For impacts to which a project is neither contributing nor causing, but is linked to, due to their relationship with another organisation (e.g. a collaborating government agency):

- Use leverage to influence these other organisations to stop the activity, put in place preventative and mitigation measures, and provide remedy.

2 In Plan Vivo Projects

2.1 E&S Safeguarding in PV Climate V5 Requirements

This document summarises the E&S risk management procedures to be followed by Plan Vivo projects to enable projects to align with the Plan Vivo Climate (Carbon Standard) v5.1 Requirement 3.9 on Environmental and Social Safeguards. The specific requirements, and how these E&S procedures relate to this guidance, is highlighted in *Table 1*.

Note that *Project Requirements* under PV Nature V1.1 are very similar to those listed below, and therefore PV Nature projects are encouraged to utilise this guidance as well as PV Climate projects.

Table 1: *How this document addresses Plan Vivo Project Requirements regarding Safeguarding (referencing PV Climate Projects Requirements V5.5)*

ID	Requirement	This document
3.9.1	Projects must respect and observe universal human rights and freedoms for all as defined by the Universal Declaration on Human Rights.	The procedures for project identification, assessment, and management of E&S risks and impacts (including human rights impacts), are laid out in this document.
3.9.2	Projects cannot include any activities on the Plan Vivo Exclusion List.	How to use the Exclusion List is explained in this document.
3.9.3	Project Interventions and activities in the Project Area(s) and the surrounding landscape must be screened for potential negative environmental and social risks and impacts against the Plan Vivo Environmental and Social Policy Framework. Risks of adverse impacts must be assessed, and mitigation and monitoring measures put in place where necessary, as part of the project design (see Section 3.5) and throughout the Project Period.	E&S risk management process, from screening, assessment, management and monitoring is described in this document.
3.9.4	Direct, indirect and cumulative social risk factors to be considered include potential negative risks and impacts on: human rights, livelihoods, incomes, cultural heritage, resource access, property rights, gender equality, vulnerable groups, conflict, population growth, child labour, forced labour and working conditions (including occupational health and	These topics are included in the E&S risk management process described in this document.

	safety), climate vulnerability, and any other relevant risk factors.	
3.9.5	Direct, indirect and cumulative environmental risk factors to be considered include potential negative impacts on ecosystems within and outside the Project Area(s) from: invasive species, habitat loss, degradation and fragmentation, overexploitation, disturbance of water and energy supply, unsustainable resource use, biocides/pesticides, waste production (both hazardous and non-hazardous), soil degradation, air pollution, noise, land contamination, consequential development, climate vulnerability, and any other relevant risk factors.	These topics are included in the E&S risk management process described in this document.
3.9.6	Risk mitigation measures must be implemented by projects to eliminate or reduce any risks or impacts identified to a level that is acceptable to the people that are negatively affected including Vulnerable and/or Disadvantaged People.	Design of risk mitigation measures, and inclusion in the Environmental and Social Management Plan (ESMP), are included in this document.
3.9.7	If Local Stakeholders are negatively affected by Project Interventions and negative impacts cannot be fully mitigated, for example by introducing alternative livelihood activities, adequate compensation measures, developed with involvement of those negatively affected, must be provided to replace lost assets or lost access to assets. All losses must be considered as legitimate for compensation, including those based on customary and non-legal tenure and resource-use regimes.	Not covered explicitly in this document. Measures to manage economic displacement due to access restrictions can be included in the ESMP or a separate plan.
3.9.8	Potential negative impacts on the livelihoods of Primary Stakeholders considered in the risk assessment must include direct costs e.g. from reduced access to wood or other forest products relative to the Baseline Scenario, and Opportunity Costs of foregone income from land	As per 3.9.7

	management, labour, and use of natural resources in the Baseline Scenario.	
3.9.9	If monitoring and patrolling is supported by the government, Projects must provide an MoU between the Project Coordinator and the government agency responsible for law enforcement.	Not covered explicitly in this document. Measures to manage security and human rights risks can be included in the ESMP or a separate plan.
3.9.10	Any trees planted or other plants or animals introduced to Project Areas for a Project Intervention must be native to the Project Region unless they provide clear Livelihood or Ecosystem Benefits and the Project Intervention would not be feasible with an alternative Native Species.	Not covered explicitly in this document. Measures to manage environmental or ecosystem risks can be included in the ESMP or a separate plan.
3.9.11	If non-Native Species are planted or introduced, the Project must provide justification for their selection over alternative Native Species and provide an assessment and evidence that they pose no environmental risk or threat. Justification of any Non-native Species must be aligned with the Project’s theory of change (see Section 3.5).	Not covered explicitly in this document. Measures to manage environmental or ecosystem risks can be included in the ESMP or a separate plan.
3.9.12	Projects are required to disclose any negative social and environmental impacts to Plan Vivo as soon as they become known.	Covered in this document under monitoring and reporting.
3.9.13	Natural Ecosystems must not be converted to generate Carbon Benefits	Covered in this document under monitoring and reporting.

2.2 E&S Safeguarding through the Project Design Process

Table 2: Project development phases and E&S activities

Project Development Stage	E&S Activity <i>Associated tools/guidance</i>
PIN stage	1.1 Pre-screening using Plan Vivo Exclusion List (see Annex 1)
	1.2 E&S screening, using the Plan Vivo E&S screening tool (see Annex 2)

PDD stage	2.1 E&S Assessment (ESA) and accompanying report <i>Guidance on conducting an E&S Assessment can be found under the 'Environmental and Social Safeguards' page on the Plan Vivo website.</i>
	2.2 Development of the Environmental and Social Management Plan (ESMP) <i>Guidance on developing an ESMP after conducting an ESA can be found under the 'Environmental and Social Safeguards' page on the Plan Vivo website.</i>
	2.3 Validation of E&S assessment & ESMP according to section 3.16 of the validation report template
Project period	3.1 Annual E&S monitoring and reporting
	3.2 Verification of E&S monitoring and reporting (5-yearly)
	3.3 Final evaluation of ESMP implementation

3 Building E&S Safeguarding into your Project

3.1 Stage 1: PIN Development

3.1.1 Exclusion List

How:

- Once the broad project landscape, the project partner, the project type, and activities have been selected, and the socio-ecological context is known, review the project concept against the **Plan Vivo Exclusion List (Annex 1)**, responding 'yes' if the project has this excluded activity, 'no', if the project does not include this excluded activity, and 'TBD', to be decided, if it is not clear whether this project activity could be included.

- For 'yes' items (excluded activities), this will require a change in project in design. For 'tbd' items, this will require some further investigation during the development of the Project Idea Note (below).
- Note that there is a difference between *contextual risks* and *project risks*. Contextual risks are risks and impacts that already happening in the project area.
 - For example, damaging forms of child labour (labour that prevents children from attending school, for example). This could be a contextual risk (already occurring). A project risk is when the project reinforces or exacerbates this, for example by introducing livelihood activities that are more labour intensive, and lead to continued or more child labour.
 - This is relevant for the exclusion list, as the exclusions relate to project risks. For example, the exclusion list includes tobacco farming (exclusion of "Production or trade of tobacco and other drugs"). This does not mean that a project cannot work in contexts where there is tobacco farming, but instead that the project would have to be careful not to promote the continuation or expansion of tobacco farming, which would be excluded.

Who:

- Project team member familiar with the landscape and project context. No specific E&S expertise required.

Output:

- Completed Exclusion List submitted to the Plan Vivo Foundation as part of the completed PIN (Annex 3).

3.1.2 E&S Screening

How:

- Fill out the **Plan Vivo E&S Screening (Annex 2)** when you are completing the PIN.
- Answer the questions based on your knowledge of the project.
- The E&S questionnaire is then screened by the Plan Vivo Foundation, and Plan Vivo assigns a project risk rating (see figure 1).
- When filing out the E&S questionnaire:

- Ensure you are familiar with the contents of the PIN, particularly the project area, stakeholders, and activities.
- Read each question carefully and provide a response directly to that question in the response box.
- Be honest in your responses. If you do not know, check with team members and colleagues.
- Consider all the types of risks, referring to best practice guidance on E&S risks and impacts in NbS projects.

Who:

- Project coordinator:
 - Project team member familiar with the landscape and project context. Ideally, the screening will involve multiple team members, recognising the need for interdisciplinary expertise (social and natural sciences).
 - Project team member who is familiar with E&S Standards and safeguards, in order to help interpret the questions and develop project responses.

Output:

- Completed E&S questionnaire submitted to the Plan Vivo Foundation as part of the completed PIN (Annex 4).
- Completed screening report (completed by a reviewer at the Plan Vivo Foundation) including conclusions on:
 - a) the project risk category;
 - b) key potential risks and impacts;
 - c) key areas of focus for the E&S assessment;
 - d) potential safeguard plans required at PDD stage.

The screening will be reviewed by the Plan Vivo Foundation before the PIN is approved, giving sufficient time to the project to be informed of the safeguarding measures required at PDD stage, and to start discussing them during the project design process.

3.2 Stage 2: PDD Development

3.2.1 E&S Assessment (ESA)

NOTE: detailed guidance on conducting an ESA is provided in the *ESA Guidance Document*, which can be found under the 'Environmental and Social Safeguards' page on the Plan Vivo website.

What:

- A largely field-based assessment to understand the direct and indirect impacts of the proposed project.
- Assessment is based on meaningful consultations with affected communities, local stakeholders, and vulnerable and/or disadvantaged people, and assesses the significance of potential risks and impacts, and develops measures (mitigation measures) to avoid, minimise or mitigate these impacts.

When:

- During the PDD development phase, once the E&S screening is complete, and prior to the finalisation of the PDD. Early enough in the PDD process to allow for changes to project design (e.g. avoidance of certain areas or issues or activities, inclusion of additional activities or partners for risk management), but late enough that there is a clear project design against which potential impacts can be assessed.

How to plan for the E&S assessment:

- Review the E&S screening report findings and conclusions.
- Clarify the scope of assessment, including:
 - Geographical scope of the project;
 - Project activities and potential risks and impacts to be assessed (and criteria for this);
 - National legislation and international E&S Standards as point of reference;
 - Safeguard plans that need to be developed (and information requirements for these).
- Design a field-based methodology that is focused on meaningful consultations with affected communities, local stakeholders, and vulnerable and/or disadvantaged people,

and includes clear assessment criteria, sampling strategy, methods, required expertise, field schedule.

- These steps might require additional document review and interviews with local experts to better define the scope of work.

Note that the E&S assessment does not need to be conducted as a separate exercise from other project design activities and can be completed in parallel through integrating E&S consideration into existing activities.

How to conduct the E&S assessment:

- Implement the E&S assessment plan as written
- Methods often include community meetings, focus group discussions, interviews, and use of participatory rural appraisal techniques such as participatory sketch mapping.
- As per 2.1 above, where possible, integrate E&S assessment into already planned project design activities, and then only add additional consultations and activities if not already planned.
- Assessment should be balanced between understanding potential risks and impacts, and developing solutions.
- Write up the E&S assessment report and start to develop the Environmental and Social Management Plan (ESMP) as described below.

Key principles for designing an E&S assessment:

Some key principles to bear in mind while designing and implementing an E&S assessment for a Plan Vivo project are listed below. As Plan Vivo projects aim to be collaborations between the Project Coordination and local communities and smallholders, these Principles will be very familiar to Project Coordinators:

Expertise - Ensure there is adequate expertise on the team for the design and the implementation of the assessment (see Section 5 below for suggestions);

Direct consultation - Direct consultation with affected people is essential: while community representative institutions are often part of the exercise, talking directly with affected people about the potential impacts and the solutions;

Collaborative solutions - While the assessment is a consultation, the development of mitigation measures is a collaborative exercise that requires meaningful participation of affected people.

Stakeholders - An assessment can only be designed based on a robust stakeholder analysis, which identifies not only statutory rightsholders, but also customary rightsholders and those groups who might not have either statutory or customary rights.

Appropriate methods - Socially and culturally appropriate meeting formats, times, and locations are essential, respecting cultural norms while allowing for focused discussions.

Consent and ethical considerations - The normal best practice engagement consent and ethical considerations apply.

Field-based - While there is an element of desk-based review, an E&S assessment is largely a field-based exercise.

Who:

- All PV projects, regardless of project level risk significance. Projects that are higher risk should complete a more in-depth E&S assessment.
- Either the project team, while conducting other project design activities, or a sub-contracted party with relevant expertise.
- In addition to an understanding of the local context and socioeconomic conditions, the team would be expected to include someone familiar with international E&S Standards, impact assessment, and the development associated safeguard plans.

Output:

- E&S assessment report including potential E&S risks and impacts, significance of these risks and impacts, and mitigation measures to manage these based on substantial local stakeholder input

3.2.2 E&S Risk Management Plan (ESMP)

How:

- Fill out Section 3.9.4 of the PDD.

- Identify each relevant risk, from the E&S screening report results, and include an appropriate mitigation measure. Each activity-based mitigation measure should correspond to a project activity, and budgeted for accordingly. Other mitigation measures, for example, an application of a policy or procedure, do not have to incorporate a project activity, and can be included separately.
- Development of the ESMP is an iterative process. If there are major gaps, for example when there are no identified measures to manage a significant risk or impact, then further fieldwork and design work will be needed prior to submission of the ESMP. This will be identified by the Plan Vivo reviewer during the initial PDD screening process,
- If there are minor gaps, for example some more information needs to be collected, these can be included as actions in the ESMP to be conducted during project implementation. The PDD can be updated accordingly.
- The Plan Vivo reviewer will be looking at the ESMP during the PDD review phase to assess whether the plan, even if there are some minor gaps in knowledge of measures, appears likely to manage the key risks and impacts. There is always the expectation that some further planning and iterative development will be needed.
- Ensure that all additional mitigation measures, expertise and costs have been included in the project design and activity plan and have been adequately budgeted.
- Ensure that responsibilities are clear in the ESMP, and those with responsibility, have appropriate expertise; include capacity development and training where necessary.

Who:

- As per E&S scoping in Section 2.1 above.
- Project coordinator's project manager to ensure that all activities are integrated into the PDD and have been budgeted in the financial plan.

3.2.3 Validation

What:

- The validator needs to assess if the E&S risks and impacts included in the ESMP section of the PDD have been correctly identified, that the risk significances are justifiable, and that the mitigation measures appear adequate, as part of the validation process.

When:

- Validation shall take place after the PV Secretariat and Technical Review Panel (TRP) have reviewed the PDD and the PDD has been published for public consultation on the Plan Vivo website.

How:

- During the validation of your project, your contracted Validation and Verification Body (VVB) or Independent Expert (IE) needs to fill out section 3.16 of the validation report template.
- The VVB/IE will assess the environmental and social risks and impacts during the project site, and they will conduct a desk review of supporting documents. They will describe the steps taken to validate the environmental and social screening, assessment and ESMP in the validation report.
- VVB/IE provides a concluding statement regarding if the complete environmental and social screening report, assessment and ESMP is correctly justified for the project intervention.

Who:

- VVB/IE hired by the project coordinator to conduct the validation.

Output:

- Completed sections 3.16 of the validation report.

3.3 Stage 3: Implementation

3.3.1 Annual E&S Monitoring and Reporting

What:

- Conducting annual monitoring of E&S indicators as per the project monitoring plan.

- The E&S indicators are included in the ESMP and integrated into the project monitoring plan.

When:

- Annually in preparation for the annual report.

How:

- Conduct monitoring activities for those indicators which are collected annually.
- Include results in the annual report template.

3.3.2 Verification of E&S monitoring and reporting

What:

- The VVB/IE will assess as part of the verification if the E&S indicators provided in the annual report have been achieved, and if these have been adequate to address the risks identified in the ESMP appropriately.

When:

- A verification must take place at least every 5 years throughout the Project Period.

How:

- During the verification of your project, your contracted VVB/IE fills out the sections of environmental and social indicators included the verification report template.
- The VVB/IE will assess the ESMP and various environmental and social indicators during the project site visit, conduct a desk review of supporting documents, and will describe the steps taken to verify the ESMP implementation (and associated E&S indicators) inside the verification report.
- The VVB/IE will provide a concluding statement regarding if the ESMP implementation and E&S indicators have been achieved during the reporting period.

Who:

- VVB or IE hired by the project coordinator to conduct the verification.

Output:

- Completed sections regarding the environmental and social indicators of the verification report.

3.3.3 Final evaluation of ESMP implementation

What:

- Final evaluation of the E&S performance of the project, including an evaluation of the progress and outcomes of the implementation of the ESMP, using the indicators provided in the ESMP.

When:

- End of project

How:

- During the final evaluation of the project, the project evaluator and VVB/IE of the final verification reviews the annual reports (including E&S indicators) and the final ESMP.
- The project evaluator conducts checks during the project site visit, to assess progress and outcomes of the mitigation measures in the ESMP.
- The evaluator reviews the project exit strategy, to ensure that this strategy is in line with the E&S Standards and safeguards applied during the course of the project.
- The evaluator writes a close out statement indicating that all potential and actual E&S risks and impacts were effectively managed, indicating if there are any corrective actions required in cases where this did not occur, and on safeguard alignment of the exit strategy.

Who:

- Project evaluator and VVB/IE

Output:

- E&S performance statement as part of the end of project evaluation report, including: a) E&S performance; b) any corrective actions required; c) safeguard alignment of the exit strategy.

4 Annexes

4.1 Exclusion List

Complete the exclusion list by responding 'Yes' if the activity is included in the project and 'No' if the project does not include the activity.

Activities	Included in Project ('Yes' or 'No')
Any project activities leading to or requiring the destruction [1] of critical habitat [2] or any forestry project which does not implement a plan for improvement and/or sustainable management.	<input type="checkbox"/> Yes <input type="checkbox"/> No
Any activity which could be associated with the significant impairment of areas particularly worthy of protection of cultural heritage (without adequate compensation in accordance with international standards).	<input type="checkbox"/> Yes <input type="checkbox"/> No
Trade in animals, plants or any natural products not complying with the provisions of the CITES/Washington convention [3].	<input type="checkbox"/> Yes <input type="checkbox"/> No
Illegal, harvesting or trading in any wildlife resources.	<input type="checkbox"/> Yes <input type="checkbox"/> No
Destructive fishing methods or drift net fishing with a net more than 2.5 km in length, explosives and/or poison.	<input type="checkbox"/> Yes <input type="checkbox"/> No
Large-scale commercial logging operations for use in primary tropical moist forest.	<input type="checkbox"/> Yes <input type="checkbox"/> No
Production or trade in wood or other forestry products other than from sustainably managed forests [4].	<input type="checkbox"/> Yes <input type="checkbox"/> No
Exploitation of diamond mines and marketing of diamonds where the host country has not adhered to the Kimberley Process, and exploitation of other conflict minerals [5].	<input type="checkbox"/> Yes <input type="checkbox"/> No
Activities involving harmful or exploitative forms of forced labour, [6] harmful child labour [7], modern slavery and human trafficking [8].	<input type="checkbox"/> Yes <input type="checkbox"/> No
Projects that include involuntary physical displacement and/or forced eviction.	<input type="checkbox"/> Yes <input type="checkbox"/> No
Production or activities that encroach on lands owned, or claimed or occupied by Indigenous Peoples, without full documented Free, Prior and Informed Consent (FPIC) of such peoples [9].	<input type="checkbox"/> Yes <input type="checkbox"/> No
Harmful and unsafe production, use, sale or trade of pharmaceuticals, ozone layer depleting substances [10], and other toxic [11] or dangerous materials such as asbestos or products containing PCB's [12], wildlife or	<input type="checkbox"/> Yes <input type="checkbox"/> No

products regulated under CITES, including all products that are banned or are being progressively phased out internationally.	
Production or trade of arms, ammunition, weaponry, controversial weapons, or components thereof (e.g., nuclear weapons and radioactive ammunition, biological and chemical weapons of mass destruction, cluster bombs, anti-personnel mines, enriched uranium).	<input type="checkbox"/> Yes <input type="checkbox"/> No
Procurement and use of firearms.	<input type="checkbox"/> Yes <input type="checkbox"/> No
Provision of finances to military institutions involved in conservation or security activities.	<input type="checkbox"/> Yes <input type="checkbox"/> No
Production or trade of strong alcohol intended for human consumption or other alcoholic beverages (excluding beer and wine).	<input type="checkbox"/> Yes <input type="checkbox"/> No
Production or trade of tobacco and other drugs.	<input type="checkbox"/> Yes <input type="checkbox"/> No
Gambling, gaming establishments, casinos or any equivalent enterprises and undertaking [13].	<input type="checkbox"/> Yes <input type="checkbox"/> No
Any trade related to pornography, prostitution or sexual exploitation of any form.	<input type="checkbox"/> Yes <input type="checkbox"/> No
Production or trade in radioactive material. This does not apply to the procurement of medical equipment, quality control equipment, or other application for which the radioactive source is insignificant and/or adequately shielded.	<input type="checkbox"/> Yes <input type="checkbox"/> No
Production or trade in unbound asbestos. This does not apply to the purchase or use of cement linings with bound asbestos and an asbestos content of less than 20%.	<input type="checkbox"/> Yes <input type="checkbox"/> No
Production, trade, storage, or transport of significant volumes of hazardous chemicals, or commercial scale usage of hazardous chemicals. Hazardous chemicals include gasoline, kerosene, and other petroleum products.	<input type="checkbox"/> Yes <input type="checkbox"/> No
Transboundary trade in wastes, except for those accepted by the Basel Convention and its underlying regulations [14].	<input type="checkbox"/> Yes <input type="checkbox"/> No
Any activity leading to an irreversible modification or significant displacement of an element of culturally critical heritage [15].	<input type="checkbox"/> Yes <input type="checkbox"/> No
Production and distribution, or investment in, media that are racist, antidemocratic or that advocate discrimination against a part of the population.	<input type="checkbox"/> Yes <input type="checkbox"/> No
Projects involving the planting or introduction of invasive species.	<input type="checkbox"/> Yes <input type="checkbox"/> No

Projects that increase the dependency of primary participants and other stakeholders on fossil fuels.	<input type="checkbox"/> Yes <input type="checkbox"/> No
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Notes:

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1. Destruction means (1) the elimination or severe reduction in the integrity of a habitat/area caused by a major and long-term/prolonged change in land-use or water resources or (2) the modification of a habitat such that this habitat's ability to fulfil its function/ role is lost.

 2. The term critical habitat encompasses natural and modified habitats that deserve particular attention. This term includes (1) spaces with high biodiversity value as defined in the IUCN's classification criteria, including, in particular, habitats required for the survival of endangered species as defined by the IUCN's red list of threatened species or by any national legislation; (2) spaces with a particular importance for endemic species or whose geographical range is limited; (3) critical sites for the survival of migratory species; (4) spaces welcoming a significant number of individuals from congregatory species; (5) spaces presenting unique assemblages of species or containing species which are associated according to key evolution processes or which fulfil key ecosystem services; (6) and territories with socially, economically or culturally significant biodiversity for local communities. Primary forests or high conservation value forests must also be considered as critical habitats

 3. <https://cites.org/eng/disc/text.php>

 4. Sustainably managed forests are forests managed in a way that balances ecological, economic, and socio-cultural needs.

 5. Conflict minerals, including tin, tungsten, tantalum and gold, can be used to finance armed groups, fuel forced labour and other human rights abuses, and support corruption and money laundering. See the EU Regulation on conflict minerals:
https://policy.trade.ec.europa.eu/development-and-sustainability/conflict-minerals-regulation/regulation-explained_en

6. Forced labour means all work or service, not voluntarily performed, that is extracted from an individual under threat of force or penalty.
7. Harmful child labour means the employment of children that is economically exploitive, or is likely to be hazardous to, or to interfere with, the child's education, or to be harmful to the child's health, or physical, mental, spiritual, moral, or social development. Employees must be at least 14 years of age, as defined in the ILO's Declaration on the Fundamental Principles and Rights at Work (C138 – Minimum Age Convention, Article 2), unless local laws require compulsory school attendance or a minimum working age. In such circumstances, the highest age requirement must be used.
8. Modern slavery is comprised of two key components: forced labour and forced marriage. These refer to situations of exploitation that a person cannot leave or refuse due to threats, violence, deception, or coercion. (https://www.ilo.org/wcmsp5/groups/public/---ed_norm/---ipec/documents/publication/wcms_854733.pdf)
9. <https://www.fao.org/indigenous-peoples/our-pillars/fpic/en/>
10. Any chemical component which reacts with, and destroys, the stratospheric ozone layer leading to the formation of holes in this layer. The Montreal Protocol lists Ozone Depleting Substances (ODS), their reduction targets and deadlines for phasing them out.
11. Including substances included under the Rotterdam Convention, Stockholm Convention, and WHO "Pharmaceuticals: Restrictions in Use and Availability".
12. PCBs (polychlorinated biphenyls) are a group of highly toxic chemical products that may be found in oil-filled electrical transformers, capacitors and switchgear dating from 1950 to 1985.
13. Any direct financing of these projects or activities involving them (for example, a hotel including a casino). Urban improvement plans which could subsequently incorporate such projects are not affected.
14. Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their disposal (1989).

15. "Critical cultural heritage" is considered as any heritage element recognised internationally or nationally as being of historical, social and/or cultural interest.

4.2 Environmental and Social Risk Screening

Complete the table below by answering each risk question. Where relevant include details of any activities that will be carried out to better understand or mitigate potential risks.

Guidance on use

Background

- The questionnaire includes questions aligned with the Plan Vivo Cabron Standard (PV Climate) Environmental and Social Safeguards (Section 3.9, V5.0) and other Safeguard Provisions that are embedded in PV Climate (namely Stakeholder Engagement, Stakeholder Consultation, Free Prior and Informed Consent, Grievance Mechanism).
- The questionnaire also draws from the Plan Vivo Environmental and Social Policy Framework (ESPF).
- The questionnaire is structured around the IUCN ESMS Questionnaire, which itself is designed to be aligned with the IUCN ESMS (2016), and the World Bank Environmental and Social Framework (2017), including World Bank Standards 1-10.
- The number of questions has been limited in this version of the questionnaire to ensure that it is practical and user-friendly.
- The purpose of the questionnaire is to establish: 1) the project risk rating; 2) the significance of risks and impacts; 3) alignment with safeguard provisions; 4) the need for further E&S assessment during project design; 5) the likely safeguard plans that should be developed.
- Due to the early stage in project design, the questionnaire is not designed to assess alignment with PV Climate requirements, but rather prompt projects as to what will be expected regarding those requirements that relate to E&S safeguards.
- Any social and environmental risks must inform the design of the *project*.

Requirement

- As per PV Climate V5.0 every project must conduct a screening of environmental and social risks and impacts at the PIN stage of project design. The questionnaire and screening report are to be submitted alongside the PIN to the Plan Vivo Foundation.

Process for use of the E&S questionnaire

- The Project Coordinator is to fill in the “Project coordinator response” section of the questionnaire. This is the column shaded light grey.

- Once completed by the Project Coordinator, the Plan Vivo Foundation Project Officer and E&S reviewer is to fill in the “E&S reviewer comments” section of the questionnaire. This includes filling in the “E&S reviewer conclusions”.
- The screening report is then completed at the end by the Plan Vivo Foundation E&S reviewer, and the results are shared and discussed with the Project Coordinator.

Establishing significance of risks and impacts

Table 1 illustrates how risk significance can be established based on an estimate of likelihood of something happening, and the impact should it occur. This likelihood-magnitude matrix can be used by the Project Officer and the E&S reviewer to estimate the risk and impact significance of the E&S risk areas indicated in the E&S questionnaire **Section B**, below. Note that while the questionnaire focuses on key topics and issues that are common to natural resource management projects, the project coordinator should include other known E&S risks and impacts associated with the planned project.

Likelihood represents the possibility that a given risk event is expected to occur. The likelihood should be established using the following five ratings:

Very unlikely to occur (1)

Not expected to occur (2)

Likely – could occur (3)

Known to occur - almost certain (4)

Common occurrence (5)

Impact (or consequence) refers to the extent to which a risk event might negatively affect environmental or social receptors – see below criteria distinguishing five levels of impacts:

Severe (5)	Adverse impacts on people and/or environment of very high magnitude , including very large scale and/or spatial extent (large geographic area, large number of people, transboundary impacts), cumulative, long-term (permanent and irreversible) ; receptors are considered highly sensitive ; examples are severe adverse impacts on areas with high biodiversity value; severe adverse impacts to lands, resources and territories of Indigenous Peoples; significant levels of displacement or resettlement with long-term consequences on peoples' livelihood; impacts give rise to severe and cumulative social conflicts with long-term consequences.
Major (4)	Adverse impacts on people and/or environment of high magnitude , including large scale and/or spatial extent (large geographic area, large number of people, transboundary impacts), of certain duration but still reversible if sufficient effort is provided for mitigation; receptors are considered sensitive; examples are adverse impacts on areas with high biodiversity value; adverse impacts to lands, resources and territories of Indigenous Peoples; significant levels of displacement or resettlement with temporary consequences on peoples' livelihood; impacts give rise to social conflicts which are expected to be of limited duration.
Medium (3)	Adverse impacts of medium magnitude, limited in scale (small area and low number of people affected), limited in duration (temporary), impacts are relatively predictable and can be avoided, managed and/or mitigated with known solutions and straight forward measures.
Minor (2)	Adverse impacts of minor magnitude, very small scale (e.g. very small, affected area, very low number of people affected) and only short duration, may be easily avoided, managed, mitigated.
Negligible (1)	Negligible or no adverse impacts on communities, individuals, and/or on the environment.

Table 1: Rating significance of a risk area (Source: IUCN ESMS questionnaire, 2020)

		<i>Likelihood of occurrence</i>				
		<i>Very unlikely to occur (1)</i>	<i>Not expected to occur (2)</i>	<i>Likely – could occur (3)</i>	<i>Known to occur - almost certain (4)</i>	<i>Common occurrence (5)</i>
Magnitude	<i>Severe (5)</i>	Moderate	Substantial	High	High	High
	<i>Major (4)</i>	Low	Moderate	Substantial	Substantial	High
	<i>Medium (3)</i>	Low	Moderate	Moderate	Moderate	Substantial
	<i>Minor (2)</i>	Low	Low	Moderate	Moderate	Moderate
	<i>Negligible (1)</i>	Low	Low	Low	Low	Low

Establishing project risk category

The project risk category will be determined based on an understanding of the types of potential E&S risks and impacts associated with the project, and the availability of appropriate and known mitigation measures. Most Plan Vivo projects are thought to be of either low or moderate risk. If high risk projects are identified, the E&S impact assessment would look to understand the alternative project designs available to reduce the potential risks and impacts.

Table 2: Rating significance of a risk area (Source: IUCN ESMS questionnaire, 2020)

Risk Category	Definition
Low	Insignificant or low potential environmental and social risks and impacts have been identified. No additional management measures are required; no Environmental and Social Management Plan (ESMP) section of the PDD required.
Moderate	Moderate and/or substantial potential adverse risks and impacts have been identified, in one or more risk areas. These risks and impacts can be mitigated through known mitigation measures, such as a Stakeholder Engagement Plan, livelihood restoration plan, or through the project’s ESMP.
High	High risks and impacts that are potentially diverse and irreversible, and for which standard solutions are not sufficient to manage, and for which specialist safeguard plans and expertise is required.

Alignment with safeguard provisions

Section C of the questionnaire refers to PV Climate safeguard provisions which are integrated into the Standard. These include:

- *Stakeholder engagement and consultation*
- *Free, Prior and Informed Consent*
- *Grievance Redress Mechanism*

The project coordinator will answer the questions related to these provisions and clarify the project’s intentions to meet these Standard requirements during the project design phase.

Environmental and Social Assessment

The E&S questionnaire should determine what E&S assessment is required during the project design phase (PDD development). For low and moderate risk projects, a tailored E&S assessment is required. For high-risk projects, an Environmental and Social Impact Assessment (ESIA) is required. The

project coordinator should consider in responses what further assessment of risks and impacts is required, and the E&S reviewer will comment on this and include a summary in the Screening Report section.

Safeguard Plans

The E&S questionnaire should determine which Safeguard Plans are required by the project. For low risk projects, it is unlikely that an ESMP will be required. For moderate risk projects, an ESMP will be required. Projects will, according to the Standard, also require a mandatory Stakeholder Engagement Plan and a Grievance Redress Mechanism.

Some projects might require specialist plans, such as an Indigenous Peoples Plan (IPP) or a Livelihood Restoration Plan.

SECTION A: PROJECT INFORMATION	
Project title:	
Project coordinator:	
Country:	
Geography/ landscape:	
Project summary:	<i><Provide a short summary of the project, including aim and objectives, expected outcomes, activities, the main project sites, and project partners></i>
Name and role of project coordinator staff member filling this questionnaire:	

Confirm that the Plan Vivo Exclusion List is appended to this E&S questionnaire:	<Yes/no/to be completed>
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SECTION B: POTENTIAL E&S RISKS AND IMPACTS			
Topic	Question	Project coordinator response	E&S reviewer comments
E&S Risks and Impacts			
Vulnerable Groups	Are there vulnerable or disadvantaged groups or individuals, including people with disabilities (consider also landless groups, lower income groups less able to cope with livelihood shocks/stresses) in the project area, and are their livelihood conditions well understood by the project?	<Project coordinator includes responses here>	<E&S reviewer includes comments here>
	Is there a risk that project activities disproportionately affect vulnerable groups, due to their vulnerability status?		
	Is there a risk that the project discriminates against vulnerable groups, for example regarding access to project services or benefits and decision-making?		
<p><i>E&S reviewer conclusions</i></p> <p><i>Estimated likelihood of risks (1-5) & justification:</i></p> <p><i>Estimated magnitude of risks (1-5) & justification:</i></p> <p><i>Risk significance:</i></p>			

Gender equality	Is there a risk of adverse gender impacts due to the project/ project activities, including, for example, discrimination or creation/exacerbation or perpetuation of gender-related inequalities?		
	Is there a risk that project activities will result in adverse impacts on the situation of women or girls, including their rights and livelihoods? Consider for example where access restrictions disproportionately affect women and girls due to their roles and positions in accessing environmental goods and services?		
	Is there a risk that project activities could cause or contribute to gender- based violence, including risks of sexual exploitation, sexual abuse or sexual harassment (SEAH)? Consider partner and collaborating partner organizations and policies they have in place. Please describe.		
<p><i>E&S reviewer conclusions</i></p> <p><i>Estimated likelihood of risks (1-5) & justification:</i></p> <p><i>Estimated magnitude of risks (1-5) & justification:</i></p> <p><i>Risk significance:</i></p>			
Human Rights	Is there a risk that the project prevents peoples from fulfilling their economic or social rights, such as the right to life, the		

	right to self-determination, cultural survival, health, work, water and adequate standard of living?		
	Is there a risk that the project prevents peoples from enjoying their procedural rights, for example through exclusion of individuals or groups from participating in decisions affecting them?		
	Are you aware of any severe human rights violations linked to project partners in the last 5 years?		
<p><i>E&S reviewer conclusions</i></p> <p><i>Estimated likelihood of risks (1-5) & justification:</i></p> <p><i>Estimated magnitude of risks (1-5) & justification:</i></p> <p><i>Risk significance:</i></p>			
Community, Health, Safety & Security	Is there a risk of exacerbating existing social and stakeholder conflicts through the implementation of project activities? Consider for example existing conflicts over land or natural resources, between communities and the state.		
	Does the project provide support (technical, material, financial) to law enforcement activities? Consider support to government agencies and to Community Rangers or members conducting monitoring and patrolling. If so, is there a risk that these activities will harm communities or personnel involved in monitoring and patrolling?		

	<p>Are there any other activities that could adversely affect community health and safety? Consider, for example, exacerbating human-wildlife conflict, affecting provisioning ecosystem services, and transmission of diseases.</p>		
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<p><i>E&S reviewer conclusions</i></p> <p><i>Estimated likelihood of risks (1-5) & justification:</i></p> <p><i>Estimated magnitude of risks (1-5) & justification:</i></p> <p><i>Risk significance:</i></p>			
<p>Labour and working conditions</p>	<p>Is there a risk that the project, including project partners, would lead to working conditions for project workers that are not aligned with national labour laws or the International Labor Organization’s (ILO) Declaration on the Fundamental Principles and Rights at Work (discriminatory working conditions, lack of equal opportunity, lack of clear employment terms, failure to prevent harassment or exploitation, failure to ensure freedom of association etc.)?</p>		
	<p>Is there an occupational health and safety risk to project workers while completing project activities?</p>		
	<p>Is there a risk that the project supports or is linked to forced labour, harmful child labour, or any other damaging forms of labour?</p>		

E&S reviewer conclusions

Estimated likelihood of risks (1-5) & justification:

Estimated magnitude of risks (1-5) & justification:

Risk significance:

Resource efficiency, pollution, wastes, chemicals and GHG emissions	Is there a risk that project activities might lead to releasing pollutants to the environment, cause significant amounts of waste or hazardous waste or materials?		
	Is there a risk that the project will lead to significant consumption of energy, water, or other resources, or lead to significant increases of greenhouse gases?		
<p><i>E&S reviewer conclusions</i></p> <p><i>Estimated likelihood of risks (1-5) & justification:</i></p> <p><i>Estimated magnitude of risks (1-5) & justification:</i></p> <p><i>Risk significance:</i></p>			
Access restrictions and livelihoods	Will the project include activities that could restrict peoples' access to land or natural resources where they have recognised rights (customary, and legal)? Consider projects that introduce new access restrictions (e.g. creation of a community forest), reinforce existing access restrictions (e.g. improve management effectiveness and patrolling of a community forest), or alter the way that land and natural		

	resource access restrictions are decided (e.g. through introducing formal management such as co-management).		
	Is there a risk that the access restrictions introduced /reinforced/altered by the project will negatively affect peoples' livelihoods?		
	Have strategies to avoid, minimise and compensate for these negative impacts been identified and planned?		
<p><i>E&S reviewer conclusions</i></p> <p><i>Estimated likelihood of risks (1-5) & justification:</i></p> <p><i>Estimated magnitude of risks (1-5) & justification:</i></p> <p><i>Risk significance:</i></p>			
Cultural heritage	Is the Project Area officially designated or proposed as a cultural site, including international and national designations?		
	Does the project site potentially include important physical cultural resources, including burial sites and monuments, or natural features or resources of cultural significance (e.g. sacred sites and species, ceremonial areas) and is there risk that the project will negatively impact this cultural heritage?		
	Is there a risk that the project will negatively impact intangible cultural heritage? Consider for example cultural practices, social and cultural norms in relation to land and natural resources.		

<p><i>E&S reviewer conclusions</i></p> <p><i>Estimated likelihood of risks (1-5) & justification:</i></p> <p><i>Estimated magnitude of risks (1-5) & justification:</i></p> <p><i>Risk significance:</i></p>			
Indigenous Peoples	Are there Indigenous Peoples living within the Project Area, using the land or natural resources within the project area, or with claims to land or territory within the Project Area?		
	Is there a risk that the project negatively affects Indigenous Peoples through economic displacement, negatively affects their rights (including right to FPIC), their self- determination, or any other social or cultural impacts?		
	Is there a risk that there is inadequate consultation of Indigenous Peoples, and/or that the project does not seek the FPIC of Indigenous Peoples, for example leading to lack of benefits or inappropriate activities?		
<p><i>E&S reviewer conclusions</i></p> <p><i>Estimated likelihood of risks (1-5) & justification:</i></p> <p><i>Estimated magnitude of risks (1-5) & justification:</i></p> <p><i>Risk significance:</i></p>			
Biodiversity and sustainable	Is there a risk that project activities will cause adverse impacts on biodiversity (both in areas of high biodiversity value, and outside of these areas) or the functioning of ecosystems?		

use of natural resources	Consider issues such as the use of pesticides, construction, fencing, disturbance, etc.		
	Is there a risk that the project will introduce non-native species or invasive species?		
	Is there a risk that the project will lead to the unsustainable use of natural resources? Consider for example projects promoting value chains and natural resource-based livelihoods.		
<p><i>E&S reviewer conclusions</i></p> <p><i>Estimated likelihood of risks (1-5) & justification:</i></p> <p><i>Estimated magnitude of risks (1-5) & justification:</i></p> <p><i>Risk significance:</i></p>			
Land tenure conflicts	Has the land tenure and use rights in the project area been assessed and understood?		
	Is there a risk that project activities will exacerbate any existing land tenure conflicts, or lead to land tenure or use right conflicts?		
<p><i>E&S reviewer conclusions</i></p> <p><i>Estimated likelihood of risks (1-5) & justification:</i></p> <p><i>Estimated magnitude of risks (1-5) & justification:</i></p> <p><i>Risk significance:</i></p>			
	Have trends in climate variability in the project areas been assessed and understood?		

	Has the climate vulnerability of communities and particular social groups been assessed and understood?		
Risk of not accounting for climate change	Is there a risk that climate variability and changes might influence the effectiveness of project activities (e.g. undermine project-supported livelihood activities) or increase community exposure to climate variation and hazards? Consider floods, droughts, wildfires, landslides, cyclones, etc.		
<p><i>E&S reviewer conclusions</i></p> <p><i>Estimated likelihood of risks (1-5) & justification:</i></p> <p><i>Estimated magnitude of risks (1-5) & justification:</i></p> <p><i>Risk significance:</i></p>			
Other – e.g. cumulative impacts	Is there a risk that the project will contribute cumulatively to existing environmental or social risks or impacts, for example through introducing new access restrictions in a landscape with existing restrictions and limited land availability?		
	Are there any other environmental and social risks worthy of note that are not covered by the topics and questions above?		
<p><i>E&S reviewer conclusions</i></p> <p><i>Estimated likelihood of risks (1-5) & justification:</i></p> <p><i>Estimated magnitude of risks (1-5) & justification:</i></p> <p><i>Risk significance:</i></p>			

SECTION C: SAFEGUARD PROVISIONS			
Stakeholder engagement: requirements 2.1.1-2.1.3	Has a stakeholder analysis been conducted that has identified all stakeholders that could influence or be affected by the project, or is this still to be completed? Please describe.		
	Are the local community and Indigenous Peoples statutory or customary rights to land or resources within the project area already clear and documented, or is further assessment required? Please describe.		
	Are local governance structures and decision-making processes described and understood (including details of the involvement of women and marginalised or vulnerable groups), or is further assessment required? Please describe.		
	Are past or ongoing disputes over land or resources in the project area known and documented, or is there need for further assessment? Please describe.		
Stakeholder consultation: requirements 2.5.1 and 2.5.2	Does the project have a Stakeholder Engagement Plan with clear measures to engage Vulnerable Groups, or is this plan still to be developed? Please describe.		
	Has the Project Coordinator informed all stakeholders of the project, through providing relevant project information in an accessible format, or does this still need to be completed? Please describe.		

Free, Prior and Informed Consent: requirements 2.6.1-2.6.4	Has the project analysed and understood national and international requirements for Free Prior and Informed Consent (FPIC)? Please describe.		
	Has the project identified potential FPIC rightsholders and potential representatives in local communities and among Indigenous Peoples, or is this still to be completed? Please describe.		
	Has the project worked with rightsholders and representatives of local communities and Indigenous Peoples to understand the local decision-making process and timeline (ensuring involvement of women and vulnerable groups), or is this still to be completed? Please describe.		
	Has the project sought consent from communities to 'consider the proposed project', and if so, where is this in principle consent documented? Please describe.		

<p>Grievance Redress Mechanism: requirements 3.16.1</p>	<p>Does the project already have a Grievance Redress Mechanism (GRM), or is this still to be established? Please describe.</p>		
	<p>For projects with a GRM, is this accessible to project affected people? Please describe.</p>		
<p><i>E&S reviewer conclusions for safeguard provisions</i></p> <p><i>Are the project Safeguard Provisions adequately addressed, or to be adequately addressed during the project design phase?</i></p> <p><i>What additional actions need to be conducted during the project design phase?</i></p> <p><i>Any other comments</i></p>			

SECTION D: SCREENING REPORT (NOT TO BE COMPLETED BY PROJECT: FOR USE OF PV E&S REVIEWER)				
Name of E&S reviewer				
Date of E&S screening:				
Project risk rating:	<Include the project risk rating and a clear justification>			
Principle risks and impacts	<Include summary of key project risks & impacts>			
	<Populate summary table with risk significance>			
	E&S topic/ risk area	Likelihood (1-5)	Magnitude (1-5)	Significance (low, moderate, severe, high)
	Vulnerable Groups			
	Gender equality			
	Human Rights			
	Community, Health, Safety & Security			
	Labour and working conditions			
	Resource efficiency, pollution, wastes, chemicals and GHG emissions			
	Access restrictions and livelihoods			
Cultural heritage				

	Indigenous Peoples			
	Biodiversity and sustainable use of natural resources			
	Land tenure conflicts			
	Risk of not accounting for climate change			
	Other – e.g. cumulative impacts			
<i>E&S assessment required</i>	<i><Summarise the type of E&S assessment required and provide recommendations on the scope of the E&S assessment, including the key areas of likely focus>.</i>			
<i>Likely safeguard plans required</i>	<i><Indicate if the ESMP section of the PDD will likely be necessary, and any other safeguard plans that could be relevant to the project; justify & explain>.</i>			

4.3 Environmental and Social Risk Management Plan

Section 3.9.4 of the PDD template.

Complete Table 3.9.4 to describe the mitigation measures in place to address environmental and social risks and impacts. Add a row for each environmental and social risk and impact identified in Sections 3.9.2 and 3.9.3. Mitigation measures will either be plans, protocols, or specific project activities. Where a mitigation measure is a plan (e.g. a community engagement plan), the activities for this plan need to be included in the project design and budgeted for. If a standalone plan, such as a stakeholder engagement plan, or livelihoods restoration plan, or protocol (e.g. H&S protocol) is the mitigation measure, simply list this plan or protocol and ensure that it is annexed to the PDD.

Mitigation measures should include compensation measures (including for example livelihood restoration) if Local Stakeholders are negatively affected by Project Interventions and negative impacts cannot be fully mitigated.

Please see the Environmental and Social Risk Management document, available at the [E&S Safeguards section](#) of the Plan Vivo website, for more guidance on this process.

Table 3.9.4 Environmental and Social Risk and Impact Mitigation Measures

Risk/Impact	Mitigation Measures	Project Activity	Livelihood Indicator
Add type and brief description of risk/impact.	Add numbered list of measures to avoid, minimise or mitigate the identified risk or impact.	For each mitigation measure, cross reference the relevant project activity number from Section 3.6. (e.g. Activity 1.1.1)	For each mitigation measure, cross reference the relevant livelihood indicator from Section 4.3. Cost, frequency and responsibility for monitoring should all be included in Table 4.3.