



Ocean Innovation Challenge Standard Operating Procedure Social and Environmental Commitment Plan



1. Introduction and rationale

Each UNDP OIC supported innovation is required to undergo a Social and Environmental Safeguards screening as part of the procurement process. This is done to ensure that the innovation and related activities meet the UNDP Social and Environmental standards to reduce risks, foster development and protect the environment.

The Social and Environmental Principles and Standards are central to UNDP work, and must be upheld by all UNDP supported projects.

2. Application and Approach

All OIC Innovations have been through the Social and Environmental Screening Process as part of the procurement process. The SESP will be shared with each innovator.

The Social and Environmental Commitment Plan is designed to ensure that the UNDP Safeguard Principles and Safeguard Standards are met and maintained throughout the duration of the project implementation.

The key UNDP Safeguard Principles are:

Principle 1: Human Rights

Principle 2: Gender Equality and Women's Empowerment

Principle 3: Environmental Sustainability

And the UNDP Safeguard Standards are:

Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management

Standard 2: Climate Change Mitigation and Adaptation

Standard 3: Community Health, Safety and Working Conditions

Standard 4: Cultural Heritage

Standard 5: Displacement and Resettlement

Standard 6: Indigenous Peoples

Standard 7: Pollution Prevention and Resource Efficiency

In Section 4, attached, is the template for the Social and Environmental Commitment Plan for the Ocean Innovation Challenge.

The first section is the overview and commitment required of each Ocean Innovator. The table on the following page provides an overview of material measures and actions, and timeframe for these actions. The first three, regular reporting, incidents and accidents, and organization's structure and capacities, and the final measure, project grievance mechanism are required of all Ocean Innovations.

There are four additional material measures and actions that are only required if the SESP for the innovation have been rated at moderate risk or above. The low-risk innovations are not required to take these actions. If there are questions, these should be discussed with the OIC Manager.

In addition, for those innovations that are rated moderate risk or above, a Social and Environmental Safeguards Expert will be contracted by OIC to provide guidance and support to the process, and, as necessary, to support the development of the environmental and social assessment, advise on management tools and instruments, and plans for management of contractors, and conducting the stakeholder engagement plan preparation and implementation. The cost of this expert will be paid by OIC.

It will be the responsibility of the Ocean Innovators to update any Social and Environmental Safeguard issues in the Risk Register, and should there be any change in conditions, the Innovator is obligated to inform the OIC Manager in writing.

It is important to note that if there is any incident or accident, the Ocean Innovator must notify the UNDP OIC Manager in writing within 48 hours after first learning of the incident or accident. The UNDP OIC Manager will advise and may notify the UNDP Safeguards Team and UNDP Country Offices for support or guidance. The Innovator is obliged follow the guidance of the UNDP OIC Manager to resolve or address any issue that may arise in this require.

Please also note that with regards to organizational structure and capacities, this is the responsibility of the innovator. If support in locating materials is needed, the UNDP Ocean Innovator and relevant UNDP Country Offices may be able to provide guidance. For any travel supported by the UNDP OIC, each traveler must complete the BSAFE training [UN Department of Safety and Security](https://training.dss.un.org/user/register), available through <https://training.dss.un.org/user/register> and <https://training.dss.un.org/>. Completion of this training does not imply that UNDP is responsible for traveler's safety, rather these trainings are important tools and reminders for self-protection while abroad.

The SECP should be updated as needed, and regular review and revision may be necessary. This should be discussed on a case-by-case basis with the UNDP OIC Manager.

3. Roles and Responsibilities

Action	Ocean Innovator	OIC Management Team
Preparation of the SECP	Review SESP, and SECP and pose questions in writing for the OIC Manager, or complete and sign	OIC Manager to answer questions with support of the UNDP Safeguards Team, or accept and catalog
Preparation of the detailed SECP for moderate risk Projects	Review the Terms of Reference (TOR) for and agree to support the SES Consultant, including providing full and transparent responses to their questions	Provide the TOR for the SES Consultant, and contract SES Consultant
Finalized SECP	Maintain copy for records	Maintain copy for records

Updating and reporting of social or environmental risks	Include current, ongoing or newly identified risks in Quarterly Risk Register If newly emerging social or environmental risks are noted, discuss those during monthly meeting with OIC Manager	Review and discuss risks with Innovator
Incident or accident reporting	In the event of an accident or incident notify the UNDP OIC Manager within 48 hours for guidance	Receive notification or provide alternate OIC Team member to receive notification. Work with UNDP Safeguards team and UNDP Country Offices as needed, and liaise with Ocean Innovator
Grievance reporting	In the event that there are any grievances that arise, as concerns or complaints, notify the UNDP OIC Manager and follow the UNDPs Accountability Mechanism	Receive notification or provide alternate OIC Team member to receive notification. Work with UNDP Safeguards team and UNDP Country Offices as needed, and liaise with Ocean Innovator
Updating SECPs	On an as-needed basis update SECP and submit to OIC Manager for review, revise as needed	Review, and recommend revisions or approve

5. [Templates](#)

TEMPLATE

Social and Environmental Commitment Plan

Ocean Innovation Challenge

1. *[Innovator name]* will implement material measures and actions so that the Project is implemented in accordance with UNDP's Social and Environmental Standards (SES, www.undp.org/ses). This Social and Environmental Commitment Plan (SECP) sets out material measures and actions, any specific documents or plans, as well as the timing for each of these, to which the Innovator commits to implement.
2. *[Innovator name]* will also comply with the provisions of any other social and environmental documents required under UNDP's SES and referred to in this SECP, such as an Environmental and Social Management Plans (ESMP), Resettlement Action Plans (RAP), Indigenous Peoples Plans (IPPs), and Stakeholder Engagement Plans (SEP), and the timelines specified in those documents.
3. *[Innovator name]* is responsible for compliance with all requirements of the SECP even when implementation of specific measures and actions is conducted by third parties.
4. Implementation of the material measures and actions set out in this SECP will be monitored and reported to UNDP OIC Manager by *[Innovator name]* as required by the SECP as part of the conditions of the agreement, and UNDP will monitor and assess progress and completion of the material measures and actions throughout innovation implementation.
5. As agreed by UNDP and *[Innovator name]*, this SECP may be revised from time to time during Innovation implementation, to reflect adaptive management of Project changes and unforeseen circumstances or in response to assessment of Project performance conducted under the SECP itself. In such circumstances, *[Innovator name]* will agree to the changes with UNDP and will update the SECP to reflect such changes. Agreement on changes to the SECP will be documented through the exchange of letters signed between UNDP and *[Innovators name]*. The *[Innovators name]* will promptly disclose the updated SECP.

MATERIAL MEASURES AND ACTIONS	TIMEFRAME
<p>1 REGULAR REPORTING</p> <p>As part of Project reporting, report on the implementation of the SECP, status of preparation and implementation of related documents required under the SECP, stakeholder engagement activities, functioning of the grievance mechanism(s), and any issues or emerging risks.</p>	<p><i>Quarterly Reporting</i></p>
<p>2 INCIDENTS AND ACCIDENTS</p> <p>Promptly notify UNDP of any incident or accident related to the Project which has, or is likely to have, a significant adverse effect on the environment, the affected communities, the public or workers. Provide sufficient detail regarding the incident or accident, indicating immediate measures taken or that are planned to be taken to address it, and any information provided by any contractor and supervising entity, as appropriate. Subsequently, as per UNDP's request, prepare a report on the incident or accident and propose any measures to prevent its recurrence.</p>	<p><i>Notify the UNDP OIC Manager within 48 hours after learning of an incident or accident</i></p>
<p>3 ORGANIZATIONAL STRUCTURE AND CAPACITIES</p> <p>Ensure qualified staff and resources to support management of social and environmental risks [including] [where relevant, identify specific positions or expertise that will be part of the team e.g. a biodiversity specialist, indigenous peoples specialist, and a health and safety specialist]. [Outline training that may be required for [e.g. staff, stakeholders, communities, Project workers] on:</p> <ul style="list-style-type: none"> • stakeholder engagement • specific aspects of environmental and social assessment and risk management measures • emergency preparedness and response • community health and safety <p>For any travel supported by the UNDP OIC, each traveler must complete the BSAFE UN Department of Safety and Security, available through https://training.dss.un.org/ and https://training.dss.un.org/</p> <p>Completion of this training does not imply that UNDP is responsible for traveler's safety, rather these trainings are important tools and reminders for self-protection while abroad.</p>	<p><i>[Specify by when/how the needed expertise will be in place. Trainings planned.]</i></p>
<p>4 ENVIRONMENTAL AND SOCIAL ASSESSMENT (if needed)</p> <p><i>[Innovators are required to carry out relevant environmental and social assessment (ESA), which may involve different methods and documentation. If the ESA is a draft that needs to be updated, a commitment to make that update should be reflected in the SECP. If no further assessment is required as per Project screening, no additional action need be included in the SECP. See example of an action below].</i></p> <p>[Update or conduct] and implement a site-specific environmental and social assessment for the Project, in a manner acceptable to UNDP.</p>	<p><i>[Indicate timing for preparing the ESA or, if already prepared, the need for implementing the mitigation measures contained in the ESA throughout the Project implementation].</i></p>

MATERIAL MEASURES AND ACTIONS	TIMEFRAME
<p>5 MANAGEMENT TOOLS AND INSTRUMENTS <i>(if needed)</i> [Specify here any other social and environmental safeguards documents and/or plans developed or to be developed, such as an ESMP. The ESMP should include all relevant plans: e.g. occupational health and safety, indigenous peoples plan, etc. All Moderate Risk projects require a management plan to address the risks identified in the UNDP SESP. See example below].</p> <p>[Update or prepare] and implement an Environmental and Social Management Plan (ESMP), as required, in a manner acceptable to UNDP and fit for the purpose, scale and scope of the Project. The ESMP will address the following risks</p>	<p><i>[Indicate timing for preparation. Once prepared, tools and instruments apply throughout Project implementation. Indicate whether the E&S documents and/or plans require UNDP's prior review and approval].</i></p>
<p>6 MANAGEMENT OF CONTRACTORS <i>(if needed)</i> [Some project activities may involve contractors/ subcontractors to carry out physical works. In those cases, the SECP should require the tender documents to reflect the relevant aspects of the SECP. See example below].</p> <p>Incorporate the relevant aspects of the SECP, including the relevant SES documents and/or plans into the specifications of the procurement documents with contractors. Thereafter ensure that the contractors comply with the social and environmental safeguard specifications of their respective contracts.</p>	<p><i>[Indicate timing: e.g. Prior to the preparation of procurement documents. Supervise contractors throughout Project implementation].</i></p>
<p>7 STAKEHOLDER ENGAGEMENT PLAN PREPARATION AND IMPLEMENTATION [A draft SEP should have been prepared as part of the proposal. The SECP should indicate whether a stakeholder engagement plan is needed, plan was already prepared or needs to be updated and require its implementation. See example below].</p> <p>Update, adopt, and implement Stakeholder Engagement Plan (SEP).</p>	<p><i>[Indicate timing: e.g. Before [insert date or milestone]]</i></p>
<p>8 PROJECT GRIEVANCE MECHANISM: Prepare, adopt, maintain and operate a grievance mechanism, including for project workers. This includes workers and potentially affected people know where they can go with any concerns or complaints about the project. This includes through UNDP's Accountability Mechanism (www.undp.org/secu-srm).</p>	<p><i>[Indicate timing: e.g. Prior to [insert date]].</i></p>