



## CI-GEF/GCF PROJECT AGENCY

# ENVIRONMENTAL AND SOCIAL MANAGEMENT FRAMEWORK (ESMF)



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(Version 7)

## DOCUMENT LOG AND CHANGE RECORD

Version	Date	Changes/Comments	Author(s)
01	Oct 2013	ESMF at accreditation	Orissa Samaroo (CI-GEF Team)
02	Jan 2014	Reorganization of ESMF document into two major sections: 1) policies and 2) implementation arrangements (in appendices)	Miguel Morales (CI-GEF Team)
03	Dec 2014	General improvement of ESMF document based on the experience gained after a year of implementation. Gender policy substantially expanded	Miguel Morales (CI-GEF Team) Kame Westerman (CI gender specialist)
04	Jan 2015	Revision of ESMF document by external consultants in preparation for Safeguard Training (Jan 2015)	Greg Radford (ESSA Technologies Ltd.) Miguel Morales (CI-GEF Team)
05	Nov 2015	Substantial improvement of the ESMF document based on CI experts review and feedback during Safeguard Training, including updates of the following policies: Protection of Natural Resources, Involuntary Resettlement, Pest Management, Stakeholders Engagement, and Gender Mainstreaming. Gender considerations were mainstreamed throughout the ESMF	Ian Kissoon (CI-GEF Team) Miguel Morales (CI-GEF Team) Orissa Samaroo (CI-GEF Team) Kame Westerman (CI gender specialist)
06	Feb 2017	Appendix I - Project Safeguard Screening Form updated Appendix VIII - Guidelines on developing a Gender Mainstreaming Plan updated Appendix XI (new) - Minimum safeguard indicators added	Ian Kissoon (CI-GEF Team)
07	Apr 2020 - Nov 2020	Reorganization of policies under an ESMF, introduction of ESS Standards, updating of policies based on a GEF/GCF gap analysis and consultations with internal and external subject experts, and updating appendices including guidance documents, templates and screening form.	Ian Kissoon (CI-GEF/GCF Project Agency) with support from CI's Social Policy and Practice team and DDA International Consulting Ltd.

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## I. ACRONYMS & ABBREVIATIONS

<b>AIS</b>	Alien and Invasive Species
<b>BMP</b>	Biodiversity Management Plan
<b>CI</b>	Conservation International
<b>CSO</b>	Civil Society Organizations
<b>EMP</b>	Environmental Management Plan
<b>ES</b>	Ecosystem Services
<b>ESIA</b>	Environmental and Social Impact Assessment
<b>ESMF</b>	Environmental and Social Management Framework
<b>ESMP</b>	Environmental and Social Management Plan
<b>ESS</b>	Environmental and Social Standard
<b>FPIC</b>	Free, Prior and Informed Consent
<b>GBV</b>	Gender-based Violence
<b>GCF</b>	Green Climate Fund
<b>GEF</b>	Global Environment Facility
<b>GIIP</b>	Good International Industry Practice
<b>GMP</b>	Gender Mainstreaming Plan
<b>IFC</b>	International Finance Corporation
<b>ILO</b>	International Labour Organization
<b>IPM</b>	Integrated Pest Management
<b>IPP</b>	Indigenous Peoples Plan
<b>IUCN</b>	International Union for Conservation of Nature
<b>IVM</b>	Integrated Vector Management
<b>KBA</b>	Key Biodiversity Areas
<b>M&amp;E</b>	Monitoring and Evaluation
<b>NTFP</b>	Non-Timber Forest Products
<b>PIF</b>	Project Identification Form
<b>PPF</b>	Project Preparation Facility
<b>PPG</b>	Project Preparation Grant
<b>SEAH</b>	Sexual Exploitation and Harassment
<b>SEP</b>	Stakeholder Engagement Plan
<b>SMART</b>	Specific, Measurable, Achievable, Relevant, Time specific
<b>TOR</b>	Terms of Reference
<b>UNDRIP</b>	United Nations Declaration on the Rights of Indigenous Peoples
<b>V-RAP</b>	Voluntary Resettlement Action Plan
<b>WB</b>	World Bank
<b>WHO</b>	World Health Organization

## II. DEFINITIONS

<b>Affected Communities</b>	Communities of the local population within the project's area of influence who are likely to be affected by the project.
<b>Complainant</b>	A potentially project-affected party that brings a complaint about a CI-supported project forward, either to a local or country-level dispute resolution system or CI's Director of Compliance.
<b>Critical Natural Habitat</b>	Habitats considered essential for biodiversity conservation, provision of ecosystem services and the well-being of people at the local, national, regional or global levels. They include, among others, existing protected areas, areas officially proposed as protected areas, areas recognized as protected by indigenous and local communities, as well as areas identified as important for conservation, such as Key Biodiversity Areas (KBAs), Alliance for Zero Extinction (AZE) Sites, Important Bird and Biodiversity Areas (IBAs), Biodiversity Hotspot, Ramsar Sites, areas identified as important for ecosystem services such as carbon storage, freshwater provision and regulation, etc.
<b>Degradation</b>	Modification of a critical or other natural habitat that substantially reduces the habitat's ability to maintain viable populations of its native species or support thriving human communities.
<b>Ecosystem Services</b>	Ecosystem services are the benefits that people derive from ecosystems. Ecosystem services may be organized into four types: (i) <i>provisioning services</i> , which are the goods people obtain from ecosystems (i.e. food, freshwater, timber, fibers, medicinal plants); (ii) <i>regulating services</i> , which are the benefits people obtain from the regulation of ecosystem processes (e.g. surface water purification, carbon storage and sequestration, climate regulation protection from natural hazards); (iii) <i>cultural services</i> , which are the nonmaterial benefits people obtain from ecosystems (e.g. sacred sites, areas of importance for recreation and aesthetic enjoyment); and (iv) <i>supporting services</i> , which are the natural processes that maintain the other services (e.g. soil formation, nutrient cycling, primary production). <sup>1</sup>
<b>Environmental and Social Impact Assessment (ESIA)</b>	An instrument to identify and assess the potential environmental and social impacts of a proposed project; evaluate alternatives; and design appropriate mitigation, management and monitoring measures.

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<sup>1</sup> The initiative on a Common International Classification of Ecosystem Services (CICES) has proposed organizing ecosystem services into three broad classifications: provisioning services, regulating and maintenance, and cultural services. See CICES ver. 4.3 at <https://cices.eu/>.

<b>Environmental and Social Management Plan (ESMP)</b>	The ESMP is a coherent compilation of the applicable project-level plans prepared by the Executing Agency/Entity that describes how negative environmental and social impacts will be managed and mitigated during the preparation, design, implementation and monitoring phases of a CI-GEF/GCF funded project.
<b>Environmental Management Plan (EMP)</b>	An Environmental Management Plan (EMP) is a document that identifies a set of mitigation, management, monitoring, and institutional actions to be implemented for CI-GEF/GCF funded projects. The EMP includes safeguard standards related to the Protection of Natural Habitats and Cultural Heritage.
<b>Executing Agency/Entity</b>	Agency or Entity that receives GEF/GCF funding from a GEF/GCF Project Agency in order to execute full or parts of a GEF/GCF project under the supervision of a GEF/GCF Project Agency. The Executing Agency/Entity is responsible for the management, execution and administration of the day-to day activities of a project, in accordance with specific project requirements as articulated by the Project Agency. Project execution implies accountability to the Project Agency for intended and appropriate use of funds, procurement and contracting of goods and services.
<b>Gender</b>	Gender refers to the economic, social, political, and cultural attributes and opportunities associated with being men and women. Gender is a social construct, which does not imply addressing only women’s roles, but the simultaneous consideration of both male and female roles and their interaction in society.
<b>Gender Analysis</b>	A process that examines the differences in women’s and men’s lives, including those which lead to inequity, and applies this understanding to policies and programs.
<b>Gender Responsive</b>	The explicit recognition of local gender differences, norms, and relations and their importance to outcomes in program and policy design, implementation and evaluation, and corresponding activities to respond. This recognition derives from analysis or assessment of gender differences, norms, and relations in order to address gender equity in outcomes.
<b>Gender-based Violence</b>	Any harmful act that is perpetrated against a person’s will and that is based on socially ascribed differences between male and female individuals, including acts that inflict physical, mental, or sexual harm or suffering; threats of such acts; and coercion and other deprivations of liberty, whether occurring in public or in private life.

<b>Gender Equality</b>	The state or condition that affords women and men equal enjoyment of human rights, socially valued goods, opportunities, and resources.
<b>Gender Equity</b>	The process of being fair to men and women. To ensure fairness, measures must be taken to compensate for historical and social disadvantages that prevent women and men from operating on level playing field.
<b>Gender Integration</b>	Strategies applied in program assessment, design, implementation, and evaluation to take gender norms into account and to compensate for gender-based inequalities.
<b>Gender Mainstreaming</b>	The process of incorporating gender into policies, strategies, programs, activities, and administrative functions, as well as the institutional culture of an organization.
<b>Gender Mainstreaming Plan (GMP)</b>	The Gender Mainstreaming Plan (GMP) provides background information about gender dynamics within the project scope, identifies gender-responsive activities of the project and outlines the measures to be implemented to ensure that the project recognizes and respects the different needs and roles of women and men within the project, while mitigating potentially adverse effects of the project on women and men. It also includes a monitoring and evaluation plan that uses sex-disaggregated indicators. This plan addresses issues related to the Gender Mainstreaming Policy.
<b>Gender Role</b>	A set of social and behavioral norms that are considered to be socially appropriate for individuals of a specific sex.
<b>Indigenous Peoples</b>	<p>In this ESMF, the term indigenous peoples is used in a generic sense to refer to a distinct social and cultural group possessing the following characteristics in varying degrees:</p> <ol style="list-style-type: none"> <li>a) Self-identification as members of a distinct indigenous social and cultural group and recognition of this identity by others;</li> <li>b) Collective attachment to geographically distinct habitats, ancestral territories, or areas of seasonal use or occupation as well as to the natural resources in these areas;</li> <li>c) Customary cultural, economic, social, or political systems that are distinct or separate from those of the mainstream society or culture; and</li> </ol> <p>A distinct language or dialect, often different from the official language or languages of the country or region in which they reside. This includes a language or dialect that has existed but does not exist</p>

now due to impacts that have made it difficult for a community or group to maintain a distinct language or dialect.

In some countries, such groups are referred to as indigenous peoples. In other countries, they may be referred to by other terms, such as “indigenous peoples and local communities”, “local communities”, “sub-Saharan African historically underserved traditional local communities”, “indigenous ethnic minorities”, “Afro-descendent communities of South America and the Caribbean”, “ethnic groups”, “aboriginals”, “hill tribes”, “vulnerable and marginalized groups”, “minority nationalities”, “scheduled tribes”, “first nations”, “tribal groups”, “pastoralists”, “hunter-gatherers”, “nomadic groups” or “forest dwellers”. Regardless of which terminology is used, the requirements of this Policy will apply to all such groups.

**Indigenous Peoples Plan (IPP)**

An IPP outlines how the project will seek Free, Prior and Informed Consent (FPIC), and the actions to minimize and/or compensate for the adverse impacts and identify opportunities and actions to enhance the positive impacts of a project for indigenous peoples in a culturally appropriate manner. Depending on local circumstances, a free-standing IPP may be prepared or it may be a component of a broader community development plan.

**Integrated Pest Management Practices (IPM)**

Integrated Pest Management (IPM) is an ecosystem-based strategy that focuses on long-term prevention of pests or their damage through a combination of techniques such as biological control, habitat manipulation, modification of cultural practices, and use of resistant varieties. Pesticides are used only after monitoring indicates they are needed according to established guidelines, and treatments are made with the goal of removing only the target organism. Pest control materials are selected and applied in a manner that minimizes risks to human health, beneficial and non-target organisms, and the environment.

**Integrated Vector Management (IVM)**

Integrated Vector Management (IVM) is a rational decision-making process for the optimal use of resources for vector control. The approach seeks to improve the efficacy, cost-effectiveness, ecological soundness and sustainability of disease-vector control. The ultimate goal is to prevent the transmission of vector-borne diseases such as malaria, dengue, Japanese encephalitis, leishmaniasis, schistosomiasis and Chagas disease (*World Health Organization*).

**Livelihood**

The term “livelihood” refers to the different ways that individuals, families, and communities support themselves to make a living, such



as wage-based income, agriculture, fishing, foraging, other natural resource-based livelihoods, petty trade, and bartering.

<b>Mitigation Hierarchy</b>	<p>The Mitigation Hierarchy is a series of steps that should be pursued before turning to the next, in order to ensure protection of natural habitats and biodiversity. The Mitigation Hierarchy is defined as:</p> <ol style="list-style-type: none"><li><u>Avoid</u> significant habitat loss and/or degradation;</li><li><u>Minimize</u> significant habitat loss and/or degradation when adverse impacts cannot be avoided;</li><li><u>Restore</u> natural habitats when adverse impacts can neither be avoided nor minimized; and</li><li><u>Offset</u> when residual impacts on natural habitats remain, in spite of all reasonable attempts to avoid, minimize and mitigate those impacts. Avoiding impacts on biodiversity through the identification and protection of set-asides.</li></ol>
<b>Natural Habitats</b>	<p>Areas of land and/or water where: a) the biological communities are formed largely by native plant and animal species, and b) human activity has not essentially modified the area's primary ecological functions.</p>
<b>Resource Efficiency and Pollution Prevention Plan</b>	<p>The Resource Efficiency and Pollution Prevention Plan describes measures to be implemented to avoid or minimize the negative impacts that the control and removal of alien and invasive species and the use of pesticides, insecticides, and herbicides may have on the environment and the people to be affected by these activities. The Plan addresses safeguards related to ESSS 5 on Resource Efficiency and Pollution Prevention.</p>
<b>Physical Cultural Resources</b>	<p>Movable or immovable objects, sites, structures, and natural features and landscapes that have archaeological, paleontological, historical, architectural, religious, aesthetic, sacred sites or other cultural significance.</p>
<b>Process Framework</b>	<p>The Process Framework describes the procedures to be developed when a project proposes to create restrictions of access to natural resources. The Process Framework addresses safeguards related to ESS3 on Involuntary Resettlement, Physical and Economic Displacement.</p>
<b>Safeguard</b>	<p>Measure(s) to put in place and/or implemented to protect someone or something or to prevent something undesirable.</p>
<b>Sex-disaggregated Data</b>	<p>Data that is collected and presented separately on men and women. Sex describes the biological and physiological differences that distinguish males, females and intersex.</p>

<b>Significant Habitat Loss, Degradation, and/or Conversion</b>	The elimination and/or severe reduction of the integrity of a critical and/or other natural habitat caused by a major, long-term change in land or water use. Significant conversion may include, for example, land clearing; replacement of natural vegetation (e.g., by crops or tree plantations); permanent flooding (e.g., by a reservoir); drainage, dredging, filling, or channelization of wetlands; or surface mining. In both terrestrial and aquatic ecosystems, conversion of natural habitats can occur as the result of severe pollution. Conversion can result directly from the action of a project or through an indirect mechanism (e.g., through induced settlement along a road).
<b>Stakeholder</b>	An individual or group that has an interest in the outcome of a CI-GEF/GCF supported activity or is likely to be affected by it, such as local communities, indigenous peoples, civil society organizations, and private sector entities, comprising women, men, girls and boys.
<b>Stakeholder Engagement</b>	A process where intervening agencies practice a partnership ethos; treating all other parties with equity and inclusivity, such that stakeholders have meaningful and measurable influence in the conceptualization, design, implementation, and evaluation of programmatic activities.
<b>Stakeholder Engagement Plan (SEP)</b>	The SEP details all the differentiated measures that the Executing Agency/Entity will implement to ensure the effective participation of key project stakeholders, including those identified as disadvantaged or vulnerable stakeholders. The plan includes stakeholder identification and analysis, planning of engagement activities, disclosure of information, consultation and participation, monitoring, evaluation and learning throughout the project cycle, addressing grievances, and on-going reporting to stakeholders.
<b>Sustainable Harvesting of Natural Resources</b>	The use of components of natural resources in a way and at a rate that does not lead to the long-term decline of biological diversity and ecosystem services, thereby maintaining its potential to meet the needs and aspirations of present and future generations' ( <i>adapted from CBD, 1992</i> ).
<b>Voluntary Resettlement Action Plan (V-RAP)</b>	The Resettlement Action Plan (V-RAP) is a document that specifies the procedures that the Executing Agency/Entity will follow and the actions that will be taken to seek consent and agreement, properly resettle and compensate affected people and communities.

**CI-GEF/GCF PROJECT AGENCY**  
**ENVIRONMENTAL AND SOCIAL MANAGEMENT FRAMEWORK (ESMF)**

**III. INTRODUCTION**

1. CI's mission is to empower societies to responsibly and sustainably care for nature, our global biodiversity, for the well-being of humanity.
2. Recognizing the value of safeguards for risk management as well as CI's responsibility as a partner of the Global Environment Facility (GEF), and the Green Climate Fund (GCF), the CI-GEF/GCF Project Agency has developed the *Environmental and Social Management Framework (ESMF)*, which fulfils the minimum *Environmental and Social Safeguard (ESS) Standards requirements of both the GEF and GCF<sup>23</sup>*, and will screen projects for all such environmental and social risks and potential impacts. The ESMF also plays an important role in creating more effective, efficient and equitable conservation outcomes, through enhancing project design and delivery while prioritizing the fulfilment of rights.
3. If CI-GEF/GCF projects are assessed as having minor adverse impacts, these projects may be approved, provided that they include appropriate mitigation and compensation measures and are in overall accordance with CI policies and principles, and the requirements established in the CI-GEF/GCF ESMF.
4. The ESMF, and the corresponding ESS, are informed by Conservation International's Rights-Based Approach (RBA) Policy Papers which include Gender, Indigenous Peoples, Involuntary Resettlement, Partnerships, Research Ethics and Vulnerable Populations.
5. CI considers the different roles and needs of men and women in all aspects of our business decision-making, and will take a gender mainstreaming approach to ensure actions that promote gender equality and equity are incorporated into all projects as a cornerstone conservation efforts.
6. The ESMF consists of four distinct policies: Policy 1: Environmental and Social Safeguards; Policy 2: Gender Mainstreaming; Policy 3: Stakeholder Engagement; and, Policy 4: Accountability and Grievance Mechanisms.
7. The ESMF sets out specific requirements relating to different social and environmental issues. Policies 2, 3 and 4 apply to all CI-GEF/GCF projects and programmes, while the application of the ESSs (as outlined in Policy 1) is established during the environmental, social and climate screening and categorization process. Where it is determined that a project/programme may present certain risks and/or impacts, the requirements of the relevant standard(s) are triggered.

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<sup>2</sup> <https://www.greenclimate.fund/document/environmental-and-social-policy>

<sup>3</sup> [https://www.thegef.org/gef/policies\\_guidelines/safeguards](https://www.thegef.org/gef/policies_guidelines/safeguards)

#### IV. PURPOSE

8. The purpose of the ESMF is to ensure that CI-GEF/GCF project-related adverse environmental and social risks and impacts are *avoided* or, when unavoidable, *minimized* and appropriately *mitigated* and/or *offset (compensated)*. Through the implementation of Policy 2: Gender Mainstreaming (of this ESMF), CI-GEF/GCF will require an approach that enhances gender equality and equity.
9. A key principle of the ESMF is to follow the mitigation hierarchy, i.e. *avoid, minimize, mitigate* or *offset* any harm to the environment and to men and women by incorporating environmental and social concerns as an intrinsic part throughout the project cycle. Any identified adverse environmental and social impacts and risks will be addressed and tracked throughout all stages of the project cycle to ensure that supported activities comply with the policies and practices laid out in the ESMF.
10. Another core component of the CI-GEF/GCF ESMF is the adoption of the Precautionary Principle. The idea here is that when a project/programme activity raises threats of harm to human health or the environment, precautionary measures should be taken even if some cause-and-effect relationships are not fully scientifically established.
11. The objectives of the ESMF are to: (i) strengthen the quality of programming by ensuring a principled approach; (ii) avoid adverse impacts to people and the environment; (iii) minimize, mitigate, and manage adverse impacts where avoidance is not possible; (iv) strengthen CI and partner capacities for managing social and environmental risks; and (v) ensure full and effective stakeholder engagement, including a mechanism to respond to complaints from project-affected people.

#### V. SCOPE OF APPLICATION

12. CI-GEF/GCF will require adherence to the ESMF, and its associated policies for all projects that are implemented through the funding of either GEF or GCF.
13. Where CI is jointly financing a project with bilateral or multilateral funding partners, CI may agree that environmental, social and climate requirements/process/rules and policy of such partners will be applied, provided that such requirements/process/rules and policy are equivalent to CI's and will enable the project to achieve objectives consistent with the ESS of the CI-GEF/GCF ESMF.
14. For projects involving associated facilities, the environment and social assessment will also identify and assess, to the extent appropriate, the potential environmental and social risks and impacts of the facilities.<sup>4</sup> When the Executing Agency/Entity requirements differ from the levels and measures presented in the CI-GEF/GCF ESMF, the Executing Agency/Entity will be required to achieve or implement whichever is more stringent. For

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<sup>4</sup> "Associated facilities" means facilities or activities that are not funded as part of the project and are: (i) directly and significantly related to the project; (ii) carried out, or planned to be carried out, contemporaneously with the project; and (iii) necessary for the project to be viable and would not have been constructed or expanded if the project did not exist.

projects/programs involving multiple sub-projects which are identified, designed and implemented during the course of the project, the EA/EE will carry out appropriate environmental and social assessment of the sub-projects and include measures to strengthen its capacity to conduct environmental and social due diligence.

## VI. INSTITUTIONAL ARRANGEMENTS

### Environmental and Social Safeguard Responsibilities

15. The **CI-GEF/GCF Project Agency** has the overall responsibility for ensuring that environmental and social issues are adequately addressed within the project cycle and will be ultimately responsible for the review and supervision of the implementation of safeguards.
16. The **Executing Agency/Entity** is responsible for designing and executing a project consistent with the requirements as described in this ESMF. This includes monitoring and evaluation of progress of the agreed actions that address safeguard issues during project implementation.
17. The **CI-GEF/GCF Project Agency** will monitor implementation of this ESMF. It will review and approve key documents such as Terms of Reference (TOR) and project-specific safeguard strategies and action plans developed during project preparation. During project preparation, the CI-GEF/GCF Project Agency will be able to request, from an Executing Agency/Entity, all information it requires concerning project effects on Indigenous Peoples and local communities and require further assessment or consultations as well as work on safeguard plans until the ESMF policies have been satisfactorily addressed. CI will also review and approve any action plans developed during project implementation.
18. The **CI-GEF/GCF Project Agency** will also be responsible for oversight of the gender mainstreaming component of the project planning process, including review and approval of the Executing Agency/Entity's Gender Mainstreaming Plan and adequate gender inclusion throughout the final project document.
19. Through its project design review, CI will identify and promote measures to support the equal treatment of women and men, including equitable access to and control over resources and services, improving the participation and decision-making of women in natural resource governance, and equitable socio-economic benefits for women and men.
20. Throughout the project design process, the CI-GEF/GCF Project Agency will maintain contact with the Executing Agency/Entity to obtain clarification on information provided and the preparation process.
21. There are two key decision points during the project preparation process. The safeguard screening of project activities (Appendix I) will identify potential safeguard issues and describe project preparation procedures to further assess potential impacts and design mitigation measures, as needed. Review and approval of the plans developed to assess the adequacy of the project's preparation process and implementation measures vis-à-vis the safeguard issues and requirements, including:
  - a) Compliance with this ESMF, CI policies and commitments, and GEF/GCF environmental and social safeguard policies;

- b) Adherence to the mitigation hierarchy against possible adverse environmental impacts;
  - c) Adherence to the mitigation hierarchy against possible adverse social impacts;
  - d) Adequacy and feasibility of the proposed safeguard mitigation measures and monitoring plans, including, but not limited to, any Environmental and Social Management Plan (ESMP), Resource Efficiency and Pollution Prevention Plan, Indigenous Peoples Plan (IPP), Process Framework or Voluntary Resettlement Action Plan (V-RAP);
  - e) Adequacy of the project's consultations processes and communication of the Accountability and Grievance Mechanism;
  - f) Identification and effective implementation of measures to avoid, minimize, mitigate or offset adverse environmental and social impacts;
  - g) Adequacy, appropriateness and feasibility of the proposed measures to ensure gender equality, including equal access to resources, services, and equal ability to participate in, and benefit from, the project's activities;
  - h) Capacity, including but not limited to technical and financial capacity, of the Executing Agency/ Entity to implement the project and any required safeguard-related measures during the preparation and implementation of the project; and
  - i) Clear documentation of the foregoing available to stakeholders before approval can occur and throughout the project implementation.
22. Through this review, the CI-GEF/GCF Project Agency may find the safeguard process and measures satisfactory or may find the need for further discussion with the Executing Agency/Entity to achieve the objectives of this ESMF, including revising safeguard measures and documents as appropriate. If the costs, risks, or complexity of particular safeguard issues outweigh the expected project benefits, a decision may be taken to not support the project.
23. During project execution, safeguard compliance will be tracked along with performance toward project objectives. At each performance reporting stage, generally on a quarterly basis, the Executing Agency/Entity will revisit the safeguard issues to assess their status and address any issues that may arise. In cases where the Executing Agency/Entity is implementing an ESMP, other project-level plan, or other mitigation measures, it will report on the progress of such implementation in parallel with or as part of reporting for other project elements. The intent of this process is to ensure that the environmental and social safeguard issues, including gender mainstreaming and stakeholder engagement, are continually monitored and adverse effects mitigated throughout project implementation. The CI-GEF/GCF Project Agency will monitor the implementation of safeguards during project implementation through check-in meetings, field visits and project reporting. The CI-GEF/GCF Project Agency will review and approve any safeguard-related action plans required prior to or developed during implementation of projects. Third party (e.g., independent expert, local community, other) monitoring and/or independent audits will be used, where appropriate, to monitor project implementation and/or assess if

environmental and social risk and impact mitigation objectives are being or have been achieved .

24. Project-specific plans (including mitigation plans) are to be disclosed to all rightsholders and stakeholders including affected communities and Civil Society Organizations (CSOs). Before plans can be disclosed, the CI-GEF/GCF Project Agency must review and approve the plans. Executing Agencies/Entities must also disclose to affected parties the final plans prior to implementation and any action plans prepared during project implementation, including gender mainstreaming. In all cases, disclosure should occur in a manner which is timely, meaningful and understandable to the affected people when seeking their consent. The CI-GEF/GCF Project Agency will disclose all approved plans and applicable monitoring reports (once under implementation) on CI-GEF/GCF website.
25. The key responsibilities of the CI-GEF/GCF Project Agency and the Executing Agencies/Entities are described in further detail in the table below. Exact procedures depend on the specific project activities and the local context, for instance, the number of safeguard policies that are triggered and the level of impacts.

**Summary of Roles and Responsibilities by Project Phase**

26. The roles and responsibilities highlighted below describe the major functions of the CI-GEF/GCF Project Agency and the Executing Agency/Entity in the safeguard process during project identification, preparation and implementation.

PROJECT STAGE	CI-GEF/GCF PROJECT AGENCY	EXECUTING AGENCY/ENTITY
<p><b>Identification, Preparation Development</b></p>	<ul style="list-style-type: none"> <li>• Oversee application of the ESMF/safeguards processes including gender mainstreaming.</li> <li>• Analyse the completed Safeguard Screening Form to determine safeguards triggered, including whether a full or limited Environmental and Social Impact Assessment (ESIA) is required.</li> <li>• Review and assess the ESIA TOR, the ESIA document/report and project-level plans, including the adequacy of the assessment of project impacts and the proposed measures to address issues to ensure they meet applicable safeguards standards, prior to project approval.</li> <li>• Approve plans based on a determination that safeguards issues have been adequately addressed. If adverse environmental or social impacts outweigh the expected benefits, CI-GEF/GCF cannot support the project.</li> <li>• Disclose ESIA and project-level plans through CI-GEF/GCF website.</li> </ul>	<ul style="list-style-type: none"> <li>• Provide accurate, reliable and timely information required in the Project Safeguard Screening Form (see Appendix I).</li> <li>• Design, plan, and prepare project concepts and proposals according to the ESMF requirements. This includes the responsibility and requirement to adequately budget and staff the required safeguards focal point.</li> <li>• Conduct the ESIA process, and preparing of mitigation plans resulting from application of the ESMF policies.</li> <li>• Implement all required consultations with project stakeholders, including informing affected communities and explaining the project to them; incorporating feedback from and changes agreed with them; and seeking and documenting their Free, Prior and Informed Consent (FPIC).</li> </ul>

PROJECT STAGE	CI-GEF/GCF PROJECT AGENCY	EXECUTING AGENCY/ENTITY
<b>Implementation</b>	<ul style="list-style-type: none"> <li>• Review and monitor the implementation of project-level plans, including through project kick-off/launch workshops, supervision missions, mid-term reviews, field visits, audits, and follow-up visits as appropriate to the scale, nature, and risks of the project.</li> <li>• Work with the Executing Agency/Entity to identify and plan for corrective measures that achieve the results and uphold the safeguard standards expected under each project, in cases when a project review finds that the Executing Agency/Entity is not following project-level plans (i.e. any of the safeguards-related plans required under CI-GEF/GCF ESMF. If these measures do not succeed in correcting the deficiencies, CI-GEF/GCF may withhold payment, or suspend or cancel the grant, as appropriate.</li> <li>• Identify the need for and approving third-party monitoring or independent audits as appropriate.</li> <li>• Disclose project monitoring reports that include safeguard/performance, and any corrective actions.</li> <li>• Disclose completed project evaluations and results through CI-GEF/GCF website (following donor acceptance, and subject to exclusion of proprietary, confidential and personal information).</li> </ul>	<ul style="list-style-type: none"> <li>• Execute project-level plans and monitoring the effectiveness of risk mitigation measures; ensure compliance with and adherence to all safeguards outlined in each of the plans, and undertake corrective measures in cases where plans have not been satisfactorily executed or where negative or adverse impacts have arisen despite efforts to adhere to project plans.</li> <li>• Inform project-affected, local authorities, other stakeholders and the CI-GEF/GCF Project Agency on project progress and on any unexpected and unintended events affecting those communities in accordance with project-level plan requirements as well as the project's agreed-upon reporting schedule.</li> <li>• Incorporate feedback from project-affected parties and providing and documenting the process to seek their FPIC to any changes in the project-level plans.</li> <li>• Complete Annual Project Implementation Reports (PIRs) and Annual Performance Reports (APRs) to document safeguard monitoring.</li> <li>• Ensure effective operation of a project level grievance redress mechanism and immediately informing the CI-GEF/GCF Project Agency of complaints that carry reputational risks to CI, GEF or GCF.</li> </ul>

## VII: DISCLOSURE OF INFORMATION

27. Disclosure of relevant project information helps project affected people and other stakeholders understand the risks, impacts and opportunities of the project. The Executing Agency/Entity will provide project affected people and other stakeholders with access to relevant information on: (i) the purpose, nature, and scale of the project; (ii) the duration of proposed project activities; (iii) any risks to and potential impacts on such communities and relevant mitigation measures; (iv) the envisaged stakeholder engagement process; and (v) the grievance mechanism. Depending on the scale of the project and significance of the risks and impacts, relevant document(s) to be disclosed as part of stakeholder engagement could range from full Environmental and Social Assessments and Action Plans (i.e., Stakeholder Engagement Plan, Voluntary Resettlement Action Plans, Emergency



Preparedness Plans, Community Health and Safety Plans, socio-cultural analysis and Indigenous Peoples Plans, etc.) with easy-to-understand summaries of key issues and commitments. These documents could also include the Executing Agency/Entity's environmental and social policy and any supplemental measures and actions defined as a result of independent due diligence. Disclosure also includes ongoing reporting to project-affected people and other relevant stakeholders.

### VIII: SUMMARY OF ESMF EXCLUSIONS

#### **CI will not finance projects that:**

1. Contravene major international and regional conventions on environmental issues;
2. Propose to create or facilitate significant degradation and/or conversion of natural habitats of any type (forests, wetlands, grasslands, coastal/marine ecosystems, etc.) including those that are legally protected, officially proposed for protection, identified by authoritative sources for their high conservation value, recognized as protected by indigenous and local communities, or have significant negative socioeconomic and cultural impacts that cannot be cost-effectively avoided, minimized, mitigated and/or offset;
3. Involve adverse impacts on critical natural habitats, including forests that are critical natural habitats, including from the procurement of natural resource commodities, except for adverse impacts on a limited scale that result from conservation actions that achieve a net gain of the biodiversity values associated with the critical natural habitat;
4. Propose to carry out *unsustainable* harvesting of natural resources -animals, plants, timber and/or non-timber forest products (NTFPs)- or the establishment of forest plantations in *critical natural habitats*;
5. Propose the introduction of species that can potentially become invasive and harmful to the environment, unless there is a mitigation plan to avoid this from happening;
6. Involve *involuntary resettlement, land acquisition, and/or the taking of shelter and other assets* belonging to local communities or individuals; through coercion and/or undue influence;
7. Contravene major international and regional conventions on human rights, including rights specific to indigenous peoples;

8. Propose activities that result in the exploitation of and access to outsiders to the lands and territories of indigenous peoples in voluntary isolation and in initial contact;
9. Propose the use and/or procurement of materials deemed illegal under host country laws or regulations or international conventions and agreements, or subject to international phase-outs or bans, such as:
  - a. ozone depleting substances, polychlorinated biphenyls (PCBs) and other specific, hazardous pharmaceuticals, pesticides/herbicides or chemicals;
  - b. wildlife or products regulated under the Convention on International Trade in Endangered Species or Wild Fauna and Flora (CITES);
10. Propose the use and/or procurement of pesticides and hazardous materials that are unlawful under national or international laws, the generation of wastes and effluents, and emissions of short- and long-lived climate pollutants;
11. Involves the removal, alteration or disturbance of any non-replicable or critical cultural heritage, or the use of any intangible cultural heritage without the Free, Prior and Informed Consent of the communities who it belongs to;
12. Include the use of forced labour, trafficking in persons, and child labour. Child labour includes both (i) labour below the minimum age of employment and (ii) any other work that may be hazardous, may interfere with the child's education, or may be harmful to the child's health or to the child's physical, mental, spiritual, moral, or social development; and
13. Involve the design and construction new dams or rehabilitation of existing dams or financing agriculture and water resource management infrastructure that are highly dependent on the performance of dams that potentially affect their performance. (The CI-GEF/GCF Project Agency has not been accredited for the GEF Minimum Standard 7, Safety of Dams).

## **IX. POLICY 1: ENVIRONMENTAL AND SOCIAL SAFEGUARDS**

28. As both a GEF Project Agency, and GCF Accredited Entity, the CI-GEF/GCF Project Agency will ensure that projects comply with the GCF Environmental and Social Policy (including its ESS), and the GEF Minimum Standards for Environmental and Social Safeguards. This also extends to the respective policies concerning Stakeholder Engagement, Indigenous Peoples, Information Disclosure and Gender for both GEF and GCF alike.
29. This section describes all relevant CI-GEF/GCF Project Agency Environmental and Social Safeguard Standards for GEF and GCF funded projects.

30. The description of the implementation arrangements for each ESS and more detailed description of measures to address particular thematic issues pertaining to the respective Standards is provided in the Appendix section of this document.
31. The CI-GEF/GCF Project Agency will publicly disclose documents related to all CI-GEF/GCF Environmental and Social Safeguards Standards and associated policies (as outlined in this ESMF), subject to exclusion of proprietary, confidential and personal information, on its websites at <http://www.conservation.org/GEF> or <https://www.conservation.org/gcf> . The website lists contact information where interested stakeholders can seek further information or documentation and raise their concerns or recommendations to CI-GEF/GCF. The CI-GEF/GCF Project Agency will be responsible for ensuring appropriate response.
32. The Policy on Environmental and Social Safeguards consists of 10 Standards (ESS), which describe the minimum standards that each CI-GEF/GCF funded project must meet or exceed. They are:
  - ESS 1:** Environmental and Social Impact Assessment (ESIA)
  - ESS 2:** Protection of Natural Habitats and Biodiversity Conservation
  - ESS 3:** Resettlement and Physical and Economic Displacement
  - ESS 4:** Indigenous Peoples
  - ESS 5:** Resource Efficiency and Pollution Prevention
  - ESS 6:** Cultural Heritage
  - ESS 7:** Labour and Working Conditions
  - ESS 8:** Community Health, Safety and Security
  - ESS 9:** Private Sector Direct Investment and Financial Intermediaries
  - ESS 10:** Climate Risk and Related Disasters

## ESS 1: ENVIRONMENTAL AND SOCIAL IMPACT ASSESSMENT

### Purpose

33. To ensure that all CI-GEF/GCF supported projects are environmentally and socially sound and sustainable and avoid/mitigate unintentional negative impacts.

### Definitions

34. *Environmental and Social Impact Assessment (ESIA)* is a process to identify, predict and assess the potential environmental and social impacts of a proposed project prior to the making of major decisions or commitments; evaluate alternatives; and design appropriate mitigation, management and monitoring measures.

35. ESS1 follows the *Mitigation Hierarchy* to first avoid potential adverse impacts to people and the environment, or where avoidance is not possible, to then minimize, mitigate, and as a last resort, offset and compensate for potential residual adverse impacts.

### Requirements

36. To comply with this Standard, the CI-GEF/GCF Project Agency will implement a *Safeguard Screening* process for all GEF and GCF funded projects. The purpose of this screening is to categorize projects according to their potential environmental and social impacts.

37. The preliminary *Safeguard Screening* will use a *Project Screening Form* (Appendix I) to cover all safeguards policies. Project activities are screened for potential social and environmental risks prior to the application of planned mitigation and management measures. It is necessary to form a clear picture of potential inherent risks in the event that mitigation measures are not implemented or fail. This means that risks should be identified and quantified as if no mitigation or management measures were to be put in place.

38. The screening outcomes may result in a project being designated as:

- **Category A:** a proposed project is classified as Category A if it has the potential for significant adverse environmental and social impacts that are sensitive, diverse, or unprecedented. These impacts may affect an area broader than the sites or facilities subject to physical works (i.e., the area of influence). A full or comprehensive ESIA is required;
- **Category B:** a proposed project is classified as Category B if its potential adverse environmental and social impacts on human populations or environmentally or socially important areas are less adverse than those of Category A projects. These impacts are site-specific; few if any of them are irreversible; and in most cases mitigation measures can be designed more readily than for Category A projects. A full or limited ESIA is required, depending on the type, degree and extent of the impacts; or
- **Category C:** a proposed project is classified as Category C if it is likely to have minimal or no adverse environmental and social impacts. Beyond safeguard screening, no ESIA action is required for a Category C project. However, specific

project-level safeguard plans will be required by the CI-GEF/GCF Project Agency to strengthen the project compliance with the ESMF policies.

39. If the results from the CI-GEF/GCF Project Agency project safeguard screening finds that an ESIA is necessary, the CI-GEF/GCF Project Agency will require that an ESIA be conducted on activities related to the direct and indirect areas of influence of projects and that the ESIA clearly identifies and addresses direct and indirect, as well as cumulative and potential residual impacts (see Appendix II).
40. The ESIA will be designed to identify impacts and mitigation measures that will be incorporated in project design. The results of the ESIA, including actions to avoid, minimize, mitigate and/or offset the environmental and social impacts, monitor, and report will be included in a project's Environmental and Social Management Plan (ESMP) (see Appendix III).
41. In certain circumstances (i.e. involving policy, programmatic, transboundary interventions) the CI GEF/GCF Project Agency will undertake a Strategic Environmental and Social Assessment (SESA) to ensure that environmental and social aspects are considered effectively in policy, planning and program making.
42. For all Category A and relevant Category B projects, the CI-GEF/GCF Project Agency will ensure that the Executing Agency/Entity will establish, maintain, and strengthen as necessary an organizational structure that defines roles, responsibilities, authority, workplan, and budget to implement the required management plans.
43. Independent expertise will be used in the assessment of environmental and social risks and impacts, where appropriate, including where specialized knowledge may be needed. Independent advisory panels shall be used to support the preparation and implementation of projects and programs where the level and magnitude of risks and potential impacts is deemed high.
44. Third party (e.g., independent expert, local community, other) monitoring and/or independent audits will be used, where appropriate, to monitor project implementation and/or assess if environmental and social risk and impact mitigation objectives are being or have been achieved.
45. Where a CI-GEF/GCF project involves specifically identified physical elements, aspects and facilities that are likely to generate impacts, the required ESIA will outline an emergency preparedness and response plan, and projects will need to be prepared to respond to accidental and emergency situations in an appropriate manner, to prevent and mitigate any harm to people and/or the environment.
46. Projects will be screened for short- and long-term risks posed by climate change and other natural hazards based on established methodologies, and significant risks and potential impacts will be addressed throughout the design and implementation of projects and programs. This shall be in accordance with the requirements as presented in ESS10.
47. Projects will be assessed to identify if they will raise or magnify any potential conflicts among stakeholder groups within the community (for example between groups that share

or compete for resource access, between government and local community interests, etc.) These conflicts will be identified, and avoided/mitigated.

48. Projects will be screened for disadvantaged or vulnerable groups or individuals that may be affected by a project or program and to identify as early as possible, associated risks and potential impacts to ensure that:
  - a) Differentiated mitigation measures are incorporated so that risks and impacts do not fall disproportionately on disadvantaged or vulnerable individuals or groups; and
  - b) Disadvantaged or vulnerable individuals or groups do not face discrimination or prejudice in accessing benefits and resources.
49. The special needs and circumstances of disadvantaged or vulnerable groups or individuals will be addressed in the Environmental and Social Management Plan, or equivalent.
50. Projects will be screened for the differentiated risks and potential impacts of projects and programs on persons with disabilities to ensure non-discrimination and equality, and to provide opportunities for persons with disabilities to participate in and benefit from projects and programs on an equal basis with others.
51. Projects will be screened to identify any risks or potential adverse impacts on women, men, girls and boys and mitigation measures will be reflected in relevant safeguard plans, and differentiated by gender where relevant, including adverse impacts on Gender Equality, Gender-Based Violence (GBV), and Sexual Exploitation and Harassment (SEAH).
52. Discrimination against women or girls, or gender-based discrimination will be prevented.
53. As per para 51 above, risks of GBV and SEAH should be screened and assessed as part of project screening process. If risks of GBV and/or SEAH are triggered, the project will identify:
  - a) Established reporting and response protocols in place, with specific procedures for GBV including confidential reporting with safe and ethical documenting of GBV cases, that indicate when and where to report incidents, and what follow-up actions will be undertaken; and
  - b) Modalities to provide services and redress to survivors.
54. All sub-projects and/or sub-grants activities under the main CI-GEF/GCF project must also meet the minimum requirements of this standard and the ESMF as a whole.
55. The CI-GEF/GCF Project Agency has preliminarily identified five types of project activities that may result in adverse environmental and social impacts that may be associated with CI-GEF/GCF projects, arising from:
  - a) **Protected area creation, expansion or management improvement:** although desirable and often necessary for conservation of biodiversity and ecosystem services, creation or expansion of protected areas carries the possibility of displacing local communities and/or limiting access to natural resources and thus impacting livelihoods of local communities;
  - b) **Investment in business or livelihood development:** projects promoting development -even those characterized as sustainable development, green economies, low-

carbon development, and/or climate change adaptation projects- may have adverse impacts on species, ecosystems (e.g., wind mills on birds, ecotourism on natural habitats), and/or people;

- c) **Civil works:** some impacts may be associated with the construction or rehabilitation of facilities (e.g., roads and structures associated with park management, research facilities, and restoration-related activities or boundary markers);
  - d) **Occupational health and safety:** during construction, a project may expose workers to safety hazards (e.g. construction accidents); and
  - e) **Pest management:** some pest management activities may be supported for ecological restoration to combat pests that damage crops or alien invasive species (AIS), but unless planned and executed with care could create environmental and health risks.
56. The CI-GEF/GCF Project Agency may nonetheless decide to support projects that may create these types of impacts on the condition that the impacts will be limited in time and space, and can therefore be effectively mitigated and that benefits brought by the project activities surpass the costs.
57. Project-level plans may also be developed even when no ESIA is necessary, as a means for coordination and to promote positive impacts. Examples of project-level plans may include an Environmental and Social Management Plan (ESMP), Voluntary Resettlement Action Plan (V-RAP), Process Framework for Restriction of Access to Natural Resources, Indigenous Peoples Plan (IPP), Resource Efficiency and Pollution Prevention Plan, Stakeholder Engagement Plan (SEP), and Gender Mainstreaming Plan (GMP).
58. The Executing Agency/Entity will be required to inform CI GEF/GCF of any instances where a project undergoes a significant change during the implementation phase. In circumstances where implementation of the safeguard requirements is found to be not adequate, CI-GEF/GCF will undertake appropriate measures to address the shortcomings.
59. All plans will be reviewed and approved by the CI-GEF/GCF Project Agency prior to the signature of the grant agreement by the Head of the CI-GEF/GCF Project Agency.
60. Appendix II provides more details about the practical implementation of this Standard.

## ESS 2: PROTECTION OF NATURAL HABITATS AND BIODIVERSITY CONSERVATION

### Purpose

61. To avoid, or mitigate any significant loss or degradation and to maintain and promote the sustainable management, protection, conservation, maintenance, and rehabilitation of *natural habitats* and their associated biodiversity and ecosystem functions and services.

### Definitions

62. *Natural habitats* are defined as land, freshwater, marine areas or airways where: a) the biological communities are formed largely by native plant and animal species, and b) human activity has not essentially modified the area's primary ecological functions.
63. *Critical natural habitats* are those habitats considered essential for biodiversity conservation, provision of ecosystem services and the well-being of people at the local, national, regional or global levels. They include, among others, existing protected areas, areas officially proposed as protected areas, areas recognized as protected by traditional local communities, as well as areas identified as important for conservation, such as Key Biodiversity Areas (KBAs), Alliance for Zero Extinction (AZE) Sites, Important Bird and Biodiversity Areas (IBAs), Biodiversity Hotspot, Ramsar Sites, areas identified as important for ecosystem services such as carbon storage, freshwater provision and regulation, etc.
64. *Significant habitat loss and/or degradation* is defined as the elimination and/or severe reduction of the integrity of a critical and/or other natural habitat caused by a major, long-term change in land or water use. Significant conversion may include, for example, land clearing; replacement of natural vegetation (e.g., by crops or tree plantations); permanent flooding (e.g., by a reservoir); drainage, dredging, filling, or channelization of wetlands; or surface mining. In both terrestrial and aquatic ecosystems, conversion of natural habitats can occur as the result of severe pollution. Conversion can result directly from the action of a project or through an indirect mechanism (e.g., through induced settlement along a road).
65. *Modified Habitats* are areas that may contain a large proportion of plant and/or animal species of non-native origin. Modified habitats can also include areas where human activity has substantially modified an area's primary ecological function or composition. Modified habitats may include, for example, areas managed for agricultural purposes, forest plantations, or reclaimed coastal zones.
66. *Sustainable harvesting of natural resources* is defined as the use of components of natural resources in a way and at a rate that does not lead to the long-term decline of biological diversity and ecosystem services, thereby maintaining its potential to meet the needs and aspirations of present and future generations (*adapted from CBD, 1992*).

### Requirements

67. To protect natural habitats and in accordance with international agreements, the CI-GEF/GCF Project Agency endorses and applies the *precautionary approach*<sup>5</sup> for its projects and programs.

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<sup>5</sup> Principle 15 of the 1992 Rio Declaration on Environment and Development (Rio Declaration)



68. All CI-GEF/GCF project activities will be consistent with existing protected area management plans or other resource management strategies that are applicable to national or local situations.
69. In the design and development of a project and during the Safeguard Screening process, the Executing Agency/Entity is encouraged to utilize first broad and “upstream” assessment and planning, such as landscape planning, river basin planning, and other strategic approaches, to improve project selection and design and maximize sustainability. The Executing Agency/Entity is required to consider direct and indirect project-related impacts on biodiversity and ecosystem services, and identify any significant cumulative and/or residual impacts. This process will consider relevant threats to biodiversity and ecosystem services, especially focusing on habitat loss, degradation and fragmentation, previous protected area status and potential Protected Area Downgrading, Downsizing, and Degazettement (PADDD), alien invasive species, overexploitation, hydrological changes, nutrient loading, and pollution. It will also take into account the differing values attached to biodiversity and ecosystem services by affected communities and, where appropriate, other stakeholders across the potentially affected landscape and/or seascape.
70. Where project affected communities are indigenous peoples, special attention will be given to traditional and customary values placed on ecosystem services, ensuring protection of traditional knowledge and indigenous consent in the provision of such information.
71. In areas of *natural habitat*, mitigation measures will be designed to achieve no net loss and preferably a net gain of the associated biodiversity values and/or ecosystem services where feasible, following the *mitigation hierarchy* described in ESS1 above.
72. To prevent *natural habitat* destruction, fragmentation and/or degradation, the CI-GEF/GCF Project Agency will favour the development of physical infrastructure in areas where natural habitats have already been converted to other uses (i.e. *modified habitats*). Where a project is likely to adversely impact ecosystem services, the Executing Agency/Entity will conduct a systematic review to identify priority ecosystem services. Priority ecosystem services are two-fold: (i) those services on which project operations are most likely to have an impact and, therefore, which result in adverse impacts to project-affected people; and/or (ii) those services on which the project is directly dependent for its operations (e.g., water). When project-affected people are likely to be impacted, they should participate in the determination of priority ecosystem services in accordance with the stakeholder engagement process as defined in ESS1 and Policy 3: Stakeholder Engagement.
73. Where the Executing Agency/Entity has direct management control or significant influence over impacted priority ecosystem services, adverse impacts should be avoided. Where non-significant impacts are unavoidable, the Executing Agency/Entity is required to assess and avoid or mitigate the impacts on ecosystems, including by maintaining sufficient ecological flows in river basin ecosystems. Projects should demonstrate a robust assessment of related risks to impacts on ecosystem service, such as by recommending a systematic accounting for depreciation of natural capital, and for costs associated to environmental change. These should include the inter-sectoral impacts (health, culture, economic, social).

74. Compensation, or offsets, will be used by the CI-GEF/GCF Project Agency and its Executing Agencies/Entities to mitigate adverse impacts on biodiversity and ecosystems in rare cases, only as a last resort, and only in specific instances where implemented to achieve measurable conservation outcomes<sup>6</sup> that can reasonably be expected to result in no net loss and preferably a net gain of biodiversity. Compensation or offsets will only be considered after all other technically feasible avoidance, minimization or restoration measures have been considered; are supported by rigorous, sound science, adhere to the “like-for-like or better” principle<sup>7</sup>; are developed in consultation with independent experts; when sustainable management, support and financing have been secured; and consistent with best practice.
75. The procurement of natural resource commodities that may contribute to significant conversion or degradation of natural habitats shall be avoided, where feasible, or limited to suppliers that can demonstrate that they are not contributing to significant conversion or degradation of natural habitats. This may be demonstrated by delivery of certified product, or progress towards verification or certification under a credible scheme in certain commodities and/or locations). The ability to address these risks will be based in part on the Executing Agencies/Entities’ control or influence over its suppliers.
76. Project and program supported activities shall conform with applicable frameworks and measures related to access and benefit sharing (such as the *Nagoya Protocol*<sup>8</sup>) in the utilization of genetic resources.
77. The CI-GEF/GCF Project Agency will only finance habitat restoration projects that can demonstrate that they will restore or improve biodiversity and ecosystem composition, structure and functions, and that all plantation projects are environmentally appropriate, socially beneficial across genders, and economically viable.
78. Given that the sustainability of a harvesting approach varies according to the resource to be harvested, the carrying capacity of the habitat(s) where the resource exists, and other biological and socioeconomic contexts, whenever a project proposes to carry out sustainable harvesting of natural resources, the Executing Agency/Entity will have to demonstrate the sustainability of the proposed methodology. The sustainability of the proposed harvesting approach must be approved by the CI-GEF/GCF Project Agency: a) before PIF/PPG/PPF submission for resources without known and/or proven sustainability criteria and successful cases of field implementation; and b) before project implementation

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<sup>6</sup> Measurable conservation outcomes for biodiversity must be demonstrated in situ (on-the-ground) and on an appropriate geographic scale (e.g., local, landscape-level, national, regional).

<sup>7</sup> The principle of “like-for-like or better” indicates that biodiversity offsets must be designed to conserve the same biodiversity values that are being impacted by the project (an “in-kind” offset). In certain situations, however, areas of biodiversity to be impacted by the project may be neither a national nor a local priority, and there may be other areas of biodiversity with like values that are a higher priority for conservation and sustainable use and under imminent threat or need of protection or effective management. In these situations, it may be appropriate to consider an “out-of-kind” offset that involves “trading up” (i.e., where the offset targets biodiversity of higher priority than that affected by the project) that will, for critical habitats, meet the requirements set out in this ESMF

starts for resources with known and/or proven sustainability criteria and successful cases of field implementation.

79. For projects that trigger this Standard, Executing Agencies/Entities will be required to develop an *Environmental and Social Management Plan* (ESMP). The ESMP is a document that identifies a set of mitigation, management, monitoring, and institutional actions to be implemented for CI-GEF/GCF funded projects. The ESMP shall include management and mitigation measures that are to be taken in accordance with risks/impacts that have been screened and/or identified through an ESIA (see Appendix IV for details). Specific management measures relating to this Standard (ESS2) can also be presented through a Biodiversity Management Plan (BMP).
80. The ESMP/BMP must be disclosed in a timely manner, before approval process begins, in a place accessible to key stakeholders, including project affected groups and CSOs, in a form and language understandable to them. Further information regarding the requirements of information disclosure is outlined in paragraph 27 under Section VII.
81. Appendix IV provides more details about the practical implementation of this Standard.

### ESS 3: RESETTLEMENT AND PHYSICAL AND ECONOMIC DISPLACEMENT

82. This Standard applies to situations involving:
- a) **Resettlement and physical displacement**, relocation or loss of shelter; and
  - b) **Economic displacement**, including the loss of access to natural resources that lead directly or indirectly to the loss of traditional/subsistence livelihoods, including assets, social capital, cultural identity, among other impacts.
83. This Standard extends to the inclusion of customary rights and not only limited to areas where there are legal rights over access and use of resources. This is based on the understanding that in some countries customary or traditional rights are fully recognized and respected, even when they are not “legal rights” (recognized by specific pieces of legislation, land title, resource use permits, etc.). The CI-GEF/GCF ESMF also requires the application of all of the Environmental and Social Standards to Associated Facilities. Associated Facilities shall therefore meet the requirements of ESS3.

#### **Purpose**

84. To avoid, minimize, mitigate and/or compensate the potential adverse socioeconomic and cultural impacts of resettlement processes and displacement that some CI-GEF/GCF projects might create.

#### **Requirements**

85. Where displacement has already occurred prior to the commencement of CI-GEF/GCF project implementation activities, an audit shall be conducted to identify:
- a) Any gaps of past activities against this Standard; and
  - b) The corrective actions that may be required to ensure compliance with this Standard. A corrective action plan will describe all activities to reach compliance with this Standard in the form of a time-bound plan, including a budget, implementation arrangements, allocation of roles and responsibilities, and an implementation schedule.
86. To ensure any resettlement is voluntary, Executing Agencies/Entities are encouraged to use consultation processes that lead to negotiated settlements meeting the requirements of this ESMF, even if they have the legal means to displace and/or acquire land without the seller’s consent. Such agreements should ensure fair and equitable sharing of benefits associated with project usage of the resources. Particular care is required where the Executing Agency/Entity intends to use or restrict access to natural resources that are central to the identity, culture, and livelihood of project-affected communities of indigenous peoples and their usage thereof may exacerbate livelihood risk.
87. As outlined in Policy 4 of the ESMF (Accountability and Grievance Mechanisms), the Executing Agency/Entity will ensure that a grievance mechanism is established for the project, which will be put in place in order to address specific concerns about compensation, relocation or livelihood restoration that may be raised by affected individuals and communities.

88. The CI-GEF/GCF Project may support project-initiated *voluntary resettlement* after all viable alternatives have been assessed to avoid economic or physical displacement and where consent of affected communities has been sought, obtained and documented.
89. Thus, for projects in which the best alternative to the business-as-usual scenario involves *voluntary resettlement*, Executing Agencies/Entities will be required to design, document and disclose before project implementation begins, a participatory process for developing a *Voluntary Resettlement Action Plan* (V-RAP).
90. Good faith negotiations must be sought and documented as the preferential manner in which to reach a V-RAP. The Executing Agency/Entity shall undertake good-faith efforts to secure negotiated agreements with affected individuals and communities, based on transparent, consistent and equitable compensation standards and procedures to ensure that those people who enter into negotiated agreements maintain the same or better income and livelihood status. Such agreements should provide access for displaced communities and persons to appropriate development benefits from the project.
91. The V-RAP shall:
- describe the project activities;
  - provide a robust baseline assessment of the socio-economic conditions of affected people, as well as their legal tenure and rights;
  - establish eligibility criteria for eligible persons/communities<sup>9</sup>;
  - describe efforts made to minimize displacement;
  - include results from census and socioeconomic surveys;
  - make clear all relevant local laws and customary rights that apply;
  - present the potential asset replacement<sup>10</sup> or economic displacement costs, the basis for how these were estimated, for validation by the affected peoples;
  - present resettlement sites;
  - income improvement or at least restoration;
  - outline institutional arrangements;
  - present an implementation schedule;
  - describe and document participation and consultation, particularly how consent was obtained;
  - discuss accountability and grievance mechanisms;
  - present a budget for effective implementation and monitoring and evaluation; and, outline sources of funding.
92. The V-RAP should include information about how men and women may be affected differentially by resettlement, given their respective roles, responsibilities, uses of natural resources and needs, and put in place gender-responsive measures.

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<sup>9</sup> including people with formal legal rights to land or assets; people without formal legal rights, but with a claim to land or assets that is recognized or recognizable under national law; and people who have no recognizable legal right or claim to the land or assets they occupy or use, but who are occupying or using the land prior to a project-specific cut-off date

<sup>10</sup> Replacement cost is defined as the non-depreciated market value of the assets plus transaction costs (e.g. taxes and legal fees). Market value is defined as the value required to allow project-affected people to replace lost assets with assets of similar value. The valuation method for determining replacement cost should be documented and included in applicable Resettlement plans and be consulted and agreed to as the basis for consent.

93. Where physical displacement occurs, displaced people with title or a claim recognizable under national law shall be provided with:
- a) Choices among feasible resettlement options – including land-based compensation where possible – equal to the existing land in productive potential, location, and security of tenure, ownership and use rights;
  - b) Adequate replacement housing and/or cash compensation, access to services, and resources/organization to support maintenance of social organization and social cohesion;
  - c) Relocation assistance suited to their needs; and
  - d) Assistance to improve, or at least restore, their livelihoods and living standards, in real terms, to pre-displacement levels or to levels prevailing prior to the start of project implementation, whichever is higher.
94. Where economic displacement occurs, affected persons with title or a claim recognizable under national law shall be provided with<sup>11</sup>:
- a) Prompt and adequate compensation for the loss of assets or access to assets, such as sites of productive activity, with replacement property of equal or greater value, or cash compensation at replacement cost;
  - b) Assistance to improve, or at least restore, their livelihoods and living standards, in real terms, to pre-displacement levels or to levels prevailing prior to the start of project implementation, whichever is higher; and
  - c) Transitional support, as necessary.
95. For persons without formal legal rights to land, or claims to such land that could be recognized under national laws, resettlement assistance is provided in case of physical or economic displacement, in lieu of compensation for land, to help improve or at least restore their livelihoods in another location; and in cases of physical resettlement, arrangements to allow them to obtain adequate housing with security of tenure, and compensation for assets other than land (such as dwellings), where feasible.
96. Compensation, assistance, and benefits to affected persons are provided in a timely manner, before project or program activities begin on the acquired land.
97. The CI-GEF/GCF Project Agency will support projects involving *voluntary economic displacement* as long as the Executing Agency/Entity is able to provide documented consent from affected communities.
98. For projects in which the best alternative to the business-as-usual scenario involves *economic displacement* -for example as a result of the creation of new protected areas, enactment of a new zoning scheme, development and implementation of a management plan that requires restrictions, etc.- Executing Agencies/Entities will be required to prepare a Process Framework that describes the nature of the restrictions, the participatory process

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<sup>11</sup> This provision of ESS3 applies to all project-affected parties except those whose livelihoods are derived from either (a) illegal activity under national law or (b) activities which fall under the proposed CI-GEF/GCF ESMF Exclusion List.

by which project components will be prepared, criteria by which displaced persons are eligible, measures to restore livelihoods and the means by which any conflicts would be resolved.

99. When needed, a Displacement Management Plan may also be developed during project implementation phase to provide more detail on the arrangements to assist affected persons to improve or restore their livelihoods. This plan should take into account the different roles, responsibilities, natural resources needs and uses, and livelihoods, of men and women, and arrangements to assist affected persons should be gender-sensitive.
100. V-RAPs and/or Process Frameworks, including documentation of the consultation and /or good faith negotiation process, must be disclosed in a timely manner, before the approval process formally begins, in a place accessible to key stakeholders including project affected groups and CSOs in a form and language understandable to them. For sub-projects requiring land acquisition, these minimum requirements will be applied, as applicable and relevant.
101. In addition to the above requirements, all CI-GEF/GCF funded projects must follow national legislation on resettlement and access and use of natural resources.
102. Appendix V provides more details about the practical implementation of this Standard.
103. In circumstances where the Executing Agency/Entity is a private sector actor, but where land acquisition and resettlement are the responsibility of the government, the Executing Agency/Entity will collabourate with the responsible government agency, to the extent permitted by the Executing Agency/Entity, to achieve outcomes that are consistent with this Standard. In addition, where government capacity may be limited, the executing agency/entity will play an active role during resettlement planning, implementation, and monitoring.

## ESS 4: INDIGENOUS PEOPLES

104. CI recognizes the role that indigenous peoples, through their traditional knowledge and practice, have played in maintaining biodiversity and that many of the places with significant biodiversity remaining overlap with lands owned, occupied, and/or utilized by indigenous peoples. CI has partnered with indigenous peoples in a wide range of ecosystems and capacities from community-based work to support the sustainable and traditional uses of medicinal plants and animals to working with indigenous groups in managing traditional lands to support biodiversity conservation and ecological processes that maintain their lives and livelihoods.
105. ESS4 is informed by CI's Institutional Policy/Rights Based Approach, "*Indigenous Peoples and Conservation International*", which states that CI respects indigenous peoples' individual and collective rights and the instruments that protect them, including but not limited to the International Labour Organization's Convention No. 169 and the United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP).

### **Purpose**

106. To ensure that:
- a) Projects respect indigenous peoples' rights, including their rights to *Free, Prior, and Informed Consent* (FPIC);
  - b) Indigenous peoples involved in the design of the project receive culturally appropriate benefits that are negotiated and agreed upon with the Executing Agency/Entity;
  - c) Potential adverse impacts are avoided or adequately addressed or negotiated and agreed upon through a participatory and consultative approach; and
  - d) The implementation of the project, any required Indigenous Peoples Plan or Framework, and project benefits are monitored by qualified professionals and indigenous peoples.
107. This Standard applies to projects that affect indigenous peoples, whether adversely or positively. Such projects need to be prepared with care and with the full and effective participation of affected communities.

### **Definition**

108. For the purpose of this standard, the term indigenous peoples is used in a generic sense to refer to a distinct social and cultural group possessing the following characteristics in varying degrees:
- (a) Self-identification as members of a distinct indigenous social and cultural group and recognition of this identity by others;
  - (b) Collective attachment to geographically distinct habitats, ancestral territories, or areas of seasonal use or occupation as well as to the natural resources in these areas;
  - (c) Customary cultural, economic, social, or political systems that are distinct or separate from those of the mainstream society or culture; and,



- (d) A distinct language or dialect, often different from the official language or languages of the country or region in which they reside. This includes a language or dialect that has existed but does not exist now due to impacts that have made it difficult for a community or group to maintain a distinct language or dialect.

### **Requirements**

109. All CI-GEF/GCF funded projects are required to:
  - a) Conduct safeguard screening for indigenous peoples as early as possible during the project preparation phase;
  - b) Implement effective participation of indigenous peoples in the preparation of environmental and social impact assessments to assess risks and opportunities and to improve the understanding of the local context and affected communities;
  - c) Implement effective consultation processes with the affected indigenous peoples' communities to fully identify their views and to seek their FPIC for project activities affecting them. FPIC builds on and expands the process of meaningful consultation described in Policy 3 of this ESMF (Stakeholder Engagement) and will be established through good faith negotiation between the Executing Agency/Entity and the project-affected communities of indigenous peoples. The Executing Agency/Entity will document: (i) the mutually accepted process between the Executing Agency/Entity and project-affected communities of indigenous peoples, and (ii) evidence of agreement between the parties as the outcome of the negotiations.
  - d) FPIC does not necessarily require unanimity and may be achieved even when individuals or groups within the community explicitly disagree. While FPIC is a community-level process, it is important to ensure that decisions at the community level are representative of all community members, especially those who have historically been left out of decision-making, such as indigenous women; and
  - e) Develop an *Indigenous Peoples Plan* (IPP) describing measures to avoid adverse impacts and enhance culturally appropriate benefits in each project that may have a direct or indirect impact on indigenous individuals or communities (see Appendix VI).
110. The level of detail necessary to meet the requirements of the IPP shall be proportional to the complexity of the proposed project and commensurate with the nature and scale of its potential effects on the indigenous peoples, whether adverse or positive. This will be determined by the CI-GEF/GCF Project Agency in consultation with the Executing Agency/Entity and the community(ies) in question, based on a subjective assessment of project activities, circumstances of indigenous peoples, social risks and project impacts.
111. Specific measures to achieve these objectives will be incorporated in the IPP developed with the affected indigenous peoples communities.
112. When project or program activities include the commercial development of lands and natural resources central to indigenous peoples' identity and livelihood, or commercial use of indigenous peoples' cultural heritage, the project or program shall inform the affected people of their rights under national and international law and of the scope, nature and

impacts of the potential use, enabling the indigenous peoples to determine the extent of the use of these natural and cultural resources and share equitably in the benefits from such commercial development or use.

113. Where a project or program may affect indigenous peoples in voluntary isolation, appropriate measures shall be taken to recognize, respect, and protect their lands and territories, environment, health, and culture, as well as to avoid all undesired contact. Aspects of the project or program that would result in such undesired contact shall not be processed further.
114. In projects where the Executing Agency/Entity is a private sector actor, but where the government has a defined role in the management of indigenous peoples issues (in relation to the project), the Executing Agency/Entity will collaborate with the responsible government agency, to the extent feasible and permitted by the agency, to achieve outcomes that are consistent with the objectives of this Standard.
115. The Executing Agency/Entity will ensure that a grievance redress mechanism is established for any project (as outlined in Policy 4). This mechanism shall be culturally appropriate and accessible to affected indigenous peoples, and take into account the availability of judicial recourse and customary dispute settlement mechanisms among indigenous peoples/communities.

## ESS 5: RESOURCE EFFICIENCY AND POLLUTION PREVENTION

116. Increased industrial activity, urbanization, and intensive agricultural development often generate increased levels of pollution to air, water, and land, and consume finite resources in a manner that may threaten people and the environment at the local, regional, and global level. Pollution prevention and resource efficiency are core elements of a sustainable development agenda and CI-GEF/GCF projects must meet good international practice in this regard.
117. CI promotes a reduced reliance on synthetic chemical pesticides. Therefore, CI supports the use of demand-driven, ecologically-based, biological or environmental Integrated Pest Management practices (IPM) or Integrated Vector Management (IVM),
118. CI will support policy reform and institutional capacity development to enhance implementation of IPM and IVM based pest management while regulating and monitoring the distribution of pesticides.
119. CI will follow the recommendations and minimum standards as described in the United Nations Food and Agriculture Organization (FAO) International Code of Conduct on the Distribution and Use of Pesticides (Rome 2010) and its associated technical guidelines and procure only pesticides, along with suitable protective and application equipment that will permit pest management actions to be carried out with well-defined and minimal risk to health, environment and livelihoods.
120. The CI-GEF/GCF Project Agency requires that key principles are applied, including a precautionary approach to addressing significant environmental and social challenges; the mitigation hierarchy;<sup>12</sup> the “polluter pays” principle (whereby the cost of mitigation is borne by the polluter, where relevant); and adaptive management techniques (whereby lessons are learned from past management actions and are proactively utilized to predict and improve management as programming progresses).

### **Purpose**

121. The objectives of this Standard are as follows:
  - a) To avoid or minimize adverse impacts on human health and the environment by avoiding or minimizing pollution from project activities;
  - b) To promote more sustainable use of resources, including energy and water;
  - c) To reduce project-related emissions of Greenhouse Gas (GHG);
  - d) To avoid or minimize generation of hazardous waste; and
  - e) To minimize and manage the risks and impacts associated with pesticide use.
122. This Standard outlines a project-level approach to mitigating, minimizing and managing any risks and potential adverse impacts that may be related to resource use and pollution.

### **Definitions**

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<sup>12</sup> The mitigation hierarchy is applied by (a) anticipating and avoiding risks and impacts; (b) where avoidance is not possible, minimizing or reducing risks and impacts; (c) once risks and impacts have been minimized or reduced, mitigating them; and (d) where residual adverse impacts remain, compensating for or offsetting them, where technically and financially feasible.

123. *Integrated pest management (IPM)* is an ecosystem-based strategy that focuses on long-term prevention of pests or their damage through a combination of techniques such as biological control, habitat manipulation, modification of cultural practices, and use of resistant varieties. Pesticides are used only after monitoring indicates they are needed according to established guidelines, and treatments are made with the goal of removing only the target organism. Pest control materials are selected and applied in a manner that minimizes or eliminates risks to human health, beneficial and non-target organisms, and the environment.
124. *Integrated Vector Management (IVM)* is a rational decision-making process for the optimal use of resources for vector control. The approach seeks to improve the efficacy, cost-effectiveness, ecological soundness and sustainability of disease-vector control. The ultimate goal is to prevent the transmission of vector-borne diseases such as malaria, dengue, Japanese encephalitis, leishmaniasis, schistosomiasis and Chagas disease.
125. *Invasive alien species (IASs)* are plants, animals, pathogens and other organisms that are non-native to an ecosystem, and which may cause economic or environmental harm or adversely affect human health. In particular, they impact adversely upon biodiversity, including decline or elimination of native species - through competition, predation, or transmission of pathogens - and the disruption of local ecosystems and ecosystem functions.

### **Requirements**

126. Throughout the project-cycle, project developers and executing agencies/entities will consider and apply technically and financially feasible resource efficiency principles and techniques for improving efficient consumption of energy, water, raw materials and other resources. The Executing Agency/Entity shall apply good international practices to improve resource efficiency, including principles of cleaner production, green design, sustainable infrastructure and sustainable procurement where feasible.
127. CI-GEF/GCF projects will implement a waste management hierarchy by avoiding, and if not possible, minimizing generation of waste, and reusing, recycling, and recovering wastes in a safe manner.
128. CI- GEF/GCF will seek to ensure that alternatives are considered to reduce project-related GHG emissions, in a manner appropriate to the nature and scale of the project operations and impacts. Alternative options may include but are not limited to alternative locations; use of renewable and low-carbon energy sources; energy efficiency; and ecosystem-based adaptation and mitigation measures.
129. CI-GEF/GCF projects will avoid or minimize the potential for community exposure to hazardous materials and substances that may be released by a project. Where there is potential for the public to be exposed to hazards, projects will exercise special care to avoid or minimize their exposure by modifying, substituting, or eliminating the condition or material causing the potential hazards.
130. For pollution prevention, CI-GEF/GCF projects shall avoid and if not possible, minimize and control the intensity and flow of pollutants from routine, non-routine, and accidental

releases. Executing Agencies/Entities shall establish preventive measures wherever possible and ensure that application of pollution prevention and control technologies are consistent with good international practice throughout the programming life-cycle. CI-GEF/GCF projects shall abide by performance levels and measures specified in national law or in good international practice, whichever is more stringent<sup>13</sup>. In addressing potential adverse impacts, CI-GFE/GCF supported projects shall consider ambient conditions and assimilative capacity of the environment, land use, proximity to ecologically sensitive areas, and the potential for cumulative impacts.

131. If project/program activities will generate significant emissions in previously polluted/degraded areas, the Executing Agency/Entity will adopt measures that avoid and minimize potential negative effects, including potential alternative siting. When a project/programme involves historical pollution, the Executing Agency/Entity will establish a process to identify the responsible party. If the historical pollution could pose a significant risk to human health or the environment, the Executing Agency/Entity will undertake a health and safety risk assessment of the existing pollution which may affect communities, workers, and the environment. Any remediation of the site will be appropriately undertaken in accordance with national law and Good International Industry Practice (GIIP), whichever is most stringent.
132. Where CI-GEF/GCF project activities involve high demand for water resources, the Executing Agency/Entity must apply measures to reduce water use and ensure that such usage does not have significant adverse impacts on communities, other users, or on the environment and ecosystems. The project must also assess the cumulative impacts of water use and implement appropriate mitigation measures such as water demand management, efficiency measures, benchmarking usage, alternative supplies, resource contamination avoidance, mitigation of impacts on downstream users, and water use offsets. The CI-GEF/GCF Project Agency will require the application of GIIP for water conservation and efficiency<sup>14</sup>.
133. For projects that require the procurement of eligible pesticides, the Executing Agency/Entity will ensure that these pesticides are procured contingent on an assessment of the nature and degree of associated risks, taking into account the proposed use and intended users.
134. Where pesticides are procured or used:
  - a) The products used do not contain active ingredients that are banned or restricted under applicable international treaties and agreements, or meet the criteria of carcinogenicity, mutagenicity, or reproductive toxicity as set forth by relevant international agencies;
  - b) Adequate restrictions, skills, equipment and facilities are in place to ensure their safe use, taking into account the pesticide's potential risks; and

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<sup>13</sup> For good international practice, see the performance measures in the World Bank Group Environmental Health and Safety Guidelines. Also see the UNECE Convention on Long-range Transboundary Air Pollution and the Convention on the Transboundary Effects of Industrial Accidents.

<sup>14</sup> See for example the UNECE Convention on the Protection and Use of Transboundary Watercourses and International Lakes.

- c) Projects and programs avoid, where feasible, or minimize the use of pesticides that damage non-target species or the natural environment, or contribute towards the development of resistance in pests and vectors.

135. For projects that trigger this Standard, Executing Agency/Entity will be required to develop a Resource Efficiency and Pollution Prevention Plan. The Plan describes measures to be implemented to avoid or minimize the negative impacts that the control and removal of alien invasive species and the use of pesticides, insecticides, and herbicides may have on the environment and the people to be affected by these activities (see Appendix VII for details).

136. The Executing Agency/Entity will ensure that Resource Efficiency and Pollution Prevention Plans are disclosed in a timely manner, in a place accessible to key stakeholders, including project affected groups and CSOs, in a form and language understandable to them.

## ESS 6: CULTURAL HERITAGE

### **Purpose**

137. To ensure that cultural resources, both tangible and intangible, are appropriately preserved and their destruction or damage is appropriately avoided.

### **Definition**

138. *Physical Cultural Resources* (PCR) are movable or immovable objects, sites, structures, and natural features and landscapes that have archaeological, paleontological, historical, architectural, religious, aesthetic, sacred sites or other cultural significance.

139. *Intangible cultural heritage* includes traditions or living expressions inherited from our ancestors and passed on to our descendants, such as oral traditions, performing arts, social practices, rituals, festive events, knowledge and practices concerning nature and the universe or the knowledge and skills to produce traditional crafts.<sup>15</sup>

140. For the purposes of this Standard, the requirements apply to both tangible and intangible cultural heritage.

141. *Replicable cultural heritage* is defined as tangible forms of cultural heritage that can themselves be moved to another location or that can be replaced by a similar structure or natural features to which the cultural values can be transferred by appropriate measures. Archaeological or historical sites may be considered replicable where the particular eras and cultural values they represent are well represented by other sites and/or structures.

142. *Nonreplicable cultural heritage* may relate to the social, economic, cultural, environmental, and climatic conditions of past peoples, their evolving ecologies, adaptive strategies, and early forms of environmental management, where the (i) cultural heritage is unique or relatively unique for the period it represents, or (ii) cultural heritage is unique or relatively unique in linking several periods in the same site.

143. *Critical cultural heritage* consists of one or both of the following types of cultural heritage: (i) the internationally recognized heritage of communities who use, or have used within living memory, the cultural heritage for long-standing cultural purposes; or (ii) legally protected cultural heritage areas, including those proposed by national and sub-national governments for such designation.

### **Requirements**

144. All CI-GEC/GCF activities will analyse feasible project alternatives including site selection and project design in order to prevent or minimize or compensate for adverse impacts and enhance positive impacts on cultural heritage resources.

145. When cultural heritage resources are present in project areas, measures should be put in place to ensure that they are identified and that adverse effects on them are avoided. This is particularly relevant for projects that support development of management plans and

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<sup>15</sup> <https://ich.unesco.org/en/what-is-intangible-heritage-00003>

other land and natural resource use planning, projects that support alternative livelihood activities, and projects that include small infrastructure construction.

146. When deemed necessary (i.e through the screening process), qualified experts, local people, and other relevant stakeholders shall be consulted. Field-based surveys shall also be used in assessing the nature, extent and significance of cultural heritage that may be affected by the project; assessing whether destruction or damage can be avoided; and assessing plans for minimizing/mitigating risks and impacts.
147. Jointly with the rightsholders, the Executing Agency/Entity shall determine whether disclosure of information regarding cultural heritage would compromise or jeopardize its safety or integrity.
148. Chance finds will not be disturbed until an assessment by qualified experts is made. Where national procedures do not exist, appropriate procedures will be developed in line with the assessment by qualified experts.
149. Where the Executing Agency/ Entity has encountered tangible cultural heritage that is replicable and not critical, the executing Executing Agency/ Entity will apply mitigation measures that favour avoidance. Where avoidance is not feasible, the Executing Agency/ Entity will apply a mitigation hierarchy. If this encounter occurs within the territories/lands of an indigenous community, then the process of FPIC must occur before any mitigation measures are undertaken.
150. Where a project or program introduces restrictions to stakeholder access to cultural heritage, continued access shall be arranged in consultation with stakeholders, where feasible subject to overriding safety and security considerations.
151. Where a project or program involves the commercial use of cultural heritage, project-or program-affected parties shall be informed of their rights under national law and of the scope, nature and impacts of the potential use, and arrangements are made to provide for the fair and equitable sharing of benefits from such use, provided this use has been agreed to in an FPIC process.
152. For projects that trigger this Standard, Executing Agencies/Entities will be required to develop a Cultural Heritage Management Plan (CHMP). The CHMP is a document that identifies a set of mitigation, management, monitoring, and institutional actions to be implemented for CI-GEF/GCF projects.



## ESS 7: LABOUR AND WORKING CONDITIONS

### **Purpose**

154. To protect workers by ensuring that risks or potential adverse impacts to workers are avoided or mitigated, and the fundamental rights of workers are respected, consistent with the International Labour Organization's (ILO) Declaration on the Fundamental Principles and Rights at Work. This Standard seeks to promote the fulfilment of these rights.
155. The following requirements are to be applied in a proportional manner based on the nature of the project, its specific activities, the project's associated social and environmental risks and impacts, and the type of contractual relationships with workers engaged in relation to the project.
156. The ESS applies to workers directly engaged by the Executing Agency/Entity, including direct workers, contracted workers, as well as workers engaged by the Executing Agency/Entity's primary suppliers (primary supply workers).

### **Definitions**

157. "Direct workers" are those people employed or engaged directly by the Executing Agency/Entity to work specifically on the project.
158. "Contractual workers" are those people engaged through third parties to perform work related to core functions of the project for a substantial duration.
159. "Primary suppliers" are those suppliers who, on an ongoing basis, provide goods or materials directly to the project that are essential for its core functions.

### **Requirements**

160. Where the screening or assessment processes described under ESS1 identify risks or potential adverse impacts to workers, further assessments are undertaken, and plans are developed, implemented and monitored to manage the risks and potential adverse impacts in such a way that is consistent with this Standard and respects and protects the fundamental rights of workers, consistent with the International Labour Organization's (ILO) Declaration on the Fundamental Principles and Rights at Work, including:
  - a) Freedom of association and the effective recognition of the right to collective bargaining;
  - b) The elimination of discrimination, in respect of employment and occupation;
  - c) The prevention of child labour; and
  - d) The elimination of all forms of forced or compulsory labour.
161. Written labour management policies and procedures (refer to template in Appendix VIII) are established in accordance with applicable national laws, and the requirements of this ESS, and accessible to all workers.
162. Workers are provided with clear and understandable documentation of employment terms and conditions, including their rights under national law related to hours of work, wages,

overtime, compensation and benefits, and those arising from this Standard upon beginning the working relationship and when any material changes occur.<sup>16</sup>

163. Workers engaged by the project are provided regular and timely payment of wages; adequate periods of rest, holiday, sick, maternity, paternity, and family leave; and written notice of termination and severance payments, as required under national laws and the CI GEF/GCF labour management procedures.
164. Decisions relating to any aspect of the employment relationship, including recruitment, hiring and treatment of workers, are made based on the principles of non-discrimination, equal opportunity and fair treatment, and not on the basis of personal characteristics unrelated to inherent job requirements.
165. Appropriate measures are in place to prevent harassment, intimidation, and exploitation, and to protect vulnerable workers, including but not limited to women, children of working age, migrants and persons with disabilities.
166. Migrant workers are employed in accordance with local laws and on comparable terms and conditions as non-migrant workers who are employed in similar work.
167. Workers who participate, or seek to participate, in workers' organizations and collective bargaining, do so without interference, are not discriminated or retaliated against, and are provided with information needed for meaningful negotiation in a timely manner.
168. Where the Executing Agency/Entity either directly or indirectly provide residential or temporary accommodation to workers or requires workers to travel to remote communities, adequate lodging shall be provided. Any accommodation facilities shall provide all basic services<sup>17</sup>, including water and sanitation; in certain cases, medical care should also be provided. The services are provided in a manner consistent with the principles of non-discrimination and equal opportunity.
169. Occupational Health and Safety (OHS) measures are applied to establish and maintain a safe and healthy working environment, and such measures are designed and implemented to address:
  - a) Identification of potential hazards to workers, particularly those that may be life threatening;
  - b) Provision of preventive and protective measures, including modification, substitution, or elimination of hazardous conditions or substances;
  - c) Training of workers and maintenance of training records;
  - d) Documentation and reporting of occupational accidents, diseases and incidents;
  - e) Emergency prevention and preparedness and response arrangements to emergency situations; and
  - f) Remedies for adverse impacts such as occupational injuries, deaths, disability and disease.

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<sup>16</sup> The policies and processes shall be appropriate to the size, locations and workforce of project activities.

<sup>17</sup> Basic services may include security arrangements; appropriate work temperature; safe food; drinking water; access to safe exit in emergency conditions; segregated toilets, washing facilities and sleeping areas for women and men; and access to means of communication with areas outside the project boundary.

170. Workers are informed of applicable grievance and conflict resolution systems provided at the workplace level, which conform to the requirements of Policy 4 (Accountability and Grievance Mechanisms).
171. Workers will be able to use these mechanisms without retribution, and the grievance and conflict resolution systems does not impede access to other judicial or administrative remedies available under the law or through existing arbitration procedures, or substitute for grievance systems provided through collective agreements.
172. CI-GEF/GCF will require the Executing Agency/Entity to identify potential risks of violations of primary supplier workers' fundamental rights and safety and health issues and establish roles and responsibilities for monitoring primary suppliers. If child labour, forced labour, trafficking in persons, unsafe working conditions, or breaches of other fundamental rights are identified, the responsible party will require the primary supplier to take appropriate steps to remedy them.
173. CI-GEF/GCF will contractually require that third parties who receive CI-GEF/GCF funds and who engage workers in association with the project are legitimate and reliable entities and have in place appropriate policies, processes and systems that allow them to operate in accordance with the requirements of this Standard, including having access to a grievance mechanism.

## ESS 8: COMMUNITY HEALTH, SAFETY AND SECURITY

### **Purpose**

174. To ensure that risks or potential impacts to the health, safety and security of project-affected communities are identified, avoided and mitigated.
175. ESS 8 encourages an integrated risk assessment. The health, safety, and security of project affected people must be assessed and mitigated as inter-connected risks in any environmental and social risk assessment. This includes the potential risks for communities already subjected to impacts from climate change or natural hazards that may also experience an acceleration or intensification of impacts due to project activities.
176. This Standard addresses the need to avoid, and where avoidance is not possible, to minimize and mitigate the health, safety and security related risks and impacts that may arise over the lifetime of the project, with particular attention given to marginalized or disadvantaged groups.

### **Requirements**

177. Projects will be screened to identify risks or potential impacts to the health, safety and security of project-affected communities, and further assessments will be carried out, considering:
  - a) the potential exposure of communities to both accidental and natural hazards, particularly where the structural elements of the project are accessible to members of the affected community, or where their failure could result in injury to the community;
  - b) the special needs and exposure of disadvantaged or vulnerable groups or individuals, including in particular women and children;
  - c) the particular risks that may be present in a conflict or post-conflict context;
  - d) the impacts of the project on provisioning and regulating ecosystem services, as they are directly relevant to community health and safety;
  - e) the current or projected effects of climate change and other natural hazards.
  - f) the community exposure to hazardous materials and health risks;
  - g) the potential risks posed to communities by a project's use of rangers, eco-guards, or similar security personnel, whether armed or unarmed;
  - h) the potential risks posed to rangers, eco-guards, or similar security personnel, whether armed or unarmed, in the course of performing their job duties; and,
  - i) threats to human security through the risk of escalation of personal or communal conflict and violence that could be caused or exacerbated by the project.
178. Appropriate measures are designed, implemented and monitored to prevent or avoid any adverse impacts on community health, safety and security, where feasible, or minimized or mitigated, where avoidance or prevention are not feasible.
179. When structural elements or components, such as dams, tailings dams, or ash ponds are situated in high-risk locations, and their failure or malfunction may threaten the safety of communities, projects or programs engage one or more external experts with relevant and recognized experience in similar projects, separate from those responsible for the design and construction, to conduct a review as early as possible in project development and throughout the stages of project design, construction, operation, and decommissioning.

180. Emergency preparedness plans are developed, implemented and monitored in collaboration with stakeholders and relevant authorities, where relevant. An emergency preparedness plan shall include (as appropriate): a) engineering controls (such as containment, automatic alarms, and shutoff systems) proportionate to the nature and scale of the hazard; (b) identification of and secure access to emergency equipment available on-site and nearby; (c) notification procedures for designated emergency responders; (d) diverse media channels for notification of the affected community and other stakeholders; (e) a training program for emergency responders including drills at regular intervals; (f) public evacuation procedures; (g) designated coordinator for implementation; and (h) measures for restoration and cleanup of the environment following any major accident
181. Projects avoid, where feasible, or minimize the risk of community exposure to disease and other relevant health risks, taking into account differentiated levels of exposure, and the needs and exposure of disadvantaged or vulnerable groups or individuals.
182. Adverse impacts on community health and safety<sup>18</sup> sometimes occur as a result of impacts on communal ecosystem services. Measures are required to be taken in order to avoid or minimize adverse impacts on ecosystems services that may arise from project activities. The CI-GEF/GCF Project Agency requires that special attention/considerations be paid to avoid causing or exacerbating potential adverse impacts on marginalized and disadvantaged groups or those groups that have a disproportionate dependence on such services.
183. The Executing Agency/Entity must ensure that appropriate mitigation and management measures are taken to address risks and potential impacts on health and safety of communities arising from the influx of project-related workers in a given area. Such risks and impacts may be associated with changes in population composition, health implications and exposure to communicable diseases, threats of sexual violence and harassment, crime, and increased vulnerability of communities due to increased pressure on already scarce natural resources. Measures shall be taken that seek to protect community members from such risks.
184. Where CI-GEF/GCF project requires the engagement of security providers/personnel, the Executing Agency/Entity will ensure that such security arrangements do not violate international human rights standards or principles<sup>19</sup>. The risks posed by such security arrangements to the potentially affected community will be assessed to ensure that those providing security are appropriately vetted, trained and supervised. Allegations of unlawful or abusive acts will be monitored, reviewed, with actions taken to prevent recurrence against individuals and communities.
185. All CI-GEF/GCF-funded projects, other than those determined during the screening process to be low risk, will be required to assess their potential to expose communities to disease risk. This will require the borrower/grant recipients to undertake health impact assessment and, proportionate to the degree of potential risk, to include risks assessment focused primarily on pandemic risk.

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<sup>18</sup> Examples include loss of natural buffers which could increase the flooding risks

<sup>19</sup> International human rights standards and principles include the UN Basic Principles on the Use of Force and Firearms by Law Enforcement officials, the UN Code of Conduct for Law Enforcement Officials, the Voluntary Principles on Security and Human Rights, and the International Code of Conduct on Private Security Providers

186. CI-GEF/GCF projects will (when necessary) identify, evaluate and monitor the potential traffic and road safety risks to workers, affected communities and road users throughout the project life cycle and, where appropriate, will develop measures and plans to address them.
187. The Executing Agency/Entity will avoid or minimize the potential for community exposure to hazardous materials and substances that may be released by the project. Where there is a potential for the public (including workers and their families) to be exposed to hazards, particularly those that may be life threatening, the Executing Agency/Entity will exercise special care to avoid or minimize their exposure by modifying, substituting, or eliminating the condition or material causing the potential hazards.
188. Outside of the initial CI-GEF/GCF Safeguard Screening Form (Appendix I), the primary tool for assessing risks as related to ESS 8, is the CI Risk Assessment matrix which includes a corresponding list of potential mitigation measures. The Risk Assessment tool (Appendix IX) is one of the main ways in which ESS8 is operationalized if/when triggered by a given project.

## ESS 9: PRIVATE SECTOR DIRECT INVESTMENTS AND FINANCIAL INTERMEDIARIES<sup>20</sup>

### Purpose

189. The purpose of this Standard is to promote good environmental and sound human resources management where the CI-GEF/GCF Project Agency makes either direct investments in private sector firms, or channels funds through Financial Intermediaries (FIs).
190. The nature of financial intermediation means that the FIs will assume delegated responsibility for environmental and social assessment, risk management and monitoring as well as overall portfolio management. The effectiveness of the FI's environmental and social risk management will be evaluated and monitored by the CI-GEF/GCF Project Agency on a continuous basis throughout the project lifecycle in line with the requirements of this ESMF.

### Requirements

191. Environmental and Social Management System: FIs and direct investees are required to develop and maintain, in the form of an Environmental and Social Management System (ESMS), effective environmental and social systems, procedures and capacity for assessing, managing, and monitoring risks and impacts of subprojects, as well as managing overall portfolio risk in a responsible manner. This shall be proportionate to the risks and impacts of the given projects, and the risk profile of the FI's portfolio. An ESMS commensurate to the risk profile of the FI should typically consist of the following elements:
- a) Environmental and Social (E&S) Policy: An E&S policy states the E&S requirements and standards that apply to the FI's lending/investment activities and that will be used to manage the E&S risk associated with the FI's portfolio of borrowers/investees. This should include a commitment by the FI to have its non-retail transactions comply with the ESS in addition to applicable local environmental and social regulations.
  - b) Identification of risks and opportunities: A process to identify the E&S risks and impacts associated with its lending/investment activities.
  - c) Management programs: Management programs are centred on Environmental and Social Action Plans that should point to improved procedures that are necessary for the FI's clients to avoid, minimize or compensate for identified risks and impacts.
  - d) Internal organizational capacity and competency: Refers to designated personnel with E&S responsibilities and track record to ensure that resources are available for the effective implementation of the ESMS across the organization.
  - e) Emergency preparedness and response: A system to respond to accidental and emergency situations regarding the FI's own operations.
192. Stakeholder engagement: The FI or direct investee will put in place procedures for external communications on environmental and social matters proportionate to the risks and

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<sup>20</sup> CI may finance private sector projects through either direct investment, or through financial intermediaries. When CI provides support to FIs, the funds are then "on-lent" or "on-granted" to sub-projects. A "FI subproject" is the ultimate project or activity supported by the FI. If a FI provides financial support to another FI (for example, through a loan or guarantee) the FI subproject is the project or activities supported by the participating FI. For example, where the FI provides a loan to a rural finance institution, which then lends (via a sub-loan) to a farmer (sub-borrower) who uses the loan to expand farming operations, the FI subproject is the expanded farming operation. Direct investments are different, only in that the recipient of CI support uses the funding to support initiatives that are under its direct control.

impacts of the given sub-projects, and the risk profile of the FI's portfolio. The FI will respond to public enquiries and concerns regarding relevant environmental and social matters in a timely manner. FIs shall be required to publish their corporate environmental and social policy or a summary of their ESMS on their website, if available. FIs will list on their website the link to any publicly available environmental and social impact assessment reports for high-risk sub-projects that they finance.

193. Grievance Redress: The FI will provide an adequate project level grievance redress mechanism, that is in line with the requirements of Policy 4: Accountability and Grievance Mechanisms, of this ESMF.
194. Monitoring and Reporting: The FI will submit, in a form acceptable to CI-GEF/GCF, annual environmental and social reports on the implementation of its ESMS. The FI will promptly notify CI-GEF/GCF in written form of any significant accidents or incidents associated with FI subprojects. If the risk profile of an FI subproject increases significantly, the FI will notify the CI-GEF/GCF Project Agency. The FI will make available relevant information on project monitoring and performance to stakeholders in an appropriate fashion.



## ESS 10: CLIMATE RISK AND RELATED DISASTERS

### Purpose

196. Climate change impacts pose a fundamental threat to sustainable development and the fight against poverty. They have the potential to stall and even reverse human development through their impacts on key development sectors and activities, including agriculture and food production, water, ecosystems and other natural resources, disaster risk management and health. Climate change has become a key driver of hydro-meteorological disasters and has the potential to produce negative impacts through gradual environmental changes and may exacerbate extreme weather events, increasing the risk of slow and sudden-onset, high-impact disasters. Climate variability is contributing to the increasing frequency and impact of small-scale localized disasters with far-reaching long-term socio-economic and developmental impacts.
197. The Paris Agreement indicates that the long-term goal is to keep the increase in global average temperature to well below 2 °C above pre-industrial levels; and to pursue efforts to limit the increase to 1.5 °C, recognizing that this would substantially reduce the risks and impacts of climate change
198. The purpose of this Standard is to:
  - a) Ensure alignment of CI GEF/GCF projects with the goals of the Paris Agreement and other international frameworks;
  - b) Ensure that proposed activities are screened and assessed for climate change and disaster risks and impacts both of-and-to projects;
  - c) Apply the mitigation hierarchy in project design;
  - d) Strengthen resilience of communities to address risks of climate change impacts and climate related disasters; and,
  - e) Increase the ability of communities to adapt to the adverse impacts of climate change, and foster climate resilience and low greenhouse gas emitting projects that do not threaten food production.

### Requirements

199. *Climate change analysis (impact of climate change on projects):* The CI-GEF/GCF Project Agency acknowledges the threat that climate change impacts and risks pose to sustainable development and has integrated considerations for such potential adverse risks and impacts throughout the standards of the ESMF (most notably within ESS1 and ESS5). During the Safeguard Screening process, the CI-GEF/GCF Project Agency will require that all projects are assessed to determine the exposure and sensitivity of the project objectives to climate-related risks based on available information about historic climate hazard occurrences, current climate trends, and future climate change scenarios.
200. The Safeguard Screening will also assess the likelihood of the project increasing the vulnerability of the expected target populations to climate hazards (e.g. maladaptation). Executing Agencies/Entities should analyse physical, social, economic and environmental

factors or processes which increase the susceptibility and vulnerability of relevant communities to potential climate change impacts and hazards - with a particular focus on marginalized and disadvantaged groups and individuals. Consideration should be given to potential specific gender, age and social vulnerabilities and differentiated impacts.

201. In this regard, the need for clear and robust risk identification and mitigation measures is important. As the project cycle moves forward, with project locations and the types of investment options narrowed down, a more detailed climate analysis should be undertaken. This can specifically inform the nature and types of investments or at least the way that they are undertaken, for example the need for “climate proofing” of infrastructure. This has cost implications that should be reflected in the project budgeting.
202. *Climate change analysis (impact of projects on GHG emissions)*: In line with the requirements of ESS 5 (Resource Efficiency and Pollution Prevention), the Executing Agency/Entity must seek to reduce direct as well as indirect greenhouse gas emissions.
203. Alternatives and implementation of technically and financially feasible options to reduce GHG emissions should be considered. Options may include alternative locations; use of renewable and low-carbon energy sources; energy efficiency; use of low-global-warming-potential coolants for air-conditioning and refrigeration; “climate-smart” agriculture and livestock management practices; and, ecosystem-based adaptation and mitigation measures.
204. Where GHG emissions may be significant, potential sources should be characterized and estimated to form a baseline for reducing such emissions, providing such estimation is technically and financially feasible. The borrower/grant recipient should support and adopt GHG-accounting methodologies for programming activities according to good international practice; and protect, conserve and, where appropriate, incorporate carbon sinks in programming activities.

## X. POLICY 2: GENDER MAINSTREAMING

205. This section outlines CI-GEF/GCF Project Agency requirements and approach to mainstreaming gender equality and equity into all project activities and operations.
206. The CI-GEF/GCF Project Agency recognizes that social and cultural norms greatly influence the roles, responsibilities, needs, interests and priorities of men and women in project areas. Furthermore, the CI-GEF/GCF Project Agency recognizes that historical and current disadvantages often put women in a position of less power, control and influence in decision-making. Therefore, projects must take a systematic and proactive approach in order to promote gender equality and equity in all aspects of the project activities, project design and implementation, as well as monitoring and evaluation. The purpose of this Policy, and its implementation, is to mitigate potentially adverse effects of project activities on men and women, to contribute to closing gender gaps in access to and control over resources, to improve participation and decision-making of women in natural resource governance, and to promote equitable socio-economic project benefits.

### **Purpose**

207. To mainstream gender through designing, implementing and monitoring projects in such a way that projects::
- a) Do not exacerbate existing gender-related inequalities and, where relevant, address gender gaps;
  - b) Strive to provide equal opportunities for men and women to benefit; and
  - c) Provide equal opportunities for women and men to actively participate and make decisions throughout identification, design, implementation, monitoring and evaluation, including in project consultations.

### **Definitions**

208. *Gender* refers to the roles, behaviours, activities, and attributes that a given society at a given time considers appropriate for men and women. In addition to the social attributes and opportunities associated with being male and female and the relationships between women and men and girls and boys, gender also refers to the relations between women and those between men. Gender is part of the broader socio-cultural context, including class, race, poverty level, ethnic group, sexual orientation, and age. In most societies there are differences and inequalities between women and men in responsibilities assigned, activities undertaken, access to and control over resources, as well as decision-making opportunities
209. *Gender Analysis* means a critical examination of how differences in gender norms, roles, power structures, activities, needs, opportunities and rights affect men, women, girls and boys in a certain situation or context. It includes collection and analysis of sex-disaggregated data and gender information to understand gender differences and gaps, determine gender differentiated impacts and risks, to identify measures to avoid adverse gender impacts, and to uncover and act on opportunities to address gender gaps and inequalities relevant to the activity.

210. *Gender Equality* means the equal rights, responsibilities and opportunities of women and men and girls and boys. Equality does not mean that women and men will become the same but that women's and men's rights, responsibilities and opportunities will not depend on whether they are born male or female.
211. *Gender Equity* is the process of being fair to men and women, depending on their respective needs. Measures must be taken to address the barriers that prevent women and men from participating meaningfully and benefitting from project activities.
212. *Gender Mainstreaming* means the process of assessing the implications for women and men of any planned action, including legislation, policies or programs. It is a way to make women's as well as men's concerns and experiences an integral dimension of the design, implementation, monitoring and evaluation of policies and programs so that women and men benefit equally and that inequality is not perpetuated.
213. *Gender Gap* means any disparity and inequality between women and men's condition due to their position or role in society. It concerns inequalities in terms of their participation, their access to opportunities, rights, power to influence and make decision, incomes and benefits, and control and use of resources.
214. *Gender Roles* are a set of social and behavioural norms that are considered to be socially appropriate for individuals of a specific sex.
215. *Gender Responsive* means that the particular needs, priorities, power structures, status and relationships between men and women are recognized and adequately addressed in the design, implementation and evaluation of activities. The approach seeks to ensure that women and men are given equal opportunities to participate in and benefit from an intervention and promotes targeted measures to address inequalities and promote the empowerment of women.
216. *Gender-Sensitive Indicator* means an indicator that can be used at various levels to monitor and report on socio-economic and gender-sensitive changes over a period of time.
217. *Sex-disaggregated Data* includes information that is collected and presented separately on men and women. Sex describes the biological and physiological differences that distinguish males, females and intersex.

### **Requirements**

218. The Executing Agency/Entity is responsible for mainstreaming gender throughout the project, as appropriate, using qualified professionals and pulling on relevant research, studies, and consultations.
219. For all GEF/GCF funded projects, Executing Agencies/Entities will conduct a Gender Analysis and develop a *Gender Mainstreaming Plan (GMP)*. The plan will identify specific gender-responsive activities that are critical to fulfilling project gender requirements, including a monitoring and evaluation plan using gender-sensitive and sex-disaggregated indicators.

- a) The GMP must include an assessment of gender roles, responsibilities, uses, and needs relating to the natural resources on which the project will be based (e.g. use and control patterns, participation in management and decision-making, benefits sharing, etc.) and both short-term and long-term impacts of the project on men and women. The assessment should take an intersectional approach that identifies impacts on women and men of different ages, ethnicities, social structure and status.
  - b) The GMP must identify ways to ensure that the project activities and decision making are designed to be as inclusive as possible regardless of gender and the benefits are shared and distributed equitably.
  - c) The GMP must identify specific actions and activities to ensure that gender-related adverse impacts of the project are avoided, minimized, and/or mitigated appropriately, and additional actions and activities to close relevant gender gaps.
  - d) The GMP must also identify specific indicators and targets for monitoring & evaluating progress towards gender equality within the project.
220. The CI GEF/GCF Project Agency will review and approve the GMP and oversee execution.
221. In addition to the GMP, the Executing Agency/Entity is required to ensure that gender considerations outlined in the plan are also fully embedded throughout the project document, results framework, project budget and annual workplans.
222. Appendix XII provides a template for the preparation of the GMP.

## XI. POLICY 3: STAKEHOLDER ENGAGEMENT

223. CI is committed to ensuring meaningful, effective and informed participation of stakeholders in the formulation and implementation of CI-GEF/GCF programmes and projects.
224. Effective stakeholder engagement is a cornerstone to achieving sustainable development. Meaningful engagement with stakeholders, including access to timely, relevant, and understandable information and grievance redress, are key aspects of a human rights-based approach to programming. Government partners, civil society actors and organizations, local government actors, indigenous peoples, local communities and other stakeholders are crucial partners. Effective stakeholder engagement is also fundamental to attaining the Sustainable Development Goals (SDGs) and addressing the principle of ‘leave no one behind’ in combatting inequality and ensuring equity and non-discrimination across all programming areas.

### **Purpose**

225. To seek and incorporate the knowledge and contributions of rightsholders, partners and stakeholders to ensure that CI-GEF/GCF funded projects results in lasting and fundamental improvements for nature and human well-being.
226. Therefore, all CI-GEF/GCF funded projects must:
- a) Identify and involve key and vulnerable stakeholders in project design and preparation processes to understand local needs and avoid adverse impacts;
  - b) Ensure that stakeholders views and concerns are taken into account by the project and are addressed by key decision-makers;
  - c) Engage stakeholders in meaningful consultations where they are able to express their views on project plans, benefits, risks, impacts, and mitigation measures that may affect them; and
  - d) Incorporate the knowledge of stakeholders and address any concerns during all phases of the project;
  - e) Include clear procedures for stakeholders to request additional information;
  - f) Ensure that such consultations are gender responsive; free of manipulation, interference, coercion, discrimination and intimidation; and responsive to the needs and interests of disadvantaged and vulnerable groups; and
  - g) Continue consultations throughout project implementation, monitoring and evaluation, as necessary, to ensure project adaptive management and proper implementation of environmental and social safeguard plans.

### **Definitions**

227. *Stakeholders* are persons or groups who are directly or indirectly affected by a project, as well as those who may have interests in a project and/or the ability to influence its outcome, either positively or negatively. *Stakeholders* may include locally affected communities or individuals and their formal and informal representatives, national or

local government authorities, politicians, religious leaders, civil society organizations and groups with special interests, the academic community, or other businesses (*IFC, 2007*).

228. *Stakeholder Engagement* is process where intervening agencies practice a partnership ethos; treating all other parties with equity and inclusivity, such that stakeholders have meaningful and measurable influence in the conceptualization, design, implementation, and evaluation of programmatic activities.<sup>21</sup>
229. *Affected communities* are communities of the local population within the project’s area of influence who are likely to be affected by the project.

### **Requirements**

230. The CI GEF/GCF Project Agency requires that stakeholder engagement be included in all its supported projects/programs and throughout their respective project/financing cycles.
231. The CI-GEF/GCF Project Agency will oversee the Executing Agency/Entity to ensure the involvement of all key stakeholders, including project-affected communities, indigenous peoples, and local CSOs, as early as possible in the design/preparation process to ensure that their views and concerns are made known, taken into account, all adverse effects are avoided and opportunities to benefit local needs are incorporated. The CI-GEF/GCF Project Agency recognizes that projects are context specific, and that the requirements of Policy 3 listed below may be achieved in different levels depending on said context.
232. Efforts should be made to ensure that stakeholder groups of historically vulnerable or marginalized people (e.g. women, youth, elders, religious/ethnic minorities) are able to fully and effectively participate in this process, which may require separate or targeted engagement.
233. Ideally, stakeholder engagement should involve the public in problem-solving and solutions/changes should be shared in public forum. The joint effort by stakeholders, in-country representatives, Executing Agencies/Entities, and the CI-GEF/GCF Project Agency ensures better results. Executing Agencies/Entities must ensure that the key principles of the CI-GEF/GCF Policy on Gender Mainstreaming (i.e. Policy 2 of this ESMF) – ensuring that both men and women are given equal access to information and decision-making processes - is incorporated throughout stakeholder engagement.
234. Executing Agencies/Entities should identify the range of stakeholders that will be affected by project activities or may be interested in their actions and consider how external communications might facilitate a dialogue with all stakeholders. Participatory stakeholder mapping methods should be used to ensure updated or accurate identification is achieved.
235. Stakeholders should be informed and provided with information regarding project activities in a language and format that is easily understood by them. Where projects involve specifically identified physical elements, aspects and/or facilities that are likely to generate adverse environmental and social impacts to affected communities the

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<sup>21</sup> Pfeiffer, J., and Dunne, P. June 2020. A Road Map to Excellent Stakeholder Engagement. Arlington, VA: Conservation International.

Executing Agency/Entity will identify the affected communities and will meet the relevant requirements described below.

236. The Executing Agency/Entity is responsible for drafting and executing the Stakeholder Engagement Plan (SEP) for all GCF/GEF funded projects (see Appendix XIII for SEP template) that is scaled to the project risks and impacts and development stage, and be tailored to the characteristics and interests of the affected communities, recognizing that some community members may not be able to effectively communicate outside of the local language. A SEP encompasses all project activities during design, implementation and closure.
237. Where applicable, the SEP will include differentiated measures to allow the effective participation of those identified as disadvantaged or vulnerable.
238. When the stakeholder engagement process depends substantially on community representatives, the Executing Agency/Entity will make every reasonable effort to verify that such persons do in fact represent the views of affected communities and that they can be relied upon to faithfully communicate the results of consultations to their constituents.
239. Design and any update of SEP should incorporate stakeholder input.
240. The CI-GEF/GCF Project Agency will review and approve all SEPs and oversee their execution.
241. For Category A projects (high risk), stakeholder engagement through consultations must occur in a formalized/documented manner at a minimum twice:
  - a) The first instance of consultation must occur at scoping where the Terms of Reference (TOR) for the ESIA must be distributed to the project affected people and other stakeholders in order to receive additional requirements for the ESIA report; and
  - b) The second instance where consultation must occur is prior to approval of the project by the CI-GEF/GCF Project Agency. In both instances, the CI-GEF/GCF Project Agency will require documentation of the consultations to first approve the ESIA report and finally to approve project.
242. Once the ESIA has been completed, stakeholder engagement will focus on the implementation of the project. Plans to ensure ongoing stakeholder engagement processes must continue throughout the life of the project. The nature, frequency, and level of effort of stakeholder engagement may vary considerably and will be commensurate with the project's risks and adverse impacts, and the project's phase of development.
243. Should the Executing Agency/Entity be required to develop a stand-alone ESMP, an IPP, a Resource Efficiency and Pollution Prevention Plan, a GMP, a Process Framework, and/or a V-RAP, these documents will be disclosed to all affected communities, Indigenous Peoples and local communities in a form, manner and language appropriate for the local context. In addition, disclosure will also be made in the country of project implementation and at



multiple locations within country of execution in a form, manner and language appropriate for the local context. In cases where confidentiality is necessary to protect stakeholders from harm, statistical information will be recorded and made publicly available. Disclosure will occur in the following stages:

- a) Disclosure of assessment documents (e.g., draft ESIA) and draft safeguard documents (e.g., IPP) during project preparation. Disclosure during project preparation aims to seek feedback and input from indigenous peoples and local communities, and as appropriate other stakeholders, on the safeguard issues identified and the measures incorporated in project design to address them.
- b) Disclosure of all assessments prior to project approval;
- c) Disclosure of all assessments when they have been finalized and approved by the CI-GEF/GCF Project Agency (prior to project implementation); and
- d) Ongoing disclosure during and after conclusion of project activities to inform communities of implementation activities, potential impacts, measures taken to address them, etc.

## XII. POLICY 4: ACCOUNTABILITY AND GRIEVANCE MECHANISM

### Purpose

244. To ensure compliance of CI-GEF/GCF Project Agency's ESMF standards and requirements, and to provide for the receipt of and timely response to resolution of complaints from parties affected of CI-GEF/GCF funded projects.

### Requirements

245. The CI GEF/GCF Project Agency requires that all projects have a form of project-level Accountability and Grievance Mechanism (AGM). Projects may utilise a pre-existing local/national AGM if it fulfils the requirements of the CI-GEF/GCF Project Agency's ESMF, however, some projects may have to develop their own free-standing project-level AGM if an adequate local/national one does not exist. The project AGM should be funded by the project. It should escalate to CI Ethics point as a secondary recourse.
246. These AGM must be designed to:
- a) Address potential breaches of CI's policies and procedures;
  - b) Be independent, transparent, and effective;
  - c) Be reasonably accessible to project-affected people;
  - d) Keep complainants abreast of progress with cases brought forward;
  - e) Maintain records on all cases and issues brought forward for review, with due regard for the confidentiality of complainants' identity and of information; and
  - f) Take appropriate measures to minimize the risk of retaliation to complainants and protect the legitimacy, trust, and use of the grievance mechanism.
247. The Executing Agency/Entity will be responsible for informing project-affected parties about the AGM and the measures taken to reduce the risk of retaliation.
248. Affected communities and other interested stakeholders may raise a grievance at any time to the Executing Agency/Entity, CI, or GEF/GCF. Therefore, contact information of the Executing Agency/Entity, CI-GEF/GCF's Project Agency, and the applicable donor will be made continuously and publicly available. The AGM shall be accessible for all project stakeholders and should be provided in a culturally appropriate and accessible form.
249. The mechanism required to report a grievance must be designed to be reasonably accessible and not cost prohibitive to key and vulnerable stakeholders.
250. As a first step, project-related grievances should be communicated to the Executing Agency/Entity, which will respond to grievances in writing within 15 calendar days of receipt and provide a copy of the grievance and response to the CI-GEF/GCF Project Agency. This response should propose a process for resolving the conflict.
251. If this process does not result in resolution of the grievance, or at the grievant's discretion they may file a claim through CI's **EthicsPoint Hotline** at <https://secure.ethicspoint.com>

252. Through ***EthicsPoint***, CI will acknowledge receipt of the claim within 48 hours, determine eligibility, and initiate the assessment and response process. All claims will be filed and included in project monitoring processes.
253. Alternatively, the grievant may file a claim with the Director of Risk Management & Compliance (DOC) who is responsible for the CI's Accountability and Grievance Mechanism and who can be reached at [ethics@conservation.org](mailto:ethics@conservation.org) or:

**Mailing address:**

Director of Risk Management & Compliance  
Conservation International  
2011 Crystal Drive, Suite 600  
Arlington, VA 22202, USA.

254. Projects requiring FPIC or triggering an Indigenous Peoples Plan (IPP) will also include local conflict resolution and grievance redress mechanisms in the respective safeguard documents. These will be developed with the participation of the affected communities in culturally appropriate ways and will ensure adequate representation from vulnerable or marginalized groups and sub-groups, such as women and youth.
255. Appendix XIV provides a template for preparing an AGM.

### XIII: APPENDICIES

## **APPENDIX I: Safeguard Screening Form**

### **CI-GCF/GEF PROJECT AGENCY ENVIRONMENTAL AND SOCIAL SAFEGUARD SCREENING FORM**

**Preliminary Screening** (check if performed at GEF Project Identification Form (PIF) Stage or GCF Concept Note (CN) Stage)

**Secondary Screening** (check if performed at the end of the GEF Project Preparation Grant (PPG) Stage or GCF Funding Proposal Development Stage)

#### **Guidance Notes**

1. This Safeguard Screening Form is guided by the CI-GEF/GCF Project Agency's Policy on Environmental and Social Safeguard Standards, which forms part of the CI-GCF/GEF Project Agency Environmental and Social Management Framework (ESMF).
2. The CI-GCF/GEF Project Agency undertakes environmental and social safeguard screening for every project to determine the risk categorization for the project, the safeguard standards triggered by the project, and the mitigation measures to be implemented by the project.
3. Safeguard screenings are performed at (i) PIF/CN stage (Preliminary Screening) using the finalized versions of the PIF/CN; and (ii) PPG/PPF stage (Secondary Screening) using the project document when details of activities, project intervention areas and executing arrangements, among others, have been finalized. Additional screenings may be performed at any time when significant changes have emerged including but not limited to new proposed activities, changes in local/national context of project intervention areas, and where environmental and social risks have increased.
4. The CI-GCF/GEF Project Agency classifies the project into one of three categories, depending on the type, location, sensitivity and scale of the project and the nature and magnitude of its potential environmental and social impacts. The descriptions of the categories and lists of types of projects identified in Appendix II of the CI-GCF/GEF ESMF. These descriptions are meant to serve as guidance and are not exhaustive.
5. The CI-GCF/GEF Project Agency does not fund projects that involve the construction or rehabilitation of large or complex dams, and resettlement of people. The CI-GCF/GEF Project Agency cannot support projects that contradict CI's mission and policies.
6. The Executing Agency/Entity is responsible for fully completing and providing accurate responses to each question in this Screening Form, and to submit the completed Form to CI-GCF/GEF Project Agency in a timely manner.
7. The CI-GCF/GEF Project Agency is responsible ensuring that the project complies with the CI-GCF/GEF Policy on Environmental and Social Safeguard, and will use the completed Screening Form to determine the mitigation measures for the Executing Agency/Entity to implement.
8. In addition to preparing and implementing mitigation measures for the environmental and social standards triggered, the Executing Agency/Entity will also need to comply with CI-GEF/GCF's policies on gender, stakeholder engagement and accountability and grievance

mechanism. As such the Executing Agency/Entity will be required to prepare a Gender Mainstreaming Plan, a Stakeholder Engagement Plan, and an Accountability and Grievance Mechanism (see to ESMF for details).

9. The Executing Agency/Entity is responsible for informing the CI-GCF/GEF Project Agency in a timely manner, if at any time during the preparation and implementation of the project, the information provided in this Screening Form changes in a way that results in the risks of the project being increased.
10. For additional information/clarification, please contact Ian Kissoon, Director of ESMF, CI-GCF/GEF Project Agency at [ikissoon@conservation.org](mailto:ikissoon@conservation.org) or your GEF/GCF Project Manager.

I. PROJECT INFORMATION		
<b>GCF/GEF Project ID:</b>	<b>Country:</b>	
<b>Project Title:</b>		
<b>Name of the Executing Agency/Entity:</b>		
<b>Length of Project: ___ months</b>	<b>Anticipated Start date:</b>	<b>Anticipated End date:</b>
<b>GCF Results Area(s) / GEF Focal Area(s):</b>		
<b>GCF/GEF Project Amount: USD</b>	<b>Co-Financing Amount: USD</b>	
<b>Project Objectives:</b>		
<b>Project Components and Main Activities Proposed:</b>		
<b>Safeguard Screening Form Completed by:</b>		
<b>Date of Submission/Resubmission of Completed Form to CI-GEF/GEF:</b>		
<b>CI-GEF/GCF Comments:</b>		

## II. PROJECT CONTEXT

### Project Location

- Indicate where the project will take place AND provide a legible map highlighting the project intervention areas, towns/communities/indigenous territories, protected areas, and main rivers/watersheds):

### Biological Context of Project Area

- Indicate global significance (e.g. biodiversity hotspot, Ramsar site, Key Biodiversity Area) of the project area.
- Identify endemic and IUCN Red Listed species.
- Describe the environmental conditions of the area including pollution, threats to biodiversity, and natural disasters.

### Socio-economic Context of Project Area

- Describe the broad economic, social and cultural context of, and local communities living in, the area of the proposed project including information on number of men, women, indigenous people, disadvantaged/vulnerable/disabled groups, economic/livelihood activity, household income
- Describe how men and women access, use, manage and govern the natural resources that the project seeks to focus on
- Describe the extent of gender-based violence (GBV). Is GBV relatively high at the national and project level? Is the project planning to introduce activities that may perpetuate or exacerbate GBV?

### Institutional Capacity

- Describe the institutional experience in implementing environmental and social safeguards, gender and stakeholder engagement.
- Indicate the number of staff dedicated (part/full-time) to safeguards, gender and stakeholder engagement.
- Describe the capacity of the above staff (are they subject experts such as gender specialist or have they been trained in safeguards, gender and stakeholder engagement).

### Additional Information

- Describe any risks or factors that may affect or contribute to the project implementing safeguard measures/plans.

### III. ESMF EXCLUSIONS

This section will help the CI-GEF/GCF Project Agency to determine whether they can support a project. Please provide accurate answers and details including supporting documents, where requested. If you answered “Yes” to any of the questions (i-xiii) then the CI-GEF/GCF Project Agency cannot support the project.

Will the project:	Yes	No
I. Contravene major international and regional conventions on environmental issues?	<input type="checkbox"/>	<input type="checkbox"/>
II. Propose to create or facilitate significant degradation and/or conversion of natural habitats of any type (forests, wetlands, grasslands, coastal/marine ecosystems, etc.) including those that are legally protected, officially proposed for protection, identified by authoritative sources for their high conservation value, recognized as protected by traditional local communities, or have significant negative socioeconomic and cultural impacts that cannot be cost-effectively avoided, minimized, mitigated and/or offset?	<input type="checkbox"/>	<input type="checkbox"/>
III. Involve adverse impacts on critical natural habitats, including forests that are critical natural habitats, including from the procurement of natural resource commodities, except for adverse impacts on a limited scale that result from conservation actions that achieve a net gain of the biodiversity values associated with the critical natural habitat?	<input type="checkbox"/>	<input type="checkbox"/>
IV. Propose to carry out <i>unsustainable</i> harvesting of natural resources -animals, plants, timber and/or non-timber forest products (NTFPs)- or the establishment of forest plantations in <i>critical natural habitats</i> ?	<input type="checkbox"/>	<input type="checkbox"/>
V. Propose the introduction of species that can potentially become invasive and harmful to the environment, unless there is a mitigation plan to avoid this from happening?	<input type="checkbox"/>	<input type="checkbox"/>
VI. Involve <i>involuntary resettlement, land acquisition, and/or the taking of shelter and other assets</i> belonging to local communities or individuals; through coercion and/or undue influence?	<input type="checkbox"/>	<input type="checkbox"/>
VII. Contravene major international and regional conventions on human rights, including rights specific to indigenous peoples?	<input type="checkbox"/>	<input type="checkbox"/>
VIII. Propose activities that result in the exploitation of and access to outsiders to the lands and territories of indigenous peoples in voluntary isolation and in initial contact?	<input type="checkbox"/>	<input type="checkbox"/>
IX. Propose the use and/or procurement of materials deemed illegal under host country laws or regulations or international conventions and agreements, or subject to international phase-outs or bans, such as: a. ozone depleting substances, polychlorinated biphenyls (PCBs) and other specific, hazardous pharmaceuticals, pesticides/herbicides or chemicals; and b. wildlife or products regulated under the Convention on International Trade in Endangered Species or Wild Fauna and Flora (CITES)?	<input type="checkbox"/>	<input type="checkbox"/>
X. Propose the use and/or procurement of pesticides and hazardous materials that are unlawful under national or international laws, the generation of wastes and effluents, and emissions of short- and long-lived climate pollutants?	<input type="checkbox"/>	<input type="checkbox"/>
XI. Involves the removal, alteration or disturbance of any non-replicable or critical cultural heritage, or the use of any intangible cultural heritage without the Free, Prior and Informed Consent of the communities who it belongs to?	<input type="checkbox"/>	<input type="checkbox"/>

#### IV. SIMPLIFIED APPROVAL PROCESS (GCF Projects ONLY)

Questions XIV through XXII are **ONLY for GCF Projects** pursuing the Simplified Approval Process (SAP). If you answer “Yes” to any of the questions below, your project will undergo further review to determine eligibility for the Simplified Approval Process.

Will the project:		Yes	No
XII.	Involve associated facilities <sup>22</sup> and require further due diligence of such associated facilities?	<input type="checkbox"/>	<input type="checkbox"/>
XIII.	Involve trans-boundary impacts including those that would require further due diligence and notification to downstream riparian states?	<input type="checkbox"/>	<input type="checkbox"/>
XIV.	Adversely affect working conditions and health and safety of workers or potentially employ vulnerable categories of workers including women or child labour?	<input type="checkbox"/>	<input type="checkbox"/>
XV.	Generate hazardous waste and pollutants including pesticides and contaminate lands that would require further studies on management, minimization and control and compliance to the country and applicable international quality standards?	<input type="checkbox"/>	<input type="checkbox"/>
XVI.	Involve the construction, maintenance, and rehabilitation of critical infrastructure (i.e. dams, water impoundments, coastal and river bank infrastructure) that would require further technical assessment and safety studies?	<input type="checkbox"/>	<input type="checkbox"/>
XVII.	Involve the resettlement and dispossession, land acquisition, and economic displacement of persons and communities?	<input type="checkbox"/>	<input type="checkbox"/>
XVIII.	Be located in protected areas and areas of ecological significance including critical habitats, key biodiversity areas and internationally recognized conservation sites?	<input type="checkbox"/>	<input type="checkbox"/>
XIX.	Affect Indigenous Peoples that would require further due diligence, free, prior and informed consent (FPIC) and documentation of development plans?	<input type="checkbox"/>	<input type="checkbox"/>
XX.	Be located in areas that considered to have archeological (prehistoric), paleontological, historical, cultural, artistic, and religious values or contains features considered as critical cultural heritage?	<input type="checkbox"/>	<input type="checkbox"/>

<sup>22</sup> Associated facilities are those that are not funded as part of the project, and that would not have been constructed or expanded if the project did not exist and without which the project would not be viable.



## V. ENVIRONMENTAL AND SOCIAL SAFEGUARDS (ESS) SCREENING

This section will help the CI-GEF/GCF Project Agency to determine the category of the project and the ESS Standards triggered by the project. Please provide accurate answers and details including supporting documents, where requested.

### ESS1: Environmental and Social Impact Assessment

Will the project potentially:

- (a) cause significant adverse environmental and social impacts (which may affect an area broader than the project area) that are sensitive, diverse, or unprecedented; or
- (b) cause adverse environmental and social impacts (which are site-specific and few if any of them are irreversible) on human populations or environmentally or socially important areas?

- NO (to all of the above)  
 TO BE DETERMINED  
 YES (to any of the above)

If TBD or Yes, please provide details here.

- (c) Has a full or limited ESIA that covers the proposed project already been completed?

- NO  
 YES (If Yes, answer the following)

(d) Is the assessment a: <input type="checkbox"/> A FULL ESIA <input type="checkbox"/> A LIMITED ESIA	Yes	No
(e) Does the assessment meet its terms of reference, both procedurally and substantively?	<input type="checkbox"/>	<input type="checkbox"/>
(f) 3. Does the assessment provide a satisfactory assessment of the proposed project?	<input type="checkbox"/>	<input type="checkbox"/>
(g) 5. Does the assessment describe specific environmental and social management measures (e.g., avoidance, minimization, mitigation, compensation, monitoring, and capacity development measures)?	<input type="checkbox"/>	<input type="checkbox"/>
(h) 6. Does the assessment identify capacity needs of the institutions responsible for implementing environmental and social management issues?	<input type="checkbox"/>	<input type="checkbox"/>
(i) 7. Was the assessment developed through a consultative process with key stakeholder & rightsholder engagement, including issues related to gender mainstreaming and Indigenous Peoples?	<input type="checkbox"/>	<input type="checkbox"/>
(j) 8. Does the assessment assess the adequacy of the cost of and financing arrangements for environmental and social management issues?	<input type="checkbox"/>	<input type="checkbox"/>

For any "no" answers, describe below how the issue has been or will be resolved or addressed.

## ESS 2: Protection of Natural Habitats and Biodiversity Conservation

Will the project:

- (a) involve adverse impacts on Critical Habitats<sup>23</sup>, including forests that are Critical Habitats, including from the procurement of natural resource commodities, except for adverse impacts on a limited scale that result from conservation actions that achieve a Net Gain of the Biodiversity values associated with the Critical Habitat;
- (b) contravene applicable international environmental treaties or agreements; or
- (c) introduce or use potentially invasive, non-indigenous species?
- (d) affect species identified as threatened at the local and/or global levels?
- (e) implement habitat restoration activities?

- NO (to all of the above)
- TO BE DETERMINED (TBD)
- YES (to any of the above)

If TBD or Yes, please provide details here. In the case of Protected Areas, provide name, location, area size, management category, governance arrangement, and current management activities of protected areas being affected by the project.

## ESS 3: Resettlement, Physical and Economic Displacement

Will the project

- (a) involve the voluntary or involuntary resettlement of people;
- (b) restrict land use and access; or
- (c) cause economic displacement of people?

- NO (to all of the above)
- TO BE DETERMINED (TBD)
- YES (to any of the above)

If TBD or Yes, please provide details here.

<sup>23</sup> Critical Habitat means a Habitat with high Biodiversity value, including (i) Habitats of significant importance to Critically Endangered or Endangered species, as listed on the International Union for the Conservation of Nature (IUCN) Red List of threatened species or equivalent national approaches, (ii) Habitats of significant importance to endemic or restricted-range species, (iii) Habitats supporting globally or nationally significant concentrations of migratory or congregatory species, (iv) highly threatened or unique ecosystems, and (v) ecological functions or characteristics that are needed to maintain the viability of the Biodiversity values described in (i) to (iv).

#### ESS 4 : Indigenous Peoples <sup>24</sup>

Does the project plan to:

- (a) work in lands or territories traditionally owned, customarily used, or occupied by indigenous peoples?
- (b) cause impacts on land and natural resources, including restrictions on land use or loss of access to natural resources, subject to traditional ownership or under customary use or occupation, or the location of a project or program on such land or the commercial development of such natural resources;
- (c) cause relocation of Indigenous Peoples from land and natural resources subject to traditional ownership, or under customary use or occupation; or
- (d) cause significant impacts on an Indigenous People’s cultural heritage that is material to the identity and/or cultural, ceremonial, or spiritual aspects of the affected Indigenous People’s lives, or the use of such cultural heritage for commercial purposes;

- NO (to all of the above)
- TO BE DETERMINED (TBD)
- YES (to any of the above)

If TBD or Yes, please provide details here.

#### ESS 5: Resource Efficiency and Pollution Prevention

Will the project:

- (a) promote the trade in or use of any substances listed under the Stockholm Convention on Persistent Organic Pollutants, or other chemicals or hazardous materials subject to international bans, restrictions or phaseouts due to high toxicity to living organisms, environmental persistence, potential for bioaccumulation, or potential depletion of the ozone layer, consistent with relevant international treaties and agreements;
- (b) generate wastes and effluents, and emissions of short- and long-lived climate pollutants;
- (c) involve pest management measures, Integrated Pest Management or Integrated Management of Vectors and Intermediate Hosts;
- (d) procure pesticides; or
- (e) use energy, water and other resources and material inputs, where significant water consumption is involved and would cause adverse impacts on communities, other water users, and the environment?

- NO (to all of the above)
- TO BE DETERMINED (TBD)
- YES (to any of the above)

If TBD or Yes, please provide details here.

<sup>24</sup> According to CI Policy on Indigenous Peoples, “CI identifies indigenous peoples in specific geographic areas by the presence, in varying degrees, of: a) Close attachment to ancestral and traditional or customary territories and the natural resources in them; b) Customary social and political institutions; c) Economic systems oriented to subsistence production; d) An indigenous language, often different from the predominant language; and f) Self-identification and identification by others as members of a distinct cultural group”.

### ESS 6: Cultural Heritage<sup>25</sup>

Will the project implement activities that affect cultural heritage (both tangible and/or intangible), including archaeological, paleontological, historical, architectural, and sacred sites including graveyards, burial sites, and sites with unique natural values?

- NO  
 TO BE DETERMINED (TBD)  
 YES

If TBD or Yes, please provide details here.

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<sup>25</sup> *Cultural Heritage means both tangible and intangible cultural heritage, including movable or immovable objects, sites, structures, natural features and landscapes that have archaeological, paleontological, historical, architectural, religious, aesthetic, or other cultural significance, located in urban or rural settings, above ground, underground or under water; as well as practices, representations, expressions, knowledge, or skills – as well as the instruments, objects, artifacts and cultural spaces associated therewith – that communities, groups, and in some cases individuals, recognize as part of their heritage, as transmitted from generation to generation and constantly recreated by them in response to nature and a shared history*

## ESS 7: Labour and Working Conditions

Does the EA/EE have in place the necessary policies, procedures, systems and capabilities to ensure that:

- (a) the fundamental rights of workers, consistent with the International Labour Organization's (ILO) Declaration on the Fundamental Principles and Rights at Work are respected and protected;
- (b) written labour management procedures are established in accordance with applicable national laws;
- (c) workers are provided with clear and understandable documentation of employment terms and conditions, including their rights under national law to hours of work, wages, overtime, compensation and benefits;
- (d) workers are provided regular and timely payment of wages; adequate periods of rest, holiday, sick, maternity, paternity, and family leave; and written notice of termination and severance payments, as required under national laws and the labour management procedures;
- (e) decisions relating to any aspect of the employment relationship, including recruitment, hiring and treatment of workers, are made based on the principles of non-discrimination, equal opportunity and fair treatment, and not on the basis of personal characteristics unrelated to inherent job requirements;
- (f) appropriate measures are in place to prevent harassment, intimidation, and exploitation, and to protect vulnerable workers, including but not limited to women, children of working age, migrants and persons with disabilities;
- (g) workers who participate, or seek to participate, in workers' organizations and collective bargaining, do so without interference, are not discriminated or retaliated against, and are provided with information needed for meaningful negotiation in a timely manner;
- (h) forced labour and child labour are not used in connection with the project or program;
- (i) occupational health and safety (OHS) measures are applied to establish and maintain a safe and healthy working environment, including supply chain workers;
- (j) workers are informed of applicable grievance and conflict resolution systems provided at the workplace level; and
- (k) workers may use these mechanisms without retribution, and the grievance and conflict resolution systems does not impede access to other judicial or administrative remedies available under the law or through existing arbitration procedures, or substitute for grievance systems provided through collective agreements?

NO (to any of the above)

TO BE DETERMINED (TBD)

YES (to all of the above)

If TBD or Yes, please provide details here.

**ESS 8: Community Health, Safety and Security**

Please complete the following Risk Assessment Tool to determine community health, safety and security risks and their mitigation measures. Guidance on how to complete the Tool can be found in Appendix VIII of the ESMF (Version 7).

Community Health, Safety and Security Threat	Likelihood	Impact	Risk	Risk Rating	Mitigation Measures
1.					
2.					
3.					
4.					
5.					
6.					
7.					
8.					
9.					
10.					
11.					
12.					
				Total	
				Average	
<b>Overall risk rating to project-affected communities</b>					

**ESS 9: Private Sector Direct Investments and Financial Intermediaries**

Will the project make either direct investments in private sector firms or Endowment Funds, or channels funds through Financial Intermediaries (FIs)?

- NO
- TO BE DETERMINED (TBD)
- YES (to any of the above)

If TBD or Yes, the proposed fund/FI/firm would be required use this Screening Form to conduct a screening on the portfolio of the proposed investment.

## **ESS 10: Climate Risk and Related Disasters**

Please refer to guidance notes in Appendix XI of the ESMF (Version 7) to answer the questions below:

(a) Describe the climate projections for the country or region, or if possible, for the specific location of the project for the next 30 years from the start date of the project.

(b) Describe the relevant potential hazards (e.g. heavy rainfall leading to flood, low rainfall leading to drought, temperature changes which could lead to heat waves, sea-level rise, or changes in other extreme events such as hurricanes and cyclone) that could prevent the project from achieving its objectives and/or outputs.

(c) Describe the current and projected exposures, vulnerabilities, and adaptive capacities (e.g. technical, institutional, financial) and how these could prevent the project from achieving its objectives and/or outputs.

(d) What mitigation measures have been identified and incorporated into the design of the project/planned for the implementation phase to reduce the likelihood and/or consequences of risks or to respond to consequences so as to ensure that the project achieves its objectives and/or outputs?

(e) If one or more risks are accepted, please provide a justification.

## **APPENDIX II: Methodology for Conducting ESIA**

### **Introduction**

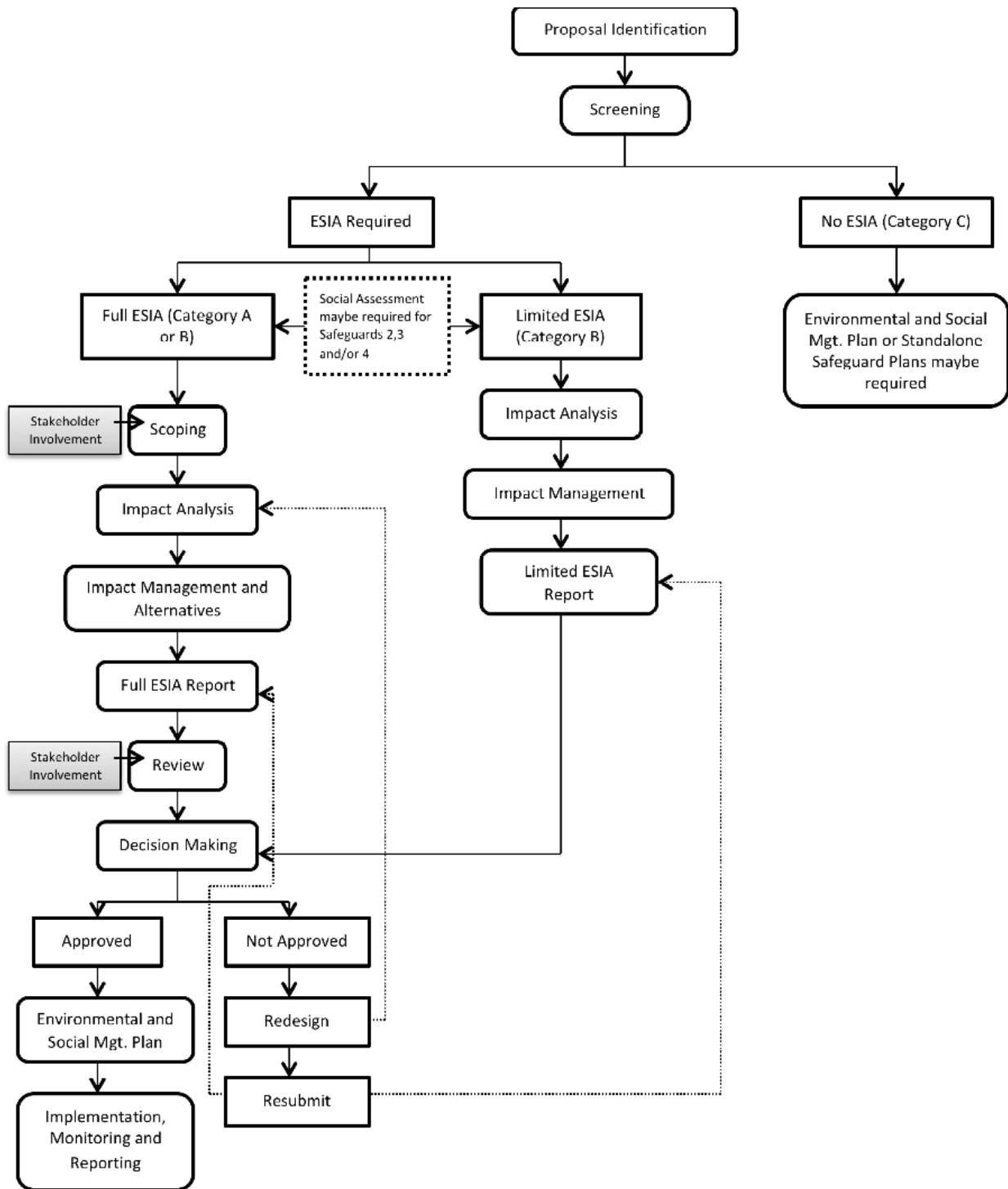
1. This Appendix provides a methodology for conducting ESIA, including requirements of the ESMF safeguard policies that must be incorporated for all CI-GEF/GCF projects. In accordance with the ESMF, the CI-GEF/GCF Project Agency will require Environmental and Social Impact Assessments (ESIA) of proposed projects to help ensure their environmental and social soundness and sustainability.
2. The ESIA identifies and assesses the potential impacts of a proposed project on physical, biological, socio-economic and cultural heritage, including transboundary concerns and potential impacts on human health, safety and security; evaluates alternatives; and proposes appropriate avoidance, minimization, mitigation, or offset alternatives, as well as management and monitoring measures.
3. Not all projects require ESIA. Each project is screened as early as possible to determine whether an ESIA is warranted. If so, safeguard screening will also help determine the extent and type of ESIA required so that appropriate studies are undertaken proportional to potential risks and to direct impact as well as indirect, cumulative, and associated impacts as relevant. Strategic, sectoral or regional environmental assessments may be used, where appropriate. There are several types of ESIA instruments, but the guidance in this document will focus on the general ESIA process and outcomes.
4. The ESIA must also comply with national requirements. However, where there are differences between the CI-GEF/GCF and national requirements, the project must follow the more stringent requirements/standards.

### **ESIA Process Overview**

5. An ESIA process (see Figure 1):
  - a) Begins with safeguard screening at the earliest stage of the project cycle and continues in an iterative manner throughout the cycle as plans are developed and implemented;
  - b) Looks at all relevant levels of biodiversity, habitat, and community information;
  - c) Addresses both direct, indirect, and cumulative impacts by considering ecological, social and economic changes; and
  - d) Analyzes and responds to the interaction between environmental and social issues.
6. For effective protection of the natural, human and social environment, the CI-GEF/GCF Project Agency will require a multi-stage ESIA concept; which are outlined in subsequent paragraphs.
7. The CI-GEF/GCF Project Agency recognizes that stakeholder consultation and public disclosure are instrumental in achieving a balanced ESIA and stipulates that the Executing Agency/Entity:
  - a) Makes a draft ESIA report available to all stakeholders for comment before the final decision about the proposed project; and
  - b) Structures consultations and takes subsequent actions in ways that will further the objectives of promoting and achieving gender equality.
8. ESIA stages include:



- a) **Safeguard Screening:** The CI-GEF/GCF Project Agency will use the Project *Safeguard Screening Form* to determine whether a full ESIA, limited ESIA, or no ESIA is needed for the proposed project as well as if special studies are required;  
The preliminary *Safeguard Screening* will take place on the final version of the Project Identification Form (PIF) or Concept Note (CN) utilizing a *Project Safeguard Screening Form* (Appendix I) to cover all safeguards standards. The screening outcomes may result in a project being designated as Category A, B or C (see paragraph 12 for details);
- b) **Scoping:** The Executing Agency/Entity develops a preliminary examination of the impacts likely to occur as a result of the proposed project, and which should be covered by the ESIA. The scoping phase must include stakeholder engagement to help identify issues. Based on the results of the scoping phase, the Executing Agency/Entity will draft the TOR for the full ESIA (see below for details). Specifically, the Executing Agency/Entity will ensure that:
  - i. The draft TOR is disclosed to stakeholders prior to the submission of the TOR to the CI-GEF/GCF Project Agency; and
  - ii. Approval is received from the CI-GEF/GCF Project Agency for the TOR before any work can commence.
- c) **Implementation of the (full) ESIA:** Overall project assessment and any specialist studies, as identified during the Scoping Phase, are to be conducted. Special studies are guided by the safeguard issues raised during scoping. They deal with the concerns of stakeholders in these areas. For adverse impacts, alternatives are identified to establish the most environmentally sound and benign option(s) for achieving project objectives;
- d) **Draft Report:** The Executing Agency/Entity presents the ESIA findings as an ESIA document/report. This discusses mitigation and impact management (measures to avoid, minimize, mitigate, or offset adverse impacts), monitoring and reporting. Where appropriate, draft mitigation plans are incorporated into a draft ESMP. The document/report must be clear, impartial, publicly available, and address stakeholder concerns;
- e) **Review and Final Report:** It is the responsibility of the CI-GEF/GCF Project Agency to review and approve the final ESIA report to ensure that it complies with the Terms of Reference and stakeholder engagement requirements, and appropriately addresses GEF and GCF concerns;
- f) **Decision-making:** Final decision on whether to support a proposed project will be made by the CI-GEF/GCF Project Agency after consultations with in-country authorities with jurisdiction over the project. The CI-GEF/GCF Project Agency does reserve the right to not pursue a project if the ESIA indicates that the proposed minimizing or mitigating measures are too costly/risky; and
- g) **Monitoring, reporting, and enforcement:** The CI-GEF/GCF Project Agency will monitor whether the Executing Agency/Entity ensures compliance with the mitigation measures as incorporated in project design and monitored by the indicators of the Project-level ESMP.



**Figure 1: The ESIA Process**

## DETAILED ESIA PROCESS

### **Safeguard Screening Phase** (Implemented by CI-GEF/GCF Project Agency)

9. Safeguard Screening is a preliminary review assessing the presence or absence and scale of potential environmental and social impacts.
10. To comply with this policy, the CI-GEF/GCF Project Agency will implement a *Safeguard Screening* process for all GEF/GCF funded projects. The purpose of this screening is to categorize projects according to their potential environmental and social impacts.
11. The preliminary *Safeguard Screening* will take place on the final version of the Project Identification Form (PIF)/Concept Note (CN) utilizing the CI-GEF/GCF *Safeguard Screening Form* (Appendix I) to cover all safeguards standards.
12. Based on the results of the Safeguard Screening process, the proposed project will be classified into one of three categories, depending on the type, location, sensitivity, and scale of the project and the nature and magnitude of its potential environmental and social impacts.

**Category A:** A proposed project is classified as Category A if it has the potential for significant adverse environmental and social impacts that are sensitive, diverse, or unprecedented. These impacts may affect an area broader than the sites or facilities subject to physical works (i.e., the area of influence). Examples of Category A projects include but not limited to resettlement of communities, species reintroduction and translocation, and civil works. The ESIA for a Category A project examines the project's potential negative and positive environmental and social impacts, compares them with those of feasible alternatives (including the business as usual scenario), and recommends any measures needed to prevent, minimize, mitigate, or offset for adverse impacts and improve environmental and social performance. For a Category A project, the project Executing Agency/Entity is responsible for making arrangements to carry out an ESIA.

**Category B:** A proposed project is classified as Category B if its potential adverse environmental and social impacts on human populations or environmentally or socially important areas -including wetlands, forests, grasslands, and other natural habitats- are less adverse than those of Category A projects. These impacts are site-specific; few if any of them are irreversible; and in most cases mitigation measures can be designed more readily than for Category A projects. Examples of a Category B projects include but not limited to habitat restoration and reforestation, protected area creation and expansion, and biodiversity management improvement which carries the possibility of limiting access to natural resources and thus impacting livelihoods of local communities. The scope of an ESIA for a Category B project may vary from project to project, but it is narrower than an assessment for Category A. Consistent with ESIA for Category A projects, it examines the project's potential negative and positive environmental and social impacts and recommends any measures needed to prevent, minimize, mitigate, or compensate for adverse impacts and improve environmental and social performance.

**Category C:** A proposed project is classified as Category C if it is likely to have minimal or no adverse environmental and social impacts. Examples of Category C projects include but not limited to capacity building of stakeholders, setting up of conservation funds, and development of monitoring tools. ESIA is not required for Category C projects, however, specific safeguard plans would have to be developed by the Executing Agency/Entity to strengthen the project compliance with the ESMF policies.

13. Since projects in Category A are likely to have significant adverse impacts, they will require a full ESIA to address them. Projects in Category B also require an ESIA but depending on the project's scope (e.g. size of geographic area, type and number of activities, population size, previous/existing ESIA, etc.) a limited ESIA may be requested instead.
14. Information that may be required in a safeguard screening report include:
  - a) A broad description of the proposed project including its main activities;
  - b) Applicable policies, plans and regulations, including environmental and social standards and objectives;
  - c) The characteristics of the environment, including its importance to global biodiversity, ecological functions, local/national/international designation, existing environmental problems and threats, significant resources, , pollution and emission, etc.;
  - d) The socio-economic condition of the proposed project area(s), including sex-disaggregation population, livelihood, income and poverty data, presence of gender-based violence, special needs and vulnerable groups, historical and existing conflicts, land tenureship, importance of area to local/national economy, presence of indigenous and local communities, etc.
  - e) The potential impacts of the proposed project and their likely significance; and
  - f) The degree of public concern about and interest in the proposed project.
15. Important functions of this stage are:
  - a) Ascertain the need for an ESIA and its scope;
  - b) Anticipate both positive and negative impacts;
  - c) Assess potential impacts of the proposed project to physical, biological, socioeconomic, cultural, and cultural heritage, including transboundary concerns, and potential impacts on human health and safety;
  - d) Feasible investment, technical, and siting alternatives, including the — business as usual/alternative, are assessed, as well as potential impacts, feasibility of mitigating these impacts, their capital and recurrent costs, their suitability under local conditions, and the institutional, training and monitoring requirements associated with them.
  - e) Consultation plans (scoping exercise) for stakeholder inputs on the TORs for the ESIA.

### **Project Safeguard Screening Criteria**

16. Safeguard screening procedures include a list/description of environmental and social issues by the Executing Agencies/Entities to assist the CI-GEF/GCF Project Agency in identifying and assessing potential adverse impacts. In the Safeguard Screening form, the Executing Agency/Entity will identify and make a preliminary assessment of the potential issues. Based on this information, the CI-GEF/GCF Project Agency will determine eligibility and the scope and level of preparation activities concerning the safeguard issues.

17. In the full proposal, the Executing Agencies/Entities will describe potential environmental and social issues and how these have been assessed and the documentation for how the outcome of any consultations with indigenous peoples and local communities was reached.
18. For Category C projects, the Executing Agency/Entity will describe in the full proposal, appropriate mitigation measures and a monitoring system to avoid, minimize or mitigate any adverse impacts.
19. All required safeguard documents and plans will be submitted to the CI-GEF/GCF Project Agency with the full proposal.
20. The CI-GEF/GCF Project Agency will review the appropriateness of scope and level of safeguard measures, if any, when reviewing projects to determine readiness prior to approval.
21. For a full or a limited ESIA, if any of the following safeguards are triggered: Involuntary Resettlement or Indigenous Peoples or Cultural Heritage, the CI-GEF/GCF Project Agency will require the ESIA to include the following issues:
  - a) **Social diversity and gender:** Examine how men and women are organized into different social groups, based on the status ascribed to them at birth – according to their ethnicity, clan, gender, locality, language, class, or other marker – or on the status or identity they have achieved or chosen – civil servant, worker, environmentalist, etc. Importantly, an analysis of social diversity assesses the risks that negative project impacts fall disproportionately on individuals and groups who, because of their particular circumstances, are in a vulnerable position or are subject to discrimination or prejudice in access to development resources and project benefits;
  - b) **Institutions, rules and behaviour:** Examine social groups’ characteristics, intra- group and inter-group relationships, and the relationships of those groups with public and private (e.g. market) institutions (including the norms, values and behaviour that have been institutionalized through those relationships). Such an analysis should provide a detailed assessment of the formal and informal organizations likely to affect the project and the informal rules and behaviours among them. Possible institutional constraints and barriers to project success, as well as methods to overcome them, should be described;
  - c) **Stakeholders:** Identify the various groups who have an interest or a stake in the project. Stakeholders are those who are likely to be affected by a project, as well as those that may influence the project’s outcomes. In addition to the beneficiaries of the project and other groups directly affected by it, stakeholders may include organized groups from the public and private sectors as well as civil society who have an interest in the project. The characteristics, interests and likely influence of various groups in the development process are the subject of stakeholder analysis;
  - d) **Participation:** Examine opportunities and conditions for participation by stakeholders – particularly the poor, disadvantaged and vulnerable – in the development process (e.g. contributing to project design, implementation and/or monitoring; influencing public choices and decision-making; negotiating access to project benefits and opportunities; etc). Otherwise excluded groups affected by the project as well as project beneficiaries should be brought into the ESIA process, and appropriate mechanisms to sustain such participation in project implementation and monitoring should be deployed; and

- e) **Social risks:** Identify social risks (e.g. country risks, political economy risks, institutional risks, context risks, community health, safety and security risks, risks or impacts associated with land and natural resource tenure and use, food security, and any corresponding risks related to conflict or contestation over land and natural resources, and vulnerability risks, including but not limited to those that may trigger CI-GEF/GCF Safeguard Policy). Social risk analysis examines the social groups vulnerable to stress and shocks and the underlying factors that contribute to this vulnerability. Drawing on this, risk management plans should be prepared with an eye to addressing these concerns during project design, implementation, and monitoring and evaluation.

**Scoping Phase** (Implemented by the Executing Agency/Entity)

22. The Scoping Process is the first phase of the ESIA. The primary objective is to define the scope, procedures, schedule and outline of the ESIA that will form the basis for the ESIA Terms of Reference. Scoping identifies issues from all stakeholders (potentially affected parties, authorities, CSOs or other local stakeholders) and initiates stakeholder engagement. The elements of the Scoping process are:

- a) Establish the study area and the area of influence of the project;
- b) Summarize policy, legal, and administrative frameworks within which the ESIA is carried out;
- c) A preliminary description of the significance of potential social and environmental impacts, and likely mitigating measures;
- d) Identify the expertise and human resources needed for the ESIA;
- e) Identify the nature and roles of relevant stakeholders;
- f) Engage with stakeholders to inform the ToR; and
- g) Identify project alternatives.

23. When the project involves existing activities or facilities, relevant external experts will perform environmental audits to assess past performance and determine the existence of any areas where the project may cause or is causing environmental risks or impacts. If the project does not foresee any new major expansion, the audit constitutes the environmental assessment for the project. Audits should be used to identify risks and impacts, and to evaluate the effectiveness of the management system in place, conformity with this ESMF.

**Content of a Scoping Report**

24. The information gathered through the scoping process, from the site visit and from the Executing Agency/Entity must be integrated into a draft Scoping Report. In addition to identifying issues, this report should provide the following information:

- a) A preliminary assessment of the potential impacts and issues based upon initial baseline information; and
- b) ToR for ESIA execution, identifying the issues that need to be addressed in the ESIA

**Developing Terms of Reference for the ESIA**

25. Based on the results of the Scoping Report, the ToR for the full ESIA should:

- a) Define what alternatives are to be assessed in the ESIA;

- b) Define what issues need to be investigated;
- c) Define what specialists studies need to be undertaken (including how to access indigenous expertise on traditional knowledge relevant to natural resource management as appropriate);
- d) Provide the terms of reference for each specialist study;
- e) Provide a methodology for rating the significance of the impacts; and
- f) Specify the structure and content of the Specialist Reports.

**Implementing the ESIA** (Implemented by independent consultants)

26. For a full ESIA, once the scoping process is completed and the ToRs for the full ESIA are designed and approved, the detailed ESIA can be carried out. The important functions to be performed under the environmental and social impact analysis in consultation with affected communities include:

- a) Collect all possible information and data from various sources (clearly acknowledge relevant data gaps);
- b) Properly identify alternatives;
- c) Systematically analyse and screen both environmental and social impacts of different alternatives;
- d) Design environmental and social mitigation measures as well as likelihood effectiveness estimates;
- e) Develop the appropriate project-level plan(s) such as ESMP, Resource Efficiency and Pollution Prevention Plan, RAP, IPP, V-RAP and Process Framework;
- f) Develop an effective monitoring program with indicators to evaluate the successful implementation of the measures described in the Plan(s) during the project; and
- g) Develop an effective post-project evaluation program.

**Identifying Project Alternatives**

27. An important step in defining and finalizing a project is to identify, at a conceptual level, viable alternatives to the project so that a viable base-case may be realized. Early consideration of alternatives during the design phase of a project can result in the avoidance/minimization of impacts without the need for expensive or time-consuming mitigation measures at a later stage. Consideration of project alternatives occurs at two levels as follows:

- a) The project as a whole, including the “business as usual” option; and
- b) Siting, engineering, and design alternatives within the selected project’s definition. Scope of alternatives can include location, process, inputs, technology, and “no project.”

28. The analysis and discussion of alternatives should include an evaluation of the merits of each alternative with respect to:

- a) Nature of the alternative sites/locations of project;
- b) Feasibility of the alternative;
- c) The trade-offs of advantages and disadvantages of each alternative, and their distribution among project stakeholders, with particular attention to vulnerable peoples;

- d) Cost effectiveness, including associated environmental costs and benefits of each alternative;
- e) A comparison of the social and environmental losses and gains associated with the various alternatives, together with the economic costs and benefits to provide a balanced and full picture for each alternative;
- f) Technology and engineering design;
- g) Interference and/or harmony with the surroundings and future plans;
- h) Construction practices for each alternative;
- i) Operations, including associated demands for energy and other inputs by the various alternatives;
- j) Future/foreseeable impacts and/or constraints, and benefits of each alternative;
- k) Risks associated with the alternative, including potential risks to human health;
- l) Existence of important cultural and sensitive ecological systems and habitats in the proposed project area;
- m) Presence of endangered, rare and/or threatened species that may be at risk if the project is implemented;
- n) Conformity to existing policies, plans, laws, regulations, etc.;
- o) The "no project" alternative and its justification; and
- p) A recommendation and indication of the preferred alternative and why it was chosen.

29. In identifying project alternatives for GEF/GCF projects, the principles set out in the CI-GEF/GCF Project Agency's ESMF need to be considered for each alternative proposed. This includes how the identified risks and impacts should be prioritized. e.g. probability/likelihood x severity/magnitude.

**ESIA Report** (draft reviewed by the CI-GEF/GCF Project Agency)

30. The end product of the ESIA is a report that provides decision-makers with information regarding the important environmental and social issues/adverse impacts, the impacts of various alternatives, proposed minimization or mitigation measures, and recommendations of the relative desirability of different alternatives, management plans, monitoring plans, and reporting. The report should take into account three major factors: benefits and costs, achievement of project objectives, and adverse environmental and social impacts.

**General Contents for the ESIA report**

31. The following is a recommended list of contents for the full ESIA report for Category A and B projects:

- a) **Executive summary:** Concisely discusses significant findings and recommendations.
- b) **Policy, legal, and administrative framework:** Discusses the international/national policy, legal, and administrative framework within which the ESIA is carried out.
- c) **Project description:** Concisely describes the proposed project and its geographic, ecological, social, and temporal context, including any offsite investments that may be required. Indicates the need for any process framework or voluntary resettlement plan or indigenous peoples development plan (normally includes a map showing the project site and the project's area of influence).



- d) **Baseline data:** Assesses the dimensions of the study area and describes relevant physical, biological, and socioeconomic conditions, including any changes anticipated before the project commences. Also takes into account current and proposed development activities within the project area but not directly connected to the project. Data should be relevant to decisions about project location, design, operation, or mitigation measures. The section indicates the accuracy, reliability, and sources of the data. For complex projects, unless a socio-economic survey of the affected population has been completed recently, the Executing Agency/Entity is highly encouraged to conduct a robust survey of relevant baseline conditions.
- e) **Environmental and social impacts:** Predicts and assesses the project's likely positive and negative impacts and their distribution on affected peoples, in quantitative terms to the extent possible. Identifies mitigation measures, effectiveness likelihood, and any residual negative impacts that cannot be mitigated. Explores opportunities for environmental and social enhancement, including gender considerations. Identifies and estimates the extent and quality of available data, key data gaps, and uncertainties associated with predictions, and specifies topics that do not require further attention.
- f) **Analysis of alternatives:** Systematically compares feasible alternatives to the proposed project site, technology, design, and operation--including the "business as usual" situation--in terms of their potential environmental impacts; the feasibility of mitigating these impacts; their capital and recurrent costs; their suitability under local conditions; and their institutional, training, and monitoring requirements. For each of the alternatives, quantifies the environmental and social impacts to the extent possible, and attaches economic values where feasible. States the basis for selecting the particular project design proposed and justifies recommended emission levels and approaches to pollution prevention and abatement.
- g) **Mitigation measures:** Establishes the measures that are necessary to avoid, minimize, mitigate, or offset predicted adverse impacts and, where appropriate, to incorporate these into an environmental management plan or system.
- h) **Management plans:** Aims to structure the environmental and social management processes and procedures applicable to the project to avoid, minimize, mitigate or offset potential impacts. It will describe performance improvement measures and define roles and responsibilities for these outcomes. Specific personnel with clear lines of responsibility and authority should be designated by the Executing Agency/Entity to manage key well defined environmental and social responsibilities, which are in turn communicated to project stakeholders and the Executing Agency/Entity's organization responsible for project implementation.
- i) **Budget:** Estimates the costs of implementing recommended mitigation measures for the full lifecycle of the project, including the costs of accessing the level of project staff with the safeguard knowledge and expertise commensurate with project risks.
- j) **Monitoring and reporting:** Ensures that the terms and conditions of approvals are met; to accurately and objectively monitor the impacts of development and the effectiveness of mitigation measures in compliance with this ESMF; and where required to undertake environmental audit and process evaluation to optimize environmental management. For projects posing potentially significant adverse impacts or where technically complex issues are involved, the Executing Agency/Entity may be required to involve external experts to assist in the risks and impacts identification and monitoring processes throughout the project's lifecycle. The Executing Agency/Entity is highly encouraged to involve representatives from project-affected people and other stakeholders to participate in monitoring activities.

32. For the full or limited ESIA for Category B projects, the ESIA will examine the project's potential negative and positive environmental impacts and defines any measures needed to prevent, minimize, or mitigate adverse impacts and improve environmental performance. This should incorporate or draw on existing reports and studies (if available), and discussions with affected communities, local government officials, and other stakeholders, as needed.

### **Monitoring and Reporting of Environmental and Social Measures**

33. Monitoring of environmental and social measures is an important stage of the ESIA process that deals with the implementation of recommendations during the project execution phase. It comprises essentially “follow-up” activities after the approval of the ESIA report and may also include changes to project design.
34. Based on its findings, the monitoring of environmental and social measures defines the scope of environmental monitoring with respect to the preventive or remedial measures to be implemented, and the substantive environmental and social impacts to be addressed. Monitoring of environmental and social measures should include Specific, Measurable, Achievable, Relevant, Time specific (SMART) indicators.
35. Important functions of the monitoring of environmental and social measures as a major component of the ESIA implementation are:
- a) Ensure that the procedures recommended in the approved ESIA report are adhered to by the various agencies;
  - b) Ensure that the environmental and social mitigation and enhancement schemes are well understood and communicated to all involved parties, including the general public;
  - c) Ensure that the proposed environmental and social remedial measures are implemented during project execution;
  - d) Evaluate the effectiveness of environmental and social remedial measures; and
  - e) Evaluate the effectiveness of various evaluation techniques and procedures.

### **Stakeholder Engagement during the ESIA Process**

36. Projects must involve stakeholders, including project-affected groups, indigenous peoples, and local CSOs, as early as possible in the preparation process and ensure that their views and concerns are made known and taken into. Project must also disclose information and safeguard plans in a timely manner and suitable format to stakeholders. The CI-GEF/GCF Project Agency will also ensure that consultations are continued throughout project implementation as necessary to address ESIA-related issues that affect them.
37. Benefits of Stakeholder Engagement include:
- a) Letting interested and affected parties participate in decision-making to give them more control and ownership;
  - b) Sharing information and facilitating understanding;
  - c) Building legitimacy and support for decisions;
  - d) Fostering constructive working relationships among stakeholders;
  - e) Building consensus and generating support for the project;

- f) Reducing conflict;
  - g) Tapping into the local, specialist knowledge of stakeholders to inform assessment and design; and
  - h) Improving the end decision and aiding sustainability.
38. Ideally, Stakeholder Engagement should involve the public in problem-solving. The joint effort by stakeholders, in-country representatives, executing entities, GEF/GCF Project Agency ensures better results. Executing Agencies/Entities must ensure that the key principles of the CI-GEF/GCF Gender Mainstreaming Policy, ensuring that both men and women are given equal access to information and decision-making processes – are incorporated throughout stakeholder engagement.
39. The following six aspects of stakeholder consultation must be followed:
- a) Planning;
  - b) Identifying and analyzing Stakeholders;
  - c) Consulting with Stakeholders;
  - d) Recording and tracking interactions and feedback;
  - e) Responding to submissions; and
  - f) Reporting back.
40. Stakeholder engagement usually begins before the ESIA process and extends well beyond it. Once the ESIA has been completed, stakeholder engagement focuses on the implementation of the project. This would include the monitoring, employment and recruiting, resettlement, the development of accommodation for workers, social development projects, contracts with out-growers, etc. It is recommended that the ongoing stakeholder processes continue throughout the life of the project.

## **APPENDIX III: Terms of Reference for ESMP**

### **Background**

1. To facilitate the review process, and ensure the project has fully considered all relevant safeguards policies and processes, the Executing Agency/Entity will prepare an ESMP which will explain how each of the safeguards has been or is to be addressed. The ESMP is a coherent compilation of the applicable project-level plans prepared by the Executing Agency/Entity that describes how negative environmental and social impacts will be managed and mitigated during the preparation, design, implementation and monitoring phases of a CI-GEF/GCF funded project. Based on the results of the safeguard screening process and the results of the ESIA, the CI-GEF/GCF Project Agency will determine what project-level plans will be needed for the ESMP.
2. The ESMP serves as a framework for managing and mitigating the environmental and social risks and impacts associated with implementing a project. Its content will depend on the extent to which issues have been identified. If issues are not yet clearly identified, the ESMP will lay out principles and criteria for project design, while leaving more specific measures to be finalized once the assessments have been conducted. Conversely, if safeguards issues and activities are already identified while the proposal is still being prepared, the ESMP should include summaries of detailed safeguard plans.
3. Proposals with minor and manageable environmental or social impacts or on cultural heritage must include the following elements in the ESMP:
  - a) A description of the possible adverse effects that specific project activities may cause;
  - b) A description of any planned measures to avoid or mitigate adverse impacts, and how and when they will be implemented and managed;
  - c) A system for monitoring the environmental, social, and cultural heritage effects of the project, including key indicators, location and frequency of monitoring activities and a reporting mechanism;
  - d) A description of who will be responsible for implementing and monitoring the mitigation measures, including their capacity and experience; and
  - e) Cost-benefit estimates of proposed mitigation measures (the costs for environmental and social management will be included in the budget of the project proposal).
4. For the ESMP to ensure compliance with the applicable safeguards, it has to contain specific sections addressing all safeguards. These sections will draw on country- and site-specific information and take the form of free-standing sections or chapters comprised of the plans and frameworks provided for in the applicable safeguards themselves, namely, as relevant and as further described in the body of this section:
  - a) ESIA: contents will reflect the project Category (A, B, or C) and describe any potential environmental and social impacts and risks, including cumulative and/or indirect impacts of multiple activities (to be included after the review of the PIF/CN);
  - b) ESMP to address Protection of Natural Habitats and Biodiversity Conservation, and Cultural Heritage;
  - c) Indigenous peoples: an IPP to address any effects on indigenous peoples;

- d) Involuntary resettlement: a V-RAP or a Process Framework to address any potential land acquisition and/or physical relocation, loss of livelihoods or restriction or loss of access to natural resources, including those related to legally designated parks and protected areas; and
- e) Stakeholder engagement and dispute resolution: a stakeholder engagement and grievance resolution process to ensure ongoing communication with stakeholders, good faith consideration of their concerns and mechanisms to resolve any grievances in accordance with the grievance mechanism. Established best practice guidance, such as that contained in IFC's Stakeholder Engagement: A Good Practice Handbook for Companies Doing Business in Emerging Markets (International Finance Corp., Washington DC, 2010) should be followed. Specifically, the following six aspects of stakeholder consultation must be followed:
  - Planning;
  - Identifying and analysing stakeholders;
  - Consulting with stakeholders;
  - Recording and tracking interactions and feedback;
  - Responding to submissions by stakeholders; and
  - Reporting back

### **Components of an ESMP**

#### **Project description**

- 5. This component includes a comprehensive description of the project, using the best available information for the project site. The project description must include at a minimum the following information:
  - a) Location and geographic extent of the project area(s);
  - b) Description of relevant socio-cultural (including gender), institutional, historical, legal and political context;
  - c) Description of the biophysical context, including details accounts of the species, habitats, ecosystems, and ecosystem services found in the project area;
  - d) Description of existing cultural heritage or sites where they may be present;
  - e) Description of the institutional, policy, and conflict management arrangements in place to secure local stakeholders' involvement in the management of natural and cultural resources of the project area; and
  - f) Description of the type and extent of project activities, including project length, implementation schedule and sequence, available financial and human resources, expected implementation arrangements, etc.
- 6. For Community-based forest management projects, the following additional information must be provided:
  - a) Description of the type of uses and dependency of local livelihoods (of men and women) on forest resources in the project and adjacent area; and

- b) Description of forest products and ecosystem services relevant to local men and women living in or near forests in the project area, as well as opportunities for promoting equitable involvement of men and women.

### **Environmental and Social Impacts and Mitigation Measures**

7. This component of the ESMP identifies feasible and cost-effective measures to avoid, minimize and/or mitigate potentially significant adverse environmental and social impacts, including impacts to critical natural habitats and cultural heritage, to acceptable levels. Whenever mitigation measures are not feasible, cost-effective, or they are sufficient, the ESMP must include measures to restore, offset and/or compensate environmental and social impacts. More specifically, the ESMP must include:
8. Identification and summary of all anticipated significant positive and negative environmental and social impacts that the project may cause to critical natural habitats and cultural heritage;
9. Description of the proposed project alternatives, which will be based on the findings of the previous step. For adverse impacts, alternatives are identified to establish the most environmentally and socially sound and benign option(s) for achieving project goals;
10. Detailed technical description of each mitigation measure under each project alternative, including the type of impact(s) that it will address and the conditions under which it is required (e.g., continuously or in the event of contingencies), together with designs, equipment descriptions, and operating procedures, as appropriate;
11. Provisions for managing “chance finds” in the case of physical cultural resources<sup>26</sup>;
12. A description of who will be responsible for implementing and monitoring the mitigation measures, including their capacity and experience;
13. Cost-benefit estimates of proposed mitigation measures (the costs for environmental and social management will be included in the budget of the project proposal);
14. Estimation of any potential environmental and social impacts of the proposed measures; and
15. Description of the relationships of the proposed measures with any other mitigation plans (e.g., for involuntary resettlement, pest management, Indigenous Peoples) required for the project.
16. If the project includes forest restoration activities, a comprehensive description of the project’s potential to improve biodiversity, ecosystem functions and services -compared to what would be expected for a similar native forest in the area- must be included in the ESMP.

### **Monitoring plan**

17. Monitoring activities during the implementation phase provides crucial information about the environmental and social impacts of the project and the effectiveness of mitigation measures. Accurate and timely information from monitoring activities will enable the

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<sup>26</sup> In accordance with the guidelines provided in Annex III (Chance Find Procedures) of CI’s Environmental and Social Management Framework (ESMF)

implementers to assess the effectiveness of the ESMP, and allow corrective actions to be taken when needed. This component of the ESMP includes the following:

18. Detailed description of monitoring measures, including the audience, objectives, parameters to be measured (indicators), methods for data gathering and analysis, sampling locations, frequency of measurements, detection limits (where appropriate), and definition of thresholds that will signal the need for corrective actions; and
19. Monitoring plan and reporting procedures to: a) ensure early detection of conditions that require particular mitigation measures; and b) provide information on the progress and results of the mitigation measures.

### **Capacity Development and Training**

20. The effectiveness of the ESMP greatly relies on the capacity of the institutions and staff involved in the implementation of the project. Therefore, ESMPs must assess the institutional and staff structure and capacity to successfully implement mitigation and monitoring measures, as well as recommend measures to strengthen institutions and build staff capacity, as needed. To strengthen the project sponsor's environmental and social management capability, most ESMPs address issues related, but not limited, to: a) technical assistance programs; b) procurement of equipment and supplies; and c) organizational changes.

### **Stakeholder Engagement**

21. The development and implementation of ESMPs are expected to fully adhere to the "Stakeholder Engagement" process and guidelines described in of CI/GEF/GCF's ESMP.

### **Expected Outputs**

22. The main expected outcome is an ESMP that contains all the components described in this ToR.

### **Schedule and Budget**

23. For impacts and mitigation, monitoring, and capacity development and training, the ESMP must provide:
  - a) An implementation schedule for measures that must be carried out as part of the project, showing phasing and coordination with overall project implementation plans; and
  - b) A detailed budget, including capital and recurrent cost estimates and sources of funds for implementing the measures identified in the ESMP.
24. CI-GEF/GCF Project Agency expects the ESMP to be specific in its description of the individual mitigation, management, monitoring and reporting measures and its assignment of responsibilities, and it must be integrated into the project's overall planning, design, budget, and implementation. Such integration is achieved by establishing the ESMP within the project so that the plan will receive funding and supervision along with the other components.

## APPENDIX IV: Plan for Natural Habitats and Biodiversity Conservation

1. The Executing Agency/Entity is required to include in the project concept and the safeguard screening document a description of activities that may involve adverse environmental impacts, any known environmental sensitivities, and any sites with known or potential archaeological, paleontological, historical, religious or cultural values.
2. For Category B projects with potential minor and manageable adverse environmental and social impacts, a limited ESIA might be undertaken. This limited ESIA must examine the project's potential negative and positive environmental and social impacts and defines any measures needed to prevent, minimize, or mitigate adverse impacts and improve environmental and social performance. This should incorporate or draw on existing reports and studies (if available), and discussions with affected communities, biodiversity experts, local government officials, and other stakeholders, as needed.
3. The findings and results of a limited ESIA or full ESIA must be described in the full project proposal. Project proposals that do not provide adequate environmental and social information will not be considered for financing until they meet the requirements.
4. The scope of any environmental review and mitigation measures will be determined by the CI-GEF/GCF Project Agency in consultation with the Executing Agency/Entity through the safeguard screening and approval process. If needed, the CI-GEF/GCF Project Agency may request further information or a more detailed environmental and social review prior to approving a project.

### **Mitigation Measures**

5. The most common impacts for eligible projects are anticipated to be minor, localized impacts from infrastructure construction or improvement (e.g. checkpoints, guard posts, trails, tourism facilities), potential increase in recreational use of protected areas, and change in natural resource management/use, including potential species introductions and alterations to ecosystem processes, such as freshwater flows and fire cycles.
6. The small-scale construction of infrastructure may have minor, short-term direct impacts on vegetation and local species-mainly due to soil excavation, dust, and noise. Increased recreational use of project sites may produce a direct impact because of under-management of tourist sites and facilities, possible overuse of campsites or trails, increased waste and noise/light pollution, harvesting of live wood for campfires, purposeful disturbance of wildlife, accidental fires, disturbance of flora and fauna, trespassing into fragile areas, introduction of alien invasive species, and non-maintenance of trails leading to slope erosion.
7. **Natural Habitats**: Any activities that potentially alter habitat (as defined above) should not be sited in areas that potentially have critically endangered species or sensitive ecosystems, i.e. they should be avoided. If it is impossible to avoid such areas, then impacts should be minimized, including via habitat restoration. If that is not possible, then they should be mitigated or offset.<sup>27</sup> Prevention, minimization, and mitigation can be achieved through proper site selection of infrastructure to avoid and minimize impacts, construction contract

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<sup>27</sup> For further guidance, CI encourages Executing Entities to refer to IFC Performance Standard 6 and the accompanying Guidance Notes (also discussed in the paragraphs on Minimum Standard 2, Protection of Natural Habitat, above).



procedures for dealing with “chance finds,” control of dust generation and prevention, waste management and technology for toilet facilities like leaching fields, organic composting, and septic tanks.

8. Physical Cultural Property: There is a possibility that project activities may result in damage to physical cultural property unless these are identified early on. The CI-GEF/GCF Project Agency, will not fund any activity that involves the removal, alteration or disturbance of any physical cultural resources (defined as movable or immovable objects, sites, structures, and natural features and landscapes that have archaeological, paleontological, historical, architectural, religious, aesthetic, or other cultural significance). Recognizing that physical cultural resources may be present in projects areas, the safeguard screening criteria and review process aims to ensure that they are identified and adverse effects are avoided and/or mitigated.
9. Project proposals with activities that may occur in areas with possible physical cultural resources will specify procedures for identifying physical cultural property and for avoiding impacts on these, including:
  - a) Consultations with the appropriate authorities, subject experts and local inhabitants to identify known or possible sites during project planning;
  - b) Siting of project activities to avoid identified sites (including identifying such areas in protected and natural resource management planning and zoning);
  - c) “Chance finds” procedures will include cessation of work until the significance of a “find” has been determined by the appropriate authorities, subject experts and local inhabitants, and until fitting treatment of the site has been determined and carried out;
  - d) Construction contracts will include the same procedures for dealing with “chance finds;”
  - e) Buffer zones or other management arrangements to avoid damage to cultural resources such as “sacred” forests and graveyards. Indigenous peoples and local communities to which these areas belong should decide access procedures and should not be excluded from accessing these areas.
10. The ESMF highlights the importance of community participation (noted in the Involuntary Resettlement, Physical and Economic Displacement, and Indigenous Peoples ESS standards) since local and traditional knowledge is important in identifying, designing and planning the implementation of practical mitigation measures. It is especially important where the success depends on community support and action, both in implementing mitigation measures and in monitoring their success.

**Table III.1: Illustrative adverse environmental and social impacts, standard mitigation measures and sample monitoring indicators**

PROJECT ACTIVITY	POTENTIAL IMPACTS	STANDARD MITIGATION MEASURES	MONITORING AND INDICATORS
<p><b>Construction of basic infrastructure (e.g. shelters, trails, ecotourism activities, agro-processing or storage facilities)</b></p>	<ul style="list-style-type: none"> <li>• Minor, short-term potential impacts on already disturbed and small areas of vegetation – mainly due to soil excavation, dust and noise</li> </ul>	<ul style="list-style-type: none"> <li>• Consult affected communities or biodiversity experts to determine appropriate siting of infrastructure to minimize impacts</li> <li>• Ensure trails are ‘fit-for-purpose,’ restricting width to the needs to foot patrols or tourists. In areas where trail bikes are used, the means of controlling access will be instituted.</li> <li>• Obtain any permits required by national and local regulations prior to construction</li> <li>• Choose most appropriate timing for construction to avoid or minimize impacts</li> <li>• Infrastructure will be designed in accordance with local traditions, local architecture, and good environmental practices</li> <li>• Appropriate management/disposal of waste+ debris</li> </ul>	<ul style="list-style-type: none"> <li>• Footprint or % of area disturbed relative to size of the area.</li> <li>• Type of construction materials used and methods of disposal</li> </ul>
<p><b>Change in natural resource use and management (e.g. restoration of gallery forest, re-engineering water flows in wetlands)</b></p>	<ul style="list-style-type: none"> <li>• Environmental impacts would almost always be positive; however, in a few cases unintended impacts may accidentally occur, such as introduction of invasive species, and human/wildlife conflicts (e.g. resulting in crop loss)</li> </ul>	<ul style="list-style-type: none"> <li>• Consult with affected communities and biodiversity experts to determine appropriate land and resource management regimes</li> <li>• Use only native species for restoration</li> <li>• Consider compensation and/or avoidance mechanisms to minimize crop loss and conflict</li> </ul>	<ul style="list-style-type: none"> <li>• Indicator species are monitored</li> <li>• Consultation processes with communities and their free, prior and informed consent are recorded</li> </ul>
<p><b>Reintroduction of captive-bred threatened species</b></p>	<ul style="list-style-type: none"> <li>• Introduction of disease into the wild</li> </ul>	<ul style="list-style-type: none"> <li>• Undertake health checks prior to release</li> </ul>	<ul style="list-style-type: none"> <li>• Monitor introductions and disease outbreaks</li> </ul>

PROJECT ACTIVITY	POTENTIAL IMPACTS	STANDARD MITIGATION MEASURES	MONITORING AND INDICATORS
		<ul style="list-style-type: none"> <li>• System for avoiding and mitigating disease outbreaks</li> </ul>	
<b>Increase in recreational use of protected areas</b>	<ul style="list-style-type: none"> <li>• Impact on habitat and wildlife through increased noise and disturbance, waste, accidental fires, harvesting of rare species or natural resources, introduction of alien invasive species</li> <li>• Lack of maintenance of trails leading to erosion on slopes</li> <li>• Social impacts on affected communities</li> </ul>	<ul style="list-style-type: none"> <li>• Support training and TA to develop skills for effective tourism management</li> <li>• Promulgate rules and guidelines for visitors</li> <li>• Provide waste and toilet facilities</li> <li>• Minimize risk of species introductions, e.g. prohibit firewood transport or transport of boats between water bodies</li> </ul>	<ul style="list-style-type: none"> <li>• Monitoring number of tourists</li> <li>• Monitor habitat disturbance</li> <li>• Consultation processes with communities and their free, prior and informed consent are recorded</li> </ul>
<b>Fire suppression</b>	<ul style="list-style-type: none"> <li>• Impact on fire-dependent ecosystems</li> </ul>	<ul style="list-style-type: none"> <li>• Perform prescribed burns to nurture fire-dependent species</li> </ul>	<ul style="list-style-type: none"> <li>• Monitor fire-dependent indicator species response</li> </ul>
<b>IAS removal (by mechanical means)</b>	<ul style="list-style-type: none"> <li>• Native species accidentally removed</li> </ul>	<ul style="list-style-type: none"> <li>• Provide training on IAS and native species differentiation</li> <li>• Isolate native species through demarcation</li> </ul>	<ul style="list-style-type: none"> <li>• Monitor native indicator species for ecosystem response</li> </ul>

## APPENDIX V: Voluntary Resettlement Action Plan (V-RAP)

1. This Appendix supports the implementation of CI-GEF/GCF's Involuntary Resettlement, Physical and Economic Displacement Standard (ESS 3), which instructs projects to conduct the necessary planning steps in order to avoid involuntary resettlement, minimize other project-initiated resettlement, and mitigate impacts from physical and economic displacement in protected areas.
2. Please note:
  - a) When indigenous peoples are affected, additional provisions should be applied in accordance with ESS 4: Indigenous Peoples.
  - b) The CI-GEF/GCF Project Agency does not support activities that require involuntary resettlement or land acquisition, or the taking of shelter and other assets belonging to local communities or individuals.
  - c) The CI-GEF/GCF Project Agency may support project-initiated voluntary resettlement as an exceptional measure where consent of affected communities has been sought and obtained.
3. The objective of this Appendix is to provide guidance on how to avoid, minimize, or mitigate potentially adverse effects of resettlement and of other restrictions of access to natural resources. In addition, this guidance helps projects ensure that affected communities, including host communities are consulted with and participate in projects in meaningful ways and give consent to project activities affecting them and the options and alternatives in accordance with Policy 3.
4. Disclosure of relevant information and participation of project-affected people will continue during the planning, implementation, monitoring, and evaluation of compensation payments, livelihood restoration activities, and resettlement to achieve outcomes that are consistent with the objectives of this ESMF.
5. The following elements are covered in this Appendix:
  - a) Resettlement and physical/economic displacement planning roles;
  - b) Criteria for determining planning and monitoring requirements under ESS 3;
  - c) CI-GEF/GCF's policy requirements;
  - d) Preparation and contents of a V-RAP;
  - e) Preparation and contents of a Process Framework; and
  - f) Sequence of actions for the development of a Process Framework and V-RAP.

### **a) Resettlement and physical/economic displacement planning roles**

6. The project should assign a qualified safeguard expert with the primary responsibility for leading the design, negotiation and implementation of the requirements of ESS3 (including Process Frameworks and VRAP/Fs). Process Frameworks will seek to engage affected communities through their elected representatives and/or traditional authorities, with care to understand and ensure internal local decision-making processes are inclusive. Where voluntary land acquisition, resettlement or restoration of livelihoods from displacement are the responsibility of a government agency other than the one charged with project implementation, the Executing Agency/Entity will collaborate with the responsible agency to achieve outcomes in accordance with this ESMF that meet or exceed national standards.

### **b) Criteria for determining planning and monitoring requirements under ESS 3**

7. The CI-GEF/GCF safeguard standard on involuntary resettlement and physical/economic displacement (ESS 3) is triggered for projects that include voluntary resettlement and/or physical/economic displacement resulting in adverse impacts on the livelihoods of affected communities and individuals. This may include projects that support efforts to improve enforcement of existing restrictions, e.g. on subsistence cropping, wildlife hunting and livestock

- grazing lands, extraction of timber or non-timber forest products, and production areas, and projects that support the development and implementation of management plans for protected areas or other conservation activities. This also includes projects that provide direct social or economic incentives to change livelihood and natural resource use practices on a voluntary basis.
8. Through the safeguard screening process, the CI-GEF/GCF Project Agency shall determine if a project triggers ESS 3, and if so, the scope of the mitigation measures that need to be applied. The level of detail and scope will be proportional to the size and complexity of the proposed project and its potential impacts on project-affected parties. Safeguard requirements for some projects may be limited (only requiring impact assessments and consultations to be documented in the full proposal and monitoring of potential impacts during implementation), while other projects, including those that may cause physical/economic displacement, will require the preparation of a Voluntary Resettlement Plan (V-RAP) or Process Framework during project development.
    - a) A Voluntary Resettlement Plan (V-RAP) is intended to be applied for projects that identify voluntary resettlement as a realistic impact of the project. A V-RAP is a plan that specifies the procedures that the Executing Agency/Entity will follow and the actions that will be taken to properly resettle and compensate affected people and communities.
    - b) A Process Framework is intended to be applied to projects that propose to restrict access to physical/economic resources or resettlement. It is composed of a process that the project will take to assess, address, and mitigate the impacts of the restriction of access during project implementation.
  9. Table VI provides further explanation for determining if a V-RAP or Process Framework is required and the level of detail necessary. The final determination on the application of the standard on resettlement or physical/economic displacement shall be made by the CI-GEF Agency who will use good technical judgment on a project-by-project basis.

**Table VI: Criteria for Determining Planning and Monitoring of Resettlement or Physical/Economic Displacement**

Policy requirements/ Type of project	V-RAP/ Process Framework	Monitoring and Evaluation
<p><b>Projects involving voluntary resettlement.</b> For example: the creation of a new protected area that involves resettlement of people into buffer zone.</p>	Yes. The development of a V-RAP in a participatory manner is required.	Yes, the project Monitoring and Evaluation Plan should include activities and indicators identified in the V-RAP. Third party monitoring, including community-led monitoring should be considered.
<p><b>Projects involving physical/economic displacement with direct impacts on Indigenous Peoples and local communities.</b> For example:</p> <ul style="list-style-type: none"> <li>• Conservation Agreements or PES incentive programs that restrict community access to NTFP or other ES;</li> <li>• Land use/PA management plan that sets aside/zones for limited or no use;</li> </ul>	Yes, the development of a Process Framework is required.	Yes, the project Monitoring and Evaluation Plan should include activities and indicators identified in the Process Framework.

<ul style="list-style-type: none"> <li>• REDD+/NCS or payment for results programs that restrict logging;</li> <li>• Local infrastructure that affects access to markets</li> <li>• Certification schemes that impose new E&amp;S standards</li> </ul>		
<p><b>Projects with limited physical/economic displacement activities with <i>no direct</i> impacts on Indigenous Peoples and local communities.</b> For example: resource management that addresses unsustainable activities without restricting access resources relied on for food and livelihoods</p>	<p>A full Process Framework is <b>not</b> required. The project full proposal should describe the limited physical/economic displacement and the results of the impact assessment and consultations. The full proposal should also identify measures to ensure that the project will not adversely affect indigenous peoples and local men’s and women’s livelihoods or customary rights.</p>	<p>Yes, the project Monitoring and Evaluation Plan should include indicators to measure the impacts of any activities that restrict access of Indigenous Peoples and local communities to physical/economic resources.</p>
<p><b>Projects with restrictions affecting indigenous peoples and local communities’ livelihoods and well-being and projects where relocation of people is considered necessary as an exceptional measure.</b></p>	<p>Yes, the development of a Process Framework is required. The level of detail and scope should be proportional to project activities and their impacts on affected communities. The participatory approach used to develop the Process Framework should be consistent with good faith negotiations for consent.</p>	<p>Yes, the project Monitoring and Evaluation Plan should include activities and indicators identified in the Process Framework.</p>

**c) CI-GEF/GCF Policy Requirements**

- Involuntary resettlement must be avoided, and any voluntary resettlement or displacement must avoid or minimize impacts. Where voluntary relocation of people is considered necessary as an exceptional measure, such relocation shall take place only with their free, prior and informed consent while minimizing and compensating for impacts. However, in the case of GEF projects, GEF funding cannot be used to finance the cost of the physical relocation or displacement of people.
- The V-RAP and Process Framework documents must identify all people affected by the project and all adverse impacts on their livelihoods associated with the project’s activities. Affected persons should be assisted in their efforts to improve or at least restore their livelihoods and standards of living in real terms relative to pre-displacement levels or to levels prevailing prior to the beginning of project implementation, whichever is higher (ESS 3).
- The ultimate goal of ESS 3 is to enable those displaced by a project to improve their standard of living—a goal that requires an examination of social, environmental, and economic conditions beyond simple physical inventories<sup>28</sup>.

<sup>28</sup> IFC, Handbook for Preparing a Resettlement Action Plan  
CI-GEF/GCF Project Agency’s ESMF: Version 07, October 2020.

13. Typical effects of physical/economic displacement can include a wide spectrum of impacts such as the breakup of communities and social support networks; loss of dwellings, farm buildings, and other structures (wells, boreholes, irrigation works, and fencing), agricultural land, trees, and standing crops; impeded or lost access to community resources such as water sources, pasture, forest and woodland, medicinal plants, game animals, or fisheries; loss of business; loss of access to public infrastructure or services; and reduced income resulting from these losses. The impacts should not be considered the same across the board, but may manifest differently according to gender, social class, age, or other social type.
14. A key element of the Standard's requirements is the informed participation of affected communities in developing and implementing measures to address physical/economic displacement. Affected communities have the right to free, prior and informed consent and to participate in deciding on the nature and extent of the resource restrictions, the eligibility criteria, and the measures to mitigate impacts arising from resource restrictions.
15. To ensure consent is based on good-faith negotiation with affected peoples, the development of V-RAP and Process Framework measures shall address:
  - a) How community needs with respect to capacity to engage in negotiation, including a sufficient technical understanding of the proposed project,<sup>29</sup> were established and addressed;
  - b) Community access to independent technical advice on impact assessment and benefit sharing alternatives to inform their engagement;
  - c) Community access to comparable agreements in the sector, or relevant design details, as possible benchmarks for assessing options;
  - d) Meaningful involvement in the supervision of agreement compliance along with adequate resources to support this activity;
  - e) Clarity on the actions to be taken in response to conditions of non-compliance by either party to the agreement, and;
  - f) Access to a functioning, culturally appropriate AGM that does not restrict access to the judicial system to address unmet obligations in the agreement.

**d) Preparation and Contents of a Voluntary Resettlement Action Plan (V-RAP)**

16. During project preparation, the Executing Agency/Entity will prepare a V-RAP with informed participation of affected communities. The V-RAP will specify the procedures that the Executing Agency/Entity will follow and the actions that will be taken to properly consult, plan, resettle and compensate affected people and communities, and monitor the implementation of the plan.
17. The scope and level of detail of resettlement planning will vary with circumstances, depending on the project's complexity, the magnitude of its effects and the outcome of good-faith negotiations with the resettled community. As a minimum requirement,<sup>30</sup> a V-RAP must ensure that the livelihoods of people affected by the project are restored to levels prevailing before inception of the project. However, simple restoration of livelihood may be insufficient to protect affected populations from adverse project impacts, especially induced effects such as competition for resources and employment, inflation, and the breakdown of social support networks. For this reason, the CI-GEF/GCF Project Agency seeks to promote the improvement of the living standards of people affected by the project.

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<sup>29</sup> For example, for projects with benefit sharing plans that include costs for intermediation or complex revenue allocation schemes, the community should have access to the full proposed plan, including the cost recovery or other justifications behind each offtake component.

<sup>30</sup> IFC, Handbook for Preparing a Resettlement Action Plan  
CI-GEF/GCF Project Agency's ESMF: Version 07, October 2020.

18. To ensure that resettlement activities result in measurable improvements in the economic conditions and social well-being of affected people and communities, projects should make available to affected peoples the same tools, resources and technical advice that is necessary to effectively negotiate any resettlement agreement, as identified above. According to the IFC Handbook for Preparing a Resettlement Action Plan, the essential components of a V-RAP are the following:
- a) **Identification of project impacts and affected populations:** The V-RAP must identify all people affected by the project and all adverse impacts on their livelihoods associated with the project's land acquisition, recognizing that men and women may have different livelihoods and therefore are impacted differently. Typical effects include breakup of communities and social support networks; loss of dwellings, farm buildings, and other structures (wells, boreholes, irrigation works, and fencing), agricultural land, trees, and standing crops; impeded or lost access to community resources such as water sources, pasture, forest and woodland, medicinal plants, game animals, or fisheries; loss of business; loss of access to public infrastructure or services; and reduced income resulting from these losses.
  - b) **A legal framework for land acquisition and compensation:** The legal framework of a V-RAP describes all laws, decrees, policies and regulations relevant to the resettlement activities associated with a project. Many countries have legislation and policies governing land expropriation and compensation for affected assets. However, policy governing resettlement is often poorly defined, if not altogether lacking. The Executing Agency/Entity is required to identify, review, and abide by all laws of the host country that are applicable to land acquisition and resettlement.
  - c) **A compensation framework:** The V-RAP compensation framework specifies all forms of asset ownership or use rights among the population affected by the project and the project's strategy for compensating them for the partial or complete loss of those assets.
    - i. The compensation framework should include a description of the following: 1) any compensation guidelines established by the host government; 2) in the absence of established guidelines, the methodology that the project will use to value losses; 3) the proposed types and levels of compensation to be paid; 4) compensation and assistance eligibility criteria; and 5) how and when compensation will be paid<sup>31</sup>.
    - ii. Some minimum compensation standards will be met, including the transparent and consistent application to all project-affected people. Where livelihoods of displaced persons are land-based, or where land is collectively owned, the Executing Agency/Entity will, where feasible, offer the resettled land-based compensation of similar quality. The Executing Agency/Entity will take possession of acquired land and related assets only after compensation has been made available and, where applicable, resettlement sites and moving allowances have been provided to the displaced persons in addition to compensation.
    - iii. For persons whose livelihoods are natural resource-based and where project related restrictions on access envisaged, implementation of measures will be made to either allow continued access to affected resources or provide access to alternative resources with equivalent livelihood-earning potential, accessibility and safety.
    - iv. Where appropriate, benefits and compensation associated with natural resource usage may be collective in nature rather than directly oriented towards individuals or households.

<sup>31</sup> See ESS 3, paragraph 10, note on compensation valuation methodology  
CI-GEF/GCF Project Agency's ESMF: Version 07, October 2020.



- d) **A description of resettlement assistance and restoration of livelihood activities:** The Executing Agency/Entity should avoid or minimize the physical/economic displacement of people by exploring alternative project designs. Where displacement is unavoidable, the Executing Agency/Entity (after receiving free, prior informed consent through good-faith negotiated agreement on VRAP design) should plan and execute resettlement as a development initiative that provides displaced persons with opportunities to participate in planning and implementing resettlement activities as well as to restore and improve their livelihoods.
- e) **A detailed budget:** It is essential that all costs be estimated carefully and included in a detailed V-RAP budget. The Executing Agency/Entity should itemize resettlement costs by categories of impact, entitlement, and other resettlement expenditures including training, project management, and monitoring. The results should be presented in a tabular form that illustrates expenditures over the life of the project. To ensure that all adverse impacts have been taken into account, budget line items should be checked against categories of adverse impact and entitlements.
- f) **An implementation schedule:** The V-RAP budget should be linked with a detailed implementation schedule for all key resettlement and rehabilitation activities. This schedule should, in turn, be synchronized with the project's schedule of any construction. Timing of the V-RAP field activities (consultation, census, and survey implementation) is crucial: commencement of field activities too soon before the project begins may raise local expectations and attract newcomers; commencement of activities too late after the project starts may interfere with project implementation. Executing Agencies/Entities and project planners should be attentive to the agricultural and employment cycles of affected people and avoid scheduling key resettlement activities at times that may disrupt these cycles. Linking resettlement and construction schedules ensures that project managers place key resettlement activities on the same critical path as key project construction activities. Linking schedules in this way creates an imperative for coordinating resettlement with other project activities throughout the chain of project management.
- g) **A description of organizational responsibilities:** The V-RAP must identify and provide details on the roles and responsibilities of all organizations—public or private, governmental or nongovernmental and within the affected community or host community — that will be responsible for resettlement activities. It is the responsibility of the Executing Agency/Entity to assess the capacity of these organizations to carry out their responsibilities and to provide the results of any assessments to the CI-GEF/GCF Project Agency.
- h) **A framework for public consultation, participation, and development planning:** Effective voluntary resettlement planning requires timely, informed regular consultation with a wide range of project stakeholders throughout the life of the project. Broadly defined, stakeholders include any individual or group affected by the project; and any individual or group that can play a significant role in shaping or affecting the project, either positively or negatively, including the host community. Early consultation helps to manage public expectations concerning the impact of a project and its expected benefits.
- i) **Negotiating consent of affected peoples to a V-RAP.** Meaningful project consultation with people affected by resettlement is mandatory and provides the first step for the sponsor and representatives of people affected by the project to negotiate compensation packages and eligibility requirements, resettlement assistance, and the timing of resettlement activities. Consistent with the procedures identified in Process Frameworks (paragraph 16) the Executing Agency/Entity will ensure the same minimum provisions for any negotiation

process that leads to an approved VRAP. See ESS4 and Appendix VI for negotiation process provisions for indigenous peoples plans involving resettlement.

- j) **A description of provisions for redress of grievances:** The grievance mechanism will be established consistent with Policy 4 as early as possible in the project development phase to allow the Executing Agency/Entity to receive and address specific concerns about compensation and relocation raised by displaced persons or members of host communities in a timely fashion, including a recourse mechanism designed to resolve disputes in an impartial manner. Specifically for ESS 3, the project must make special accommodations for women and members of vulnerable groups to ensure that they have equal access to grievance redress procedures. Such accommodation may include employment of women or members of vulnerable groups to facilitate the grievance redress process or to ensure that groups representing the interests of women and other vulnerable groups take part in the process.
- k) **A framework for monitoring, evaluation, and reporting:** Executing Agencies/Entities are required to monitor and report on the effectiveness of V-RAP implementation, including the physical progress of resettlement and rehabilitation activities, the disbursement of compensation, the effectiveness of public consultation and participation activities, and the sustainability of income restoration and development efforts among affected communities.

**e) Preparation and Content of a Process Framework**

19. During project preparation phase, the Executing Agency/Entity prepares a Process Framework with the informed participation of affected communities. As appropriate, the Executing Agency/Entity will draw on social, legal, and other technical expertise when preparing the Framework.
20. Consultations with affected communities are undertaken to inform the Framework. Depending on the scope of project impacts, it may be appropriate to consult only a sample of potentially affected communities. However, a draft Framework should be disclosed to all potentially affected communities for their approval prior to submitting the full proposal for final approval by CI-GEF/GCF Project Agency. Typically, the Executing Agency/Entity will prepare a draft Framework that will then be shared and discussed with communities and other relevant stakeholders. Based on the consultations, a final Framework and general project design will be prepared. CI-GEF/GCF Project Agency may provide guidance on development of the Framework and will review and approve the final Framework along with the full project proposal.
21. The level of detail of the Process Framework may vary depending on project activities, characteristics of restrictions and their impacts, and the number of persons affected. It is not meant to include the final impact assessment and measures to address impacts, but rather the process to determine and develop these during project implementation. The Framework will describe the project and how restrictions of access to natural resources and measures to assist affected communities (disaggregated by men and women as appropriate) will be determined with the participation of affected communities. It should include the following elements:
  - a) **Project background:** Describe the project and its local context (including an overview of indigenous peoples and local communities and other relevant stakeholders and their respective use of natural resources in the project area, disaggregated by men and women as appropriate), how the project was prepared, including consultations with indigenous peoples and local communities and other stakeholders, and the findings of any social analysis or surveys that informed design, including gender-related considerations. It will describe project activities and their potential impacts.

- b) Participatory implementation:** Detail the participatory planning process during project implementation for determining restrictions, mutually acceptable levels of resource use, management arrangements, and measures to address impacts on indigenous peoples and local communities. The roles and responsibilities of stakeholders and the methods of participation and decision-making should be described; decision-making may include the establishment of representative local structures, the use of open meetings, and involvement of existing local institutions, being sure that marginalized/vulnerable groups (such as women and youth) are able to participate in decision-making processes. Methods of consultation and participation should be in a form appropriate for the indigenous peoples and local communities.
- c) Potential areas of impact:** This section should detail the specific social, environmental, and cultural areas where the project activities may lead to impacts on local communities with the possibility of voluntary resettlement and/or physical/economic displacement. These areas of potential impact should be the basis for assessing the adequacy of proposed mitigation actions, and/or compensation in the negotiation of a benefit sharing agreement or V-RAP to be monitored during implementation in order to evaluate the need for additional planning. Potential areas of impact may be identified by considering the following:
- i. The cultural, social, economic, and geographic setting of the communities in the project areas;
  - ii. The types and extent of community use (and use by men and women) of natural resources, and the existing rules and institutions for the use and management of natural resources;
  - iii. Identification of village territories and customary use rights;
  - iv. Local and indigenous knowledge of biodiversity and natural resource use;
  - v. The threats to and impacts on the biodiversity from various activities in the area of both indigenous peoples and local communities and other stakeholders (e.g. external poachers and traders, development activities);
  - vi. The potential livelihood impacts on men and women of new or more strictly enforced restrictions on use of resources in the area; and
  - vii. Potential conflicts over the use of natural resources, and methods for solving such conflicts.

Impacts from economic displacement should be based on well-founded understandings of the biological and socio-economic contexts, including threats to biodiversity and ecosystems; and with the free, prior and informed consent of the project-impacted communities provided through good-faith negotiations.

It is important to also pay particular attention to land tenure issues, including traditional land rights and obligations and use of natural resources by different indigenous peoples and local communities and differences among men and women. For instance, areas used to collect non-timber forest products and for shifting cultivation, including fallow areas under traditional farming systems, should not be exposed to restrictions unless this is necessary for the conservation of important biodiversity and protection of threatened species and until appropriate agreements with indigenous peoples and local communities reached and alternatives found. Likewise, many people (particularly women) whose livelihoods depend on cultivation do not have legal tenure to that land; it is important to consider not only the impact on livelihoods of land owners, but also those who work the land.

- d) Criteria for eligibility of affected persons.** The Framework describes how indigenous peoples and local communities will participate during project implementation in establishing criteria for

eligibility for assistance to mitigate adverse impacts and improve livelihoods, or may include these criteria in the Framework itself. However, in most cases they will be developed, or refined, during implementation, typically as part of the participatory ESIA process.

The eligibility criteria would determine which groups and persons are eligible for assistance and mitigation measures while discouraging ineligible persons, such as opportunistic settlers, from claiming benefits. That is, the criteria may exclude certain affected persons or groups from assistance because their activities are clearly illegal, unsustainable and destructive (e.g., wildlife poachers, dynamite fishers). The criteria may also distinguish between persons utilizing resources unsustainably and opportunistically, and others using resources for their livelihoods, and between groups with customary rights and non-residents or immigrants. The eligibility criteria should also establish a cut-off date.

The Framework should identify vulnerable groups and describe what special procedures and measures will be taken to ensure that these groups will be able to participate in, and benefit from, project activities. Vulnerable groups are groups whose community survival is at risk, or who may be at risk of being marginalized from relevant project activities and decision-making processes, such as groups highly dependent on natural resources, forest dwellers, indigenous peoples, groups or households without security of tenure, women, youth, elders, mentally and physically handicapped people, people in poor physical health, and the very poor.

- e) **Measures to assist the affected persons.** The Framework should describe how groups or communities will be involved in determining measures that will assist affected persons in managing and coping with impacts from agreed economic displacement. The common objective is to improve or restore, in real terms, their livelihoods while maintaining the sustainability of the project objectives for conservation and protection of threatened species. However, in some circumstances affected communities may agree to restrictions without identifying one-for-one mitigation measures as they may see the long-term benefits of improved natural resource management and conservation. Possible measures to offset losses may include:
- i. Special measures for recognition and support of customary rights to land and natural resources;
  - ii. Transparent, equitable, and fair ways of more sustainable sharing of the resources;
  - iii. Access to alternative resources or functional substitutes;
  - iv. Alternative livelihood and income-generating activities;
  - v. Health and education benefits;
  - vi. Obtaining employment, for example as park rangers or eco-tourist guides, , as well as in wider project functions, such as stakeholder engagement, technical advising or monitoring and evaluation; and
  - vii. Technical assistance to improve land and natural resource use, and marketing of sustainable products and commodities.

Any measures agreed to as a result of Framework implementation should be in place before restrictions are enforced, although they may be implemented as restrictions are being introduced or enforced. These measures should take into account that men and women may have different interests when it comes to resource sharing, alternative livelihoods, or benefits, and ensure that measure directly respond to the specific needs and interests of those affected.

- f) **Agreement on Process Framework.** The Framework should describe the decision-making mechanism of the affected parties and communities and how the project received approval of the Process Framework from the affected parties and communities.

In preparation for the negotiation of agreements on restriction of access to resources and/or resettlement, the Process Framework should include detailed description of means by which a good-faith negotiation with affected peoples will lead to a comprehensive agreement covering all benefits and costs, as well as roles and responsibilities and the arrangements for implementing and monitoring these processes.

- g) **Conflict resolution and complaint mechanism.** The Framework shall describe how conflicts involving affected persons will be resolved, and the processes for addressing grievances raised by affected communities, households or individuals regarding the restrictions, criteria for eligibility, mitigation measures and implementation of these elements of the Process Framework.

Roles and responsibilities concerning conflict resolution and grievances of stakeholders, including Executing Agency/Entity, affected communities and government agencies, will be described. Procedures should take into account local dispute resolution practices and institutions. Unless affected communities request an alternative process, the Accountability and Grievance Mechanism Policy described in this ESMF shall apply.

- h) **Implementation arrangements.** The Framework should describe the implementation arrangements, including activity timetable and the roles and responsibilities of different stakeholders, such as the Executing Agency/Entity, affected communities, and relevant government agencies in the implementation of the V-RAP. This includes agencies involved in the implementation of mitigation measures, delivery of services and land tenure, as appropriate and to the extent that these are known at the time of project preparation.

Monitoring and evaluation arrangements must also be described in the Framework, and should include indicators, a budget and responsible parties for its implementation.

- f) **Sequence of actions for the development of a Process Framework and V-RAP**  
Project preparation phase:

<b>Step</b>	<b>Process Framework/VRAP preparation steps</b>	<b>Guidance notes</b>
1	Based on screening, the need for Process Framework under ESS3 is triggered	<i>reflected in safeguard screening document and approved PIF</i>
2	Process Framework (PF) preparation is started by EA/E and PF ToR or preliminary draft is consulted with affected peoples/communities	<i>part of ESIA scoping stakeholder engagement, should be reflected in consent documentation</i>
3	Interim AGM is established to handle possible complaints related to the PF and /or VRAP design, consultation and negotiation process	<i>some type of grievance mechanism should be accessible during project preparation.</i>
4	Advanced draft PF and /or VRAP is consulted with affected people/communities	<i>advanced draft should reflect ESIA review stage stakeholder engagement</i>
5	Final PF and /or preliminary draft VRAP is disclosed to affected people/communities, and submitted to CI-GEF/GCF Project Agency for review and approval	<i>documentation on consent to PF is provided</i>
6	Approved document included in project document.	

Project implementation phase:

Step	For <b>regular projects with clearly identified risks and benefits</b> ( <i>not intermediary or having subprojects</i> )	For <b>Intermediary projects that can fully identify and define risks and benefits during early stage of implementation</b>
7	PF is implemented (sets the rules for engagement for negotiation of benefit sharing agreement or VRAP)	PF is implemented (sets the rules for engagement for negotiation of Voluntary Resettlement Action Framework (VRAP))
8	PF implementation involves more consultation on restricted access or benefits, informed by ESIA, draft Benefit Sharing or Conservation Agreement or Compensation Agreement, etc.	PF implementation involves more consultation on restricted access and/or resettlement costs and benefits, informed by ESMF, draft VRAP, etc.
9	Agency review and approval of Agreements with project-affected communities	Agency review and approval of Agreements with project-affected communities
10	PF implementation guides good-faith negotiation over VRAP	PF implementation guides good-faith negotiation over VRAP
11	VRAP is implemented in Y1 of Project implementation	VRAP guides good-faith negotiation of subproject specific VRAPs (follow steps 5-10 for regular project VRAP negotiation)
12	VRAP is monitored, reported, and informed by ongoing consultation/engagement	VRAP agreements for subprojects are reached (consent documentation provided)
13		VRAP is monitored, reported, and informed by ongoing consultation/engagement

## **APPENDIX VI: Indigenous Peoples Plan (IPP)**

1. This section provides guidance for applying the minimum standards for ESS4: Indigenous Peoples.
2. Throughout this section, the CI-GEF/GCF Project Agency has referred specifically to indigenous peoples in recognition of their unique cultural and socio-economic circumstances, historic and current vulnerability, place-based culture, and the internationally recognized rights afforded them, such as under International Labour Organization’s Convention N° 169 (ILO 169) and the United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP).
3. These international instruments recognize the right to *Free, Prior and Informed Consent* (FPIC) for indigenous/tribal peoples alone. However, in practice the principles underlying FPIC are increasingly extended to affected local communities, as well. This extension is consistent with the Convention on Biological Diversity, which recognizes that both indigenous and local communities have rights to prior informed consent. In short, FPIC has emerged a best practice standard for all affected communities.
4. In our work, the processes of consultation and seeking FPIC will be applied to all affected communities, with the distinction that indigenous peoples enjoy a higher standard of protection based on their vulnerability and place-based culture. Thus, for indigenous peoples, the CI-GEF/GCF Project Agency would place greater priority on avoidance of adverse impacts compared to other local communities, for which mitigation or compensation may be more feasible without damage to the community. This section thus guides our work with all communities and outlines these best practice standards consistent with CI policies.

### **Applicability and objectives**

5. The CI-GEF/GCF ESMF policies concerning indigenous peoples recognize the marginalization that indigenous peoples often face, increasing the risks of and negative impacts from development projects. As social groups with identities that are often distinct from dominant groups in their national societies, indigenous peoples are frequently among the most marginalized and vulnerable segments of the population. As a result, their economic, social, and legal status often limit their capacity to defend their rights to lands, territories, and other productive resources, and restricts their ability to participate in and benefit from development.
6. At the same time, CI recognizes that indigenous peoples play a vital role in sustainable development and emphasize that conservation should learn from and follow the lead of indigenous peoples, respecting their traditional indigenous knowledge and practices that form their cultural heritage and intellectual property and that are important for the sustainable management of lands, territories and natural resources.
7. The purpose of CI-GEF/GCF ESS 4 is to avoid adverse impacts on indigenous peoples, ensure their full and effective participation in decision making related to the project, and to provide indigenous peoples with culturally appropriate social and economic benefits that have been negotiated with them. To meet these objectives, the Indigenous Peoples Plan describes planning procedures that Executing Agency/Entity will follow during the preparation and implementation of GEF/GCF funded projects.

### **Project Risks to Indigenous Peoples**

8. Many areas with threatened species and other biodiversity values overlap with lands or territories traditionally owned, customarily used, or occupied by indigenous peoples. CI-GEF/GCF projects can be a strong partner in sustainable development, with the projects providing funding and technical support and indigenous peoples providing local context and generations of sustainable management expertise. On the other hand, projects supported by GEF/GCF could also adversely affect indigenous peoples and the lands and resources on which they depend. Potential impacts

and risks may include (these are illustrative only, and do not exclude other impacts in particular cases):

- a) Loss of customary rights to land and natural resource use areas as well as areas used for social, cultural and spiritual purposes. Such rights would need to be identified and recognized in specific projects;
- b) Changes in land and natural resource use that do not take into consideration traditional resource use practices<sup>32</sup>. Activities that support land and natural resource use changes based on unfounded assumptions that these are unsustainable may inflict both adverse social (e.g., decreased food security, exposure to impoverishment and diseases) and environmental consequences (e.g., over-exploitation of remaining land use areas). Such activities should only be undertaken based on a thorough understanding of both biological and social evidence, and through consultations with indigenous peoples;
- c) Loss of culture and social cohesion. Given indigenous peoples' social and political marginalization and their distinct cultures and identities, which are often intertwined with their land and natural resource use practices, interventions may adversely affect their culture and social organization, whether inadvertently or not. While indigenous communities may welcome and seek change, they can be vulnerable when such change is inconsistent with their worldview and imposed from external forces without their full participation and consent; and
- d) Inequitable benefits and participation. Given their social and political marginalization, indigenous peoples may not reap the benefits of conservation projects because FPIC processes often lack adequate support to engage in good-faith negotiation of IPPs. For example, consultation processes fail to recognize the costs (e.g., in time and resources) of participating in project activities, plus any remaining adverse impacts may also outweigh the narrow range of benefits to indigenous peoples. Project design may not include appropriate capacity building (when needed), appropriate representation of indigenous peoples in decision-making bodies, or take into consideration local decision-making structures and processes. This may lead to alienation of indigenous peoples or conflicts with and/or between communities. It is important also to recognize that certain subgroups may be at an especially vulnerable position – indigenous women, for example, often have even fewer rights and reduced ability to access benefits and participation. It is important to ensure these subgroups are not 'glossed over' and that they are given equal rights to the rest of the group.

### **Safeguard Screening for Indigenous Peoples**

9. CI-GEF/GCF projects are required to screen for the presence of indigenous peoples early during project preparation.
10. For the purpose of the ESS 4, the term indigenous peoples is used in a generic sense to refer to a distinct social and cultural group possessing the following characteristics in varying degrees:
  - a. Self-identification as members of a distinct indigenous social and cultural group and recognition of this identity by others;
  - b. Collective attachment to geographically distinct habitats, ancestral territories, or areas of seasonal use or occupation as well as to the natural resources in these areas;
  - c. Customary cultural, economic, social, or political systems that are distinct or separate from those of the mainstream society or culture; and,

<sup>32</sup> This includes the seasonal migration of some indigenous peoples outside of their territories for economic or social purposes, including hunting and gathering and participating in spiritual ceremonies.



- d. A distinct language or dialect, often different from the official language or languages of the country or region in which they reside. This includes a language or dialect that has existed but does not exist now due to impacts that have made it difficult for a community or group to maintain a distinct language or dialect.
11. The safeguard screening process can be based on literature review and secondary sources, but would usually also include consulting experts, including within CI, on the local context. Safeguard screening may also involve consultations with affected communities, indigenous peoples organizations, CSOs, and government representatives, as appropriate. In situations of uncertainty, disagreements, or controversy, the CI-GEF/GCF Project Agency may seek guidance from the GEF or GCF.
12. Once it has been determined that indigenous peoples are present in the project area, the Executing Agency/Entity must assess the particular circumstances of the affected communities and assesses the project's positive and adverse impacts on them. Adverse impacts on project-affected communities of indigenous peoples should be avoided where possible. Where alternatives have been explored and adverse impacts are unavoidable, an ESIA should identify the means to avoid or minimize, restore or otherwise mitigate adverse impacts. The Executing Agency/Entity must also ensure that project activities are culturally appropriate, will enhance benefits to target groups, and determine if the project is likely to succeed in the given socioeconomic and cultural context. In this way, the ESIA informs the preparation of the project and/or the preparation of an IPP.
13. As stressed before, the level of detail of the ESIA depends on project activities and the nature and scale of effects on indigenous peoples. The findings are described in the project's full proposal, together with a short description of the indigenous communities and social context. The ESIA would confirm that any impacts the project might have on indigenous peoples, and identify any particular issues to consider in project design and during project implementation concerning indigenous peoples. The ESIA is discussed with the indigenous communities during the consultation and negotiation process (see below).
14. For larger or more complex projects with potential adverse impacts, the Executing Agency/Entity contracts outside independent experts to conduct the ESIA. An ESIA is prepared and summarized in the Project Proposal. The ESIA must document meaningful consultations with indigenous peoples and local communities.
15. Where knowledge of potential impacts is not well understood and critical to the project design, indigenous peoples can lead their own impact assessment, or co-develop the assessment.
16. In regional projects involving two or more countries or in border areas where interconnected communities of indigenous peoples are present, the Executing Agency/Entity will define actions to address adverse impacts of the project that might affect transborder peoples. Such measures can include consultation and good faith negotiation processes, legal security and territorial control programs, and other culturally appropriate programs related to rights and priorities in health, freedom of movement, dual nationality (within the context of the applicable legal obligations and commitments), and cultural, social, and economic integration between the affected peoples.
17. For projects with the potential of directly or indirectly impacting communities of indigenous peoples living in isolation and initial contact, appropriate measures will be adopted to ensure respect for the rights of indigenous peoples to remain in isolation and to live freely according to their culture, on their lands and territories, maintaining their way of life. Such measures will:
  - a. Prioritize avoidance of contact with them as a direct or indirect consequence of the project, in collaboration with responsible governments agencies to regulate the territories of the uncontacted peoples by establishing buffer zones, limiting access to such territories, and developing monitoring and emergency response measures;

- b. recognize, respect and protect their lands and territories, environment, health and culture; and
  - c. safeguard the integrity of these peoples chosen way of life.
18. As appropriate for the level of complexity of the proposed project and commensurate with the nature and scale of its potential effects on the indigenous peoples, the ESIA should include the following elements:
- a) A description, on a scale appropriate to the project, of the legal and institutional framework applicable to indigenous peoples;
  - b) Baseline information on the demographic, social, cultural and political characteristics of the affected indigenous communities, and the land and territories which they traditionally own, or customarily use or occupy and the natural resources on which they depend;
  - c) Description of key project stakeholders and the elaboration of a culturally appropriate process for consultation, participation, and good-faith negotiation to seek indigenous peoples' free, prior and informed consent both prior to and during project implementation;
  - d) An assessment, based on consultation with the affected indigenous peoples of the potential adverse and positive effects of the project. Critical to the determination of potential adverse impacts is an analysis of the relative vulnerability of, risks to, and expectations of the affected indigenous communities given their distinct circumstances, ties to land and dependence on natural resources, as well as their lack of opportunities relative to other social groups in the communities, regions, or national societies they live in; and
  - e) Identification and evaluation, based on consultation with and the free, prior and informed consent of the affected indigenous peoples' communities, of measures to ensure that the indigenous peoples receive culturally appropriate benefits under the project and measures necessary to avoid adverse effects, or if such measures are not feasible, identification of measures to minimize, mitigate, or compensate for such effects.
19. The Executing Agency/Entity is responsible for the oversight of the implementation of a consultation process. At a minimum, the Executing Agency/Entity undertakes a process of consultations with indigenous peoples during project preparation to inform them about the project, fully identify their views, inform/adapt the project design, and to participate in project implementation. It is important to ensure that community representatives giving consent are truly representative of the community; traditional leaders may not necessarily have the full picture of how a project may impact certain subgroups, such as women, in the community.
20. The Executing Agency/Entity will develop a strategy and process in conjunction with the community for indigenous peoples' consultation and participation in decision-making during project design and implementation, including for participatory monitoring and evaluation, and through which consent can be sought at multiple stages throughout the life of the project.
21. The extent of consultations depends on the project activities, their impacts on indigenous peoples and the circumstances of the communities. For projects with no impacts on or no direct interventions with the indigenous communities, indigenous peoples are informed about the project prior to its implementation, asked for their views on the project, and assured that they will not be affected during project implementation.
22. Consultations with project affected communities of indigenous peoples should be conducted in a manner that is culturally appropriate taking into consideration the indigenous communities' decision-making processes. All project information provided to indigenous peoples should be in a form appropriate to their needs, and taking into account literacy levels. Local languages should be used and efforts should be made to include all community members, including women and members of different generations and social groups (e.g. clans and socioeconomic background).

The consultations should occur without any external manipulation, interference, or coercion. Communities should have prior access to information about the intent and scope of the project, including possible positive and negative results, and should be allowed to have discussions amongst themselves before agreeing or not to project activities.

23. If the indigenous communities are organized in community associations or umbrella organizations, these may also be consulted. In some cases, it may be necessary to include in the process independent entities that have the affected communities' trust. The experience of (other) locally active CSOs and indigenous peoples experts may also be useful.
24. Consultations will be documented including evidence of good-faith negotiation between the Executing Agency/Entity and indigenous peoples leading to any agreement, or the IPP, that provides consent to the project. The consultation and consent process should be described in the full proposal and, if required, the IPP; any disagreements raised will also be documented, including how they were resolved or addressed.

### **FPIC conditions and process**

25. For projects affecting indigenous communities, whether positively or adversely, including those that potentially contribute to the loss of, alienation from or exploitation of the land, territories, and access to natural and cultural resources of indigenous peoples a more elaborate consultation and FPIC process is required. This includes lands, territories and waters for which indigenous peoples may not possess legal title to as defined by national law. Traditional and customary use can often be substantiated and documented through other means. FPIC applies to project design, implementation, and expected outcomes related to impacts, positive or negative, affecting the communities of Indigenous Peoples.
26. The terms in FPIC are as defined by the United Nations Economic and Social Council (2005): *Free*: Without coercion, intimidation, or manipulation; *Prior*: Before the key decisions that define any activity while also respecting time requirements of indigenous consultation/consensus processes; *Informed*: Indigenous peoples have full information about the scope and impacts of the proposed activity on their lands, resources and well-being as well as the range of expected benefits; *Consent*: the collective right to say yes or no as a result of culturally appropriate consultation, respectful of customary decision-making processes and leading to agreements or decisions reached through good faith negotiations between project proponents and project affected communities of indigenous peoples.
27. A consultation process that seeks FPIC of indigenous peoples affected by the project will ensure that all relevant social groups within the community have been adequately consulted (e.g., women, elders, etc.). The decision-making process of the affected indigenous peoples should determine the appropriate approach for ascertaining that they have provided their agreement to the proposed project activities. However, if these traditional decision-making processes exclude certain segments of the population, such as women, extra effort must be made to ensure the consultation process includes them.
28. FPIC should include actions that:
  - a) Inform affected indigenous communities about proposed project objectives and activities prior to final stages of project preparation so that their concerns and recommendations can be addressed in project development;
  - b) Ensure that project-affected communities of indigenous peoples are informed of their land rights under national law, including any national law recognizing customary use rights;
  - c) Identify and address capacity building needs to engage effectively in consultation about the project, including a sufficient technical understanding of the proposed project (as needed);

- d) Discuss and assess possible adverse impacts and ways to avoid or mitigate them;
- e) Discuss and assess potential project benefits and how these can be enhanced and shared equitably;
- f) Identify land tenure issues, including recognition of customary rights to land and unresolved land conflicts that may affect or be addressed by the project;
- g) Discuss and assess indigenous natural resource use management strategies and identify possible ways these practices may enhance the project design and in turn how the project may promote these or at least safeguard these practices;
- h) Identify and discuss (potential) conflicts with other communities and how these might be avoided;
- i) Discuss and assess community well-being, food security, access to services, employment and business interests, and how this might be affected or enhanced through project interventions;
- j) Elicit and incorporate indigenous knowledge about tangible and intangible cultural heritage into project design, as appropriate (see ESS 6);
- k) Offer compensation, equitable project benefit sharing and due process in the case of development of their land, territories, and natural resources, together with culturally appropriate sustainable development opportunities;
- l) Based on these discussions, establish and document a process for good-faith negotiations with the affected communities to seek their consent to project activities affecting them that may afford the following:
  - o Access to independent technical advice on impact assessment and benefit sharing alternatives<sup>33</sup>;
  - o Access to comparable agreements in the sector, or relevant design details, as possible benchmarks for assessing options
  - o Options for meaningful involvement in the supervision of agreement compliance along with adequate resources to support this activity;
  - o Clarity on timely corrective actions triggered by conditions of non-compliance by either party to the agreement;
  - o Access to a functioning, culturally appropriate AGM that does not restrict access to the judicial system to address unmet obligations in the agreement.

### **Indigenous Peoples Plan (IPP)**

- 29. Based on the social assessment and consultations, the project is designed to address issues pertaining to indigenous peoples. If a project may potentially have adverse impacts on, or have direct interventions with indigenous communities, an Indigenous Peoples Plan is prepared. Whether a project requires an IPP is determined by the CI-GEF/GCF Project Agency.
- 30. If a project also involves physical and economic displacement, a V-RAP and an IPP should be prepared in tandem and with the participation of affected indigenous communities. In cases where indigenous peoples are the sole or the overwhelming majority of direct project beneficiaries and the project focus is delivery of these benefits, a stand-alone IPP is not required; instead the elements of an IPP can be included in the overall project design document.
- 31. The IPP should include the following elements and principles, as appropriate (level of detail may vary depending on the specific project and the nature of effects to be addressed):

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<sup>33</sup> For example, for projects with benefit sharing plans that include costs for intermediation or complex revenue allocation schemes, the community should have access to the full proposed plan, including the cost recovery or other justifications behind each offtake component.

- a) Background and baseline information (from independent and participatory environmental and social risks and impacts assessment processes) including a summary of the legal and institutional framework applicable to indigenous peoples in the area and a brief description of the demographic (sex-disaggregated), social, cultural, and political characteristics of the affected indigenous peoples' communities, the land and territories that they have traditionally owned or customarily used or occupied, and the natural resources on which they depend;
- b) Key findings and analyses of impacts, risks and opportunities for the indigenous communities;
- c) Measures to avoid, minimize and mitigate negative impacts, and enhance positive impacts and opportunities. These measures should also be incorporated into the general project design as appropriate;
- d) Community-based natural resource management including the use of indigenous and traditional knowledge and local resource management arrangements incorporated into project design as appropriate and with the community's consent;
- e) Results of consultations, including a list of people and organizations that participated, a timetable, who was responsible for each activity, description and documentation of the free, prior and informed consent process, and future engagement plans including how the project will ensure ongoing FPIC with the affected indigenous peoples' communities during project implementation;
- f) Implementation plan including clear timetables of action, costs, budget and financing sources, clear output and outcome indicators, and organizational responsibilities developed together with the affected indigenous peoples;
- g) Special measures concerning women and marginalized sub-groups in the communities to ensure inclusive development activities;
- h) Capacity building activities for the indigenous communities to enhance their participation in project activities, as well as capacity building of the Executing Agency/Entity (and any other agency) concerning indigenous peoples' issues;
- i) Benefit sharing plans, including describing how negotiated agreements will be used to determine the terms of the benefits sharing agreements;
- j) Tenure arrangements including special measures for the recognition and support of customary rights to land and natural resources;
- k) Grievance mechanism taking into account local dispute resolution practices; and
- l) Monitoring, evaluation and reporting arrangements, including mechanisms and benchmarks appropriate to the project and affected communities. Participatory monitoring and evaluation exercises adapted to the local context, indicators, and capacity should be included.

**Institutional arrangements, monitoring and disclosure.**

32. The Executing Agency/Entity is responsible for incorporating the policy requirements of the CI-GEF/GCF Project Agency into project design and executing the project in conformity with them. This includes defining monitoring indicators and reporting on progress of their achievement.
33. The CI-GEF/GCF Project Agency will monitor implementation of the project level ESMP and any IPP. The CI-GEF/GCF Project Agency will review and approve the ToR for ESIA and the ESIA Report. In addition, the CI-GEF/GCF Project Agency will review and approve the elements of project-specific IPPs and other measures concerning indigenous peoples in GEF/GCF-funded projects and will monitor the implementation of these plans. During project preparation and implementation, the

- CI-GEF/GCF Project Agency may request further information concerning the project's effects on indigenous peoples, and request further assessment or consultations as well as work on the IPP.
34. IPPs prepared for projects under this framework should be disclosed in a culturally appropriate manner in draft form to affected communities prior to approval by the CI-GEF/GCF Project Agency and again after project approval and prior to implementation. Language is critical and the IPP should be disseminated in the local language or in other forms easily understandable to affected communities; oral communication methods are often needed to communicate the proposed plans to affected communities.

## APPENDIX VII: Resource Efficiency and Pollution Prevention Plan

1. A Resource Efficiency and Pollution Prevention Plan is prepared by the Executing Agency/Entity when required by the CI-GEF/GCF Project Agency to ensure the use of best practice in the control and removal of alien and invasive plants, insects, and animals in compliance with CI-GEF/GCF ESS 5: Resource Efficiency and Pollution Prevention.
2. The objective of the guidance below is to minimize and manage environmental and health risks associated with the application of pesticides, insecticides, and herbicides (herewith referred to in the unitary as “pesticides”) in efforts to restore natural habitats. It describes the requirements and planning procedures for Executing Agencies/Entities in the preparation and implementation of CI-GEF/GCF projects to control AIS as well as the role of the CI-GEF/GCF Project Agency in ensuring compliance with the GEF, GCF and CI’s own policies in this area.
3. Any CI-GEF/GCF project that proposes to use chemical pesticides must include a Resource Efficiency and Pollution Prevention Plan with the following sections:
  - A. **Project Summary**
    - i. Executive Summary
    - ii. Basic project information including name of Executing Agency(ies), project title, grant amount (US dollars), proposed dates of grant and duration of the project
    - iii. Countries or territories where pesticides will be applied
    - iv. Full name, title, telephone numbers, and electronic mail address of Executing Agency/Entity personnel responsible for the Pest Management Plan
    - v. Date of preparation of the Pest Management Plan
  - B. **Pest Management Approach:** This section should describe the Executing Agency/Entity’s understanding of the problem, their experience with pest management issues, and their proposed actions during the project. Specifically, what the project intends to do and how it will do it. The information presented should include methods of application, e.g. by hand or via aerial spraying.
    - i. Current and anticipated pest problems relevant to the project
    - ii. Current and proposed pest management practices
    - iii. Relevant integrated pest management experience within the project area, country or region
    - iv. Assessment of proposed or current pest management approach and recommendations for adjustment where necessary
  - C. **Pesticide Selection and Use:** This section describes the pesticide selected, why it was selected, the efforts made to assess and mitigate risk, and remaining risk(s) that the selected pesticide will have on non-target species.
    - i. Description of present proposed and/or envisaged pesticide use and assessment of whether such use is in line with best management practices
    - ii. Indication of type and quantity of pesticides envisaged to be financed by the project (in volume and dollar value) and/or assessment of increase in pesticide use resulting from the project
    - iii. Chemical, trade, and common name of pesticide to be used
    - iv. Form in which pesticide will be used (e.g., pellet, spray)
    - v. Specific geographic description of where the pesticide will be applied: name of province, district, municipality, land owners, or map coordinates (if available); and the total area (hectares) to which the pesticide will be applied

- vi. Assessment of environmental, occupational and public health risks associated with the transport, storage, handling and use of the proposed products under local circumstances, and the disposal of empty containers.
- vii. Description of plans and results for tracking of damage to and/or deaths of non-target species prior to pesticide application and subsequent to pesticide application.
- viii. Pre-requisites and/or measures required to reduce specific risks associated with envisaged pesticide use under the project (e.g., protective gear, training, upgrading of storage facilities, etc.)
- ix. Basis of selection of pesticides authorized for procurement under the project, taking into consideration WHO and FAO's International Code of Conduct on the Distribution and Use of Pesticides
- x. Name and address of source of selected pesticides.
- xi. Name and address of vendor of selected pesticides.
- xii. Name and address of facility where pesticides will be stored.

- D. **Policy, Regulatory Framework, and Institutional Capacity:** This section explains the institutional and legal framework under which the pesticide will be applied, with reference to the documentation and standards required under local and national law and international good practice. Where the particular pesticide is not regulated at the target site, the proponent must identify similar pesticides and the applicable regulation, international laws in neighbouring countries that could apply, and international good practice. The Executing Agency/Entity must also explain why this particular pesticide is necessary even in the absence of national laws.
- i. Policies on plant/animal protection, integrated pest management, and humane treatment of animals;
  - ii. Description and assessment of national capacity to develop and implement ecologically-based AIS control;
  - iii. Description and assessment of the country's regulatory framework and institutional capacity for control of the distribution and use of pesticides;
  - iv. Proposed project activities to train personnel and strengthen capacity (list # of people and what they are being trained in); and
  - v. Confirmation that the appropriate authorities were approached (who and when) and that the appropriate licenses and permissions were obtained by the project.
- E. **Consultation:** This section aims to outline the range of informed consultations that the Executing Agency/Entity has had both with experts to optimize the potential for success, and with stakeholders, particularly local communities, who are potentially affected (by proximity, by the use of certain areas for free-ranging livestock or non-timber forest product collection, etc.) by the use of pesticides.
- i. Plans for, dates, and results of expert consultations, if necessary; and
  - ii. Plans for, dates, and results of consultations with local communities.
- F. **Monitoring and Evaluation (M&E):** This section aims to outline what steps the proponent will take to monitor and evaluate the purchase, storage, application and effects of the pesticide in the target area.
- i. Description of activities related to pest management that require monitoring during implementation;



- ii. Monitoring and supervision plan, implementation responsibilities, required expertise and cost coverage; and
  - iii. Implementation Strategy.
- G. Examples of the types of projects to which these guidelines apply include, but are not limited to:
- i. A project that involves the employ of labour and application of herbicide to restore a degraded landscape and allow endemic vegetation and animals to return;
  - ii. A project that involves the supervision of teams conducting AIS control by chemical means, where those teams are operating with funding from a host country government or other donor; and
  - iii. A project that involves the eradication by chemical means of non-native rats, cats, reptiles (e.g., Brown Tree Snake), birds (e.g., Common Myna), and invertebrates (e.g., Golden Apple Snail) from an island or isolated natural habitat.
- H. These guidelines do not apply to the removal of alien and invasive plant and animals through physical means as part of the restoration of degraded habitat or the maintenance of Key Biodiversity Areas (KBA) and biodiversity/habitat corridors.
- I. A single set of guidelines cannot anticipate every scenario under which an Executing Agency/Entity will propose to remove AIS. The conditions of the habitat, the type of species present or being eradicated in the target area, the method of control, the capacity of the organization, the latest knowledge of environmental impacts, and even the definitions of “best practice” will change over time.
- J. Thus, these guidelines offer an approach that has proven effective while meeting GEF/GCF minimum standards. CI-GEF/GCF projects will not, however, finance the use of any pesticides categorized IA, IB or II by the WHO.
- K. Projects should benefit from the accumulated knowledge on the use of pesticides in invasive eradication, including those that are available at:
- a) The International Union for Conservation of Nature (IUCN) Invasive Species Specialist Group (<http://www.issg.org/index.html>), which provides dozens of resources, including the Global Invasive Species Information Network List of Invasive Alien Species Online Information Systems (<http://www.gisnetwork.org/Documents/draftiasdbs.pdf>); and
  - b) The World Health Organization’s Recommended Classification of Pesticides by Hazard, updated every two years ([http://www.who.int/ipcs/publications/pesticides\\_hazard/en/](http://www.who.int/ipcs/publications/pesticides_hazard/en/)).
- L. **Disclosure:** The Resource Efficiency and Pollution Prevention Plan and/or the documents required in countries where adequate policies exist are public documents. The Executing Agency/Entity must make draft and approved plans (at the preparation stage and before implementation) available to affected parties and to the public. The CI-GEF/GCF Project Agency will disclose the approved plans on its websites: [www.conservation.org/gef](http://www.conservation.org/gef) or [www.conservation.org/gcf](http://www.conservation.org/gcf)

## APPENDIX VIII: Labour Management Procedures Guidance and Template

The scope of application of ESS7 depends on the type of employment relationship between the EA/EE and the project workers. ESS7 applies to project workers including full-time, part-time, temporary, seasonal and migrant workers.<sup>34</sup>

**Direct worker:** A direct worker is a worker with whom the EA/EE has a directly contracted employment relationship and specific control over the work, working conditions, and treatment of the project worker. The worker is employed or engaged by the EA/EE, paid directly by the EA/EE, and subject to the EA/EE's day-to-day instruction and control. Examples of direct workers may include persons employed or engaged by the EA/EE's project implementation unit to carry out design and supervision, monitoring and evaluation, or community engagement in relation to the project.

**Contracted worker:** A contracted worker is a worker employed or engaged by a third party to perform work or provide services related to the core functions<sup>35</sup> of the project, where the third party exercises control over the work, working conditions, and treatment of the project worker. In such circumstances, the employment relationship is between the third party and the project worker, even if the project worker is working on an ongoing basis on project activities.

**Community worker:** Projects may include the use of community workers in a number of different circumstances, including where labour is provided by the community as a contribution to the project, or where projects are designed and conducted for the purpose of fostering community-driven development, providing a social safety net or providing targeted assistance in fragile and conflict-affected situations. Given the nature and objectives of such projects, the application of all requirements of ESS7 may not be appropriate. In all such circumstances, the EA/EE will require measures to be implemented to ascertain whether such labour is or will be provided on a voluntary basis as an outcome of individual or community agreement. Based on the nature and risk of the community work, the AE/EE will determine which requirements of ESS7 apply.

**Community contracts** for project activities involving conservation agreements, incentives/cash transfer agreements, REDD+ contracts, payments for environmental services programs, etc, should include contract clauses related to wages or payments, insurance and basic safety and health on the worksite (medical kit, protective clothing, etc.), and access to grievance redress mechanism.

**Primary supply worker:** A primary supply worker is a worker employed or engaged by a primary supplier, providing goods and materials to the project, over whom a primary supplier exercises control for the work, working conditions, and treatment of the person. As part of the definition, there is a requirement that the goods or materials be provided directly to the project for its core functions on an ongoing basis. This means that second, third, and further levels of the supply chain (sometimes referred to as Tier 2 and Tier 3 suppliers) are not covered by ESS7.

Where government civil servants are working in connection with the project, whether full-time or part-time, they will remain subject to the terms and conditions of their existing public sector employment agreement or arrangement, unless there has been an effective legal transfer of their

<sup>34</sup> Migrant workers are workers who have migrated from one country to another or from one part of the country to another for purposes of employment.

<sup>35</sup> Core functions of a project constitute those production and/or service processes essential for a specific project activity without which the project cannot continue.

employment or engagement to the project. ESS7 will not apply to such government civil servants, except for the provisions protection of the workforce and occupational health and safety.

The term project worker refers to four possible categories of association with the project

**Table 1: Types of project workers**

Worker categories	Examples	Contract types
(a) Direct workers – People employed or engaged directly by the EA/EE to work specifically in relation to the project.	<ul style="list-style-type: none"> <li>• Project execution unit staff;</li> <li>• Rangers/patrollers, park guards</li> <li>• Extension, technical service providers</li> <li>• Transport of goods, services</li> <li>• Surveyers, researchers, validators, evaluators</li> </ul>	<ul style="list-style-type: none"> <li>• Term employment contracts.</li> </ul>
(b) Contract workers - People employed or engaged through third parties to perform work related to core functions of the project, regardless of location.	<ul style="list-style-type: none"> <li>• Rangers/patrollers, park guards,</li> <li>• Agro-processing mills, craft processing,</li> <li>• Extension, technical service providers</li> <li>• Freshwater abstraction or recharge</li> <li>• Waste management</li> <li>• Transport of goods, services</li> <li>• Surveyers, researchers, validators, evaluators</li> <li>• Communications, marketing</li> </ul>	<ul style="list-style-type: none"> <li>• Subgrant or fee for service contracts.</li> </ul>
(c) Primary supply workers - People employed or engaged by the EA/EE's primary suppliers <sup>36</sup>	<ul style="list-style-type: none"> <li>• Supplier of meat, crop, timber, Non-Timber Forest Product (NFTP), seafood or mineral providers</li> </ul>	<ul style="list-style-type: none"> <li>• No direct contractual or labour relationship between the client and the workers at supplier level</li> </ul>
(d) Community workers - People employed or engaged in providing community labour	<ul style="list-style-type: none"> <li>• Farmers, fishers, foresters that engage in voluntary engagement with project funded activities</li> <li>• Community patrols to monitor and enforce territorial boundaries</li> <li>• Payment for Ecosystem Services</li> </ul>	<ul style="list-style-type: none"> <li>• Conservation Agreements</li> <li>• Emission Reduction Purchase Agreements</li> </ul>

**Table 2: Indicative labour risks which may be associated with CI-GEF/GCF projects**

Risks	Examples
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<sup>36</sup> 'Primary suppliers' are those suppliers who, on an ongoing basis, provide directly to the project goods or materials essential for the core functions of the project.

Hazardous work	<ul style="list-style-type: none"> <li>• Use of pesticides, chemicals, etc.</li> <li>• Use of mercury amalgamation of gold,</li> <li>• Construction and operation of agro-processing equipment, storage facilities.</li> <li>• Construction of park shelters, other small-scale infrastructure</li> <li>• Construction and operation of renewable energy facility</li> <li>• Armed enforcement of protected areas</li> <li>• Work in disaster prone areas</li> <li>• Work in areas of public health risks</li> </ul>
Risks of child labour or forced labour	<ul style="list-style-type: none"> <li>• Agribusiness supply chains</li> <li>• Ecotourism</li> <li>• Artisanal mining</li> <li>• Logging</li> </ul>
Risks of labour influx or gender-based violence at the worksite	<ul style="list-style-type: none"> <li>• Livelihood improvement</li> <li>• Construction of infrastructure</li> </ul>
Risks associated with migrant workers	<ul style="list-style-type: none"> <li>• Transborder projects</li> </ul>

**Labour Management Procedures.** The EA/EE will develop and implement written *Labour Management Procedures (LMP)* applicable to the project (see template below). These procedures will set out the way in which project workers will be managed, in accordance with the requirements of national law and ESS7. The procedures will address the way in which ESS7 will apply to different categories of project workers, including direct workers, and the way in which the EA/EE will require third parties to manage their workers in accordance with this ESS. To the extent that provisions of national law are relevant to project activities and satisfy the requirements of this ESS, the labour management procedures will not be required to duplicate such provisions.

**Gender.** ESS7 seeks to promote gender-responsive project design and protecting against discrimination and gender-based violence at the workplace. Providing equal opportunity for women to be employed or participate in project activities requires designing activities to account for the child care responsibilities typically faced by women, equal work – equal pay measures, flexible work hours, transport to work site considerations, separate toilets and rest areas, accommodation for pregnancy at the work place, training for male and female workers on sexual harassment, and quotas or set asides for contracts to women owned firms or individual women participants in community contracts. Finally, any workplace grievance mechanism should be designed to address gender-based violence complaints.

**Equal opportunity for indigenous and tribal peoples.** Similar considerations to those for a workplace conducive to gender equality are required for the recruitment and retention of workers from excluded, marginalized or minority populations, including indigenous or tribal peoples. Culturally appropriate design of activities, workplace training and flexibility work schedules are often required to ensure equal access by prospective indigenous or marginalized workers.

**Child labour.** No children below the minimum age of employment shall be involved in project funded work and no children below the age of 18 years of age will be involved in hazardous work.

**Table 3: ILO Definitions for Child Labour**

Age Groups	Working Hours	Explanations
Children 0 -12 years	A single hour of economic activity by children under 12 automatically qualifies them as child labourers	
Children 13-14 years	More than 2 hours of economic activity each day for more than 6 days in a week even if it does not interfere with schoolwork and is not hazardous automatically qualifies them as child labourers. Any work which is hazardous or which interferes with the children’s education will automatically qualify them as child labourers.	Light work must not threaten the children’s health and safety, or hinder their education or vocational orientation and training.
Children 15-17 years	Allowed to work up to a maximum of 40 hours per week subject to the work being age appropriate and non hazardous to children’s health, safety or morals.	The national minimum age for work should not be below the age for finishing compulsory schooling, which is generally 15.

## TEMPLATE FOR LABOUR MANAGEMENT PROCEDURES

### *How to Use this Template*

*Under ESS7 on Labour and Working Conditions, AE/EEs are required to develop Labour Management Procedures (LMP). The purpose of the LMP is to facilitate planning and implementation of the project. The LMP identifies the main labour requirements and risks associated with the project, and help the AE/EE to determine the resources necessary to address project labour issues. The LMP is a living document, which is initiated early in project preparation, and is reviewed and updated throughout development and implementation of the project.*

*The template is designed to help the AE/EE identify key aspects of labour planning and management. The content is indicative: where the issues identified are relevant in a project, AE/EEs should capture them in the LMP. Some issues may not be relevant; some projects may have other issues that need to be captured from a planning perspective. Where national law addresses requirements of ESS7 this can be noted in the LMP, and there is no need to duplicate such provisions. The LMP may be prepared as a stand-alone document, or form part of other environmental and social management documents.*

*A concise and up to date LMP will enable different project-related parties, for example, staff of the project implementing unit, contractors and sub-contractors and project workers, to have a clear understanding of what is required on a specific labour issue. The level of detail contained in the LMP will depend on the type of project and information available. Where relevant information is not available, this should be noted and the LMP should be updated as soon as possible.*

*In preparing and updating the LMP, AE/EEs should refer to the requirements of national law and ESS7 and the above Guidance on ESS7.*

## 1. Overview of Labour Use on the Project

*This section describes the following, based on available information:*

**Number of Project Workers:** *The total number of workers to be employed on the project, and the different types of workers: direct workers, contracted workers and community workers. Where numbers are not yet firm, an estimate should be provided.*

**Characteristics of Project Workers:** *To the extent possible, a broad description and an indication of the likely characteristics of the project workers e.g. local workers, national or international migrants, female workers, workers between the minimum age and 18.*

**Timing of Labour Requirements:** *The timing and sequencing of labour requirements in terms of numbers, locations, types of jobs and skills required.*

**Contracted Workers:** *The anticipated or known contracting structure for the project, with numbers and types of contractors/subcontractors and the likely number of project workers to be employed or engaged by each contractor/subcontractor. If it is likely that project workers will be engaged through brokers, intermediaries or agents, this should be noted together with an estimate of how many workers are expected to be recruited in this way.*

**Migrant Workers:** *If it is likely that migrant workers (either domestic or international) are expected to work on the project, this should be noted and details provided. Also describe existing relations between local and migrant populations.*

## 2. Assessment of Key Potential Labour Risks

*This section describes the following, based on available information:*

**Project activities:** *The type and location of the project, and the different activities the project workers will carry out during construction and operation phases of the project.*

**Key Labour Risks:** *The key labour risks which may be associated with the project (see, for example, those identified in the guidance on ESS7). These could include, for example:*

- *The conduct of hazardous work, such as working at heights or in confined spaces, use of heavy machinery, or use of hazardous materials*
- *Likely incidents of child labour or forced labour, with reference to the sector or locality*
- *Likely presence of migrants or seasonal workers*
- *Risks of labour influx or gender-based violence*
- *Possible accidents or emergencies, with reference to the sector or locality*
- *General understanding and implementation of occupational health and safety requirements*

## 3. Brief Overview of Labour Legislation: Terms and Conditions

*This section sets out the **key aspects** of national labour legislation with regards to term and conditions of work, and how national legislation applies to different categories of workers identified in Section 1. The overview focuses on legislation which relates to the items set out in ESS7, paragraphs 161 and 162.*

#### 4. Brief Overview of Labour Legislation: Occupational Health and Safety

*This section sets out the **key aspects** of the national labour legislation with regards to occupational health and safety, and how national legislation applies to the different categories of workers identified in Section 1. The overview focuses on legislation which relates to the items set out in ESS7, paragraph 168.*

#### 5. Responsible Staff

*This section identifies the functions and/or individuals within the project responsible for (as relevant):*

- *engagement and management of project workers*
- *engagement and management of contractors/subcontractors*
- *occupational health and safety (OHS)<sup>37</sup>*
- *training of workers*
- *addressing worker grievances*

*In some cases, this section will identify functions and/or individuals from contractors or subcontractors, particularly in projects where project workers are employed by third parties.*

#### 6. Policies and Procedures

*This section sets out information on OHS, reporting and monitoring and other general project policies. Where relevant, it identifies applicable national legislation. Where significant safety risks have been identified as part of Section 2, this section outlines how these will be addressed. Where the risk of forced labour has been identified, this section outlines how these will be addressed (see ESS7, paragraph 171). Where risks of child labour have been identified, these are to be addressed in Section 7.*

*Where the AE/EE has additional stand-alone policies or procedures, these can be referenced or annexed to the LMP, together with any other supporting documentation (e.g. CI construction policy, boating policy or RBA SEAH policy).*

#### 7. Age of Employment

*This section sets out details regarding:*

- *The minimum age for employment on the project*
- *The process that will be followed to verify the age of project workers*
- *The procedure that will be followed if underage workers are found working on the project*
- *The procedure for conducting risk assessments for workers aged between the minimum age and 18*

#### 8. Terms and Conditions

*This section sets out details regarding:*

- *Specific wages, hours and other provisions that apply to the project*
- *Maximum number of hours that can be worked on the project*
- *Any collective agreements that apply to the project. When relevant, provide a list of agreements and describe key features and provisions*
- *Other specific terms and conditions*

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<sup>37</sup> OHS also covers exposure to conflict, disease, psycho-social threats.

## 9. Grievance Mechanism

*This section sets out details of the grievance mechanism that will be provided for direct and contracted workers, and describes the way in which these workers will be made aware of the mechanism. Where community workers are engaged in the project, details of the grievance mechanism for these workers are to be set out in Section 11.*

## 10. Contractor Management

*This section sets out details regarding:*

- *The selection process for contractors, as discussed in ESS7, paragraph 163.*
- *The contractual provisions that will put in place relating to contractors for the management of labour issues, including occupational health and safety.*
- *Describe any insurance*
- *The procedure for managing and monitoring the performance of contractors.*

## 11. Community Workers

*Where community workers will be involved in the project, this section sets out details of the terms and conditions of work, and identifies measures to check that community labour is provided on a voluntary basis. It also provides details of the type of agreements that are required and how they will be documented.*

## 12. Primary Supply Workers

*Where a significant risk of child or forced labour or serious safety issues in relation to primary suppliers has been identified, this section sets out the procedure for monitoring and reporting on primary supply workers.*

### **Additional Guidance:**

- [ILO Age Verification: Protection for unregistered children from child labour](#)
- [ILO Collective bargaining, Factsheet](#)
- [ILO Combating Forced Labour: A Handbook for Employers and Business](#)
- [ILO Employment Intensive Infrastructure Programmes: Labour Policies and Practices](#)
- [ILO Helpdesk for Business on International Labour Standards](#)
- [ILO Grievance handling, Factsheet](#)
- [ILO Guidelines on occupational safety and health management systems.](#)
- [ILO Recommendation 198 on the employment relationship, 2006](#)
- [ILO Rest periods, Definitions and dimensions, Factsheet](#)
- [IFC and EBRD: Workers' accomodation: processes and standards](#)
- [IFC: Managing Contractors' Environmental and Social Performance](#)
- [World Bank: ESS2 Labour and Working Conditions guidance note](#)
- [World Bank: labour management procedures template](#)
- [World Bank Group Environmental, Health and Safety Guidelines](#)
- [World Bank Good Practice Note: Addressing Gender Based violence](#)
- [EBRD guidance notes](#)



## APPENDIX IX: Community Health, Safety and Security Risk Assessment Tool

The purpose of ESS 8: Community Health, Safety and Security is to ensure that risks or potential impacts to the health, safety and security of project-affected communities are identified, avoided and mitigated. Some of these risks are:

- **Natural hazards/disasters** such as flooding, drought, wildfires, volcanic eruptions, earthquakes, typhoons and hurricanes;
- **Climate change and ecosystem service stress** such as increased temperatures;
- **Exposure to Hazardous Materials** such pesticides and banned chemicals;
- **Exposure to communicable disease** such as ebola; and
- **Security related risk** such as working in areas of conflict or post-conflict, failure of structural elements or infrastructure built by the project.

The following Risk Assessment Tool will help projects to determine their risks and identify mitigation measures (guidance on how to use the Tool follows):

Health, Safety and Security Threat	Likelihood	Impact	Risk	Risk Rating	Mitigation Measures
1.					
2.					
3.					
4.					
5.					
6.					
7.					
8.					
9.					
10.					
11.					
12.					
Total					
Average					
Overall risk rating to project-affected communities					

The Risk Assessment Tool is adopted from CI’s Risk Assessment Overview which follows a standard methodology for assessing risk:  $Likelihood \times Impact = Risk$ . While the nature of this assessment must naturally be subjective, anchoring the assessment of risk in terms of how likely any given event is to affect communities will give a better understanding of what possible mitigation measures can be taken.

The project risk assessment tool follows a simple process:

1. Identify possible threats to the project-affected communities
2. Assess likelihood of those threats materializing
3. Assess impact to the project-affected communities
4. Determine risk and risk ratings for the project-affected communities
5. Identify mitigation measures

## 1. Identify threats to project-affected communities

As mentioned earlier, some of the risks include natural hazards/disasters, climate change and ecosystem service stress, exposure to hazardous materials, exposure to communicable disease, and security related risk. Understanding the local context of the project area(s) will help in identifying the threats to project-affected communities. Some threats to consider include:

- a) the potential exposure of communities including special needs, disadvantaged or vulnerable groups or Individuals in particular women and children to both accidental and natural hazards, particularly where the structural elements of the project are accessible to members of the affected community, or where their failure could result in injury to the community;
- b) the special needs and exposure of disadvantaged or vulnerable groups or individuals, including in particular women and children;
- c) the particular risks that may be present in a conflict or post-conflict context;
- d) the impacts of the project on provisioning and regulating ecosystem services, that are directly relevant to community health and safety;
- e) the current or projected effects of climate change and other natural hazards.
- f) the community exposure to health risks;
- g) the potential risks posed to communities by a project’s use of rangers, eco-guards, or similar security personnel, whether armed or unarmed;
- h) the potential risks posed to rangers, eco-guards, or similar security personnel, whether armed or unarmed, in the course of performing their job duties; and,
- i) threats to human security through the risk of escalation of personal or communal conflict and violence that could be caused or exacerbated by the project;
- j) types of crime are there and their prevalence;
- k) security incidents have occurred in recent months/years;
- l) threats that vary by area and by time of day/year;
- m) different types of staff threatened in different ways (e.g., national/international, male/female); and
- n) threats originate from outside area of operations.

## 2. Assess the likelihood of these threats materializing

Taking into account any *existing* security controls that may be in place to address the health, safety and security threats identified above, define the likelihood of an incident occurring using the criteria below:

### Likelihood assessment criteria

Score	Assessment criteria
Very likely (5)	The potential incident or threat in question materializes regularly in the geographical or operational context.
Likely (4)	The potential incident or threat in question has materialized often in the geographical or operational context, or forecasting suggests that such incidents could become common in the immediate future.

Possible (3)	The potential incident or threat in question has materialized recently in the geographical or operational context, but is not considered “common” and forecasting does not show any potential for change.
Unlikely (2)	The potential incident or threat in question has <i>not</i> materialized recently in the geographical or operating context and forecasting does not show any potential for change.
Very unlikely (1)	The potential incident or threat in question is not known to have materialized previously in the geographical or operational context.

### 3. Assess the impact to the project-affected communities

Assess the impact of the threat(s) using the definitions below:

#### Impact assessment criteria

Score	Assessment criteria
Catastrophic (5)	The potential incident or threat in question would have a catastrophic impact on project-affected communities, such as permanent evacuation.
Major (4)	The potential incident or threat in question would have a major impact on project-affected communities, such as relocation, severe injury or death.
Moderate (3)	The potential incident or threat in question has the potential to cause harm to project-affected communities.
Slight (2)	The potential incident or threat in question would have little impact on project-affected communities.
Minor (1)	The potential incident or threat in question would have insignificant impact on project-affected communities.

### 4. Determine risk and risk ratings for project-affected communities

Determine the risk by multiplying the *likelihood* of each threat materializing by the *impact* that such an incident would have on project-affected communities. This process will determine the associated *risk* for each threat. Using the risk score and table below, assign risk rating for each threat. For example, if the risk score is 8, assign risk rating of Low.

Risk Score	Risk Rating
1 – 4	Insignificant
5 – 9	Low
10 - 14	Medium
15 – 19	High
20 - 25	Extreme

After determining the risk rating for each threat, calculate the overall risk rating by totalling the all the risk scores and finding the average of that total. For example: if 10 threats were identified and

their risks totalled 116, they average will be 11.6 (116/10). Again, use the table to assign an overall risk rating, which will be Medium for the example given.

## 5. Identify mitigation measures

The project must design, implement and monitor appropriate measures to prevent or avoid any adverse impacts on community health, safety and security, where feasible, or minimized or mitigated, where avoidance or prevention are not feasible. For each threat where the risk rating has been determined to be Medium and above, identify mitigations measures to reduce the risk. For example: if there is Medium risk of Ebola outbreak, mitigation measures can include setting up of hand washing stations in project sites or having an outbreak response and management plan in place.

Apart from identifying mitigation measures, the project must ensure that these measures are included in the design and budget of the project, responsibilities are assigned and that monitoring protocols are implemented.

## APPENDIX X: Guidance on Private Sector Direct Investments and Financial Intermediaries

ESS9 recognizes that partnership with private sector investors and access to financial intermediaries are important multipliers for conservation and sustainable development.

This ESS applies to Financial Intermediaries (FIs) or private sector investments that receive financial support from CI-GEF/GCF projects. Examples of FIs include banks, development finance institutions, microcredit lending agencies, conservation trust funds, among others.

Examples of private sector investment include use of CI-GEF/GCF project resources in blended finance, public-private partnerships, corporate equity, green bonds, loan guarantees, and joint investment funds, among others. Certain private sector investments can resemble FIs by funding multiple small subprojects, as in the case of community-based conservation projects, or projects involving matching grant schemes.

For the purposes of this ESS, the ESMF requirements apply to all “FI subprojects,” which refers to projects financed by FIs or private sector investments with some support from CI-GEF/GCF projects. Where the project involves on- granting or on-lending by the FI to another FI, the term “FI subproject” will include the subprojects of each subsequent FI.

**Assessing E&S Risk.** The environmental and social risks of any FI or private sector investments will be assessed and categorized based on the most significant E&S risk within the FI portfolio or activity supported by the private sector actor.

**Due diligence.** The risk assessment process will require the EA/EE to conduct due diligence to review the elements of an ESMS to assess whether the project is capable of being developed and implemented in accordance with the ESSs. The EA/EE’s due diligence responsibilities will include, as appropriate: (a) reviewing the information provided by the FI or private sector actor relating to the environmental and social risks and impacts of the project,<sup>38</sup> and requesting additional and relevant information where there are gaps that prevent the EA/EE from completing its due diligence; and (b) providing guidance to assist the FI or private sector actor in developing appropriate measures consistent with the mitigation hierarchy to address environmental and social risks and impacts in accordance with the ESSs.

Where the CI-GEF/GCF project is approached to provide support for a project that is under construction, or where the project has already received national permits, including the approval of local environmental and social impact assessments, the EA/EE’s due diligence will include a gap analysis against the ESSs to identify whether any additional studies and/or mitigation measures are required to meet the CI-GEF/GCF Project Agency’s requirements.

Depending on the potential significance of environmental and social risks and impacts, the CI-GEF/GCF Project Agency will determine whether the FI or private sector actor will be required to retain independent third-party specialists to assist in the assessment of environmental and social impacts. If CI-GEF/GCF Project Agency is not satisfied that adequate capacity exists on the part of the FI or private sector actor, all *High Risk* and, as appropriate, *Medium Risk* subprojects

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<sup>38</sup> For example, pre-feasibility studies, scoping studies, national environmental and social assessments, licenses and permits.  
CI-GEF/GCF Project Agency’s ESMF: Version 07, October 2020.

will be subject to prior review and approval by the CI-GEF/GCF Project Agency until it is established that adequate capacity exists.

**FI/ or private sector actor ESMS.** From ESS9, the FI or private sector actor will have its own ESMS that includes the following elements, all designed in proportion to the risks and impacts of the proposed activities:

- (i) **Environmental and social policy.** The environmental and social policy of the FI or private sector actor will have an adequate management structure, and will include organizational commitments, objectives, and metrics with regard to the environmental and social risk management. The policy will clearly state applicable requirements for FI subprojects, including for screening against relevant national laws and regulation, the ESMF exclusion list, all other E&S risks and impacts.
- (ii) **Management programs to identify risks and opportunities.** Clearly defined procedures that are regularly updated and monitored for the identification, screening, categorization, assessment and management of the environmental and social risks and impacts of subprojects. Specific attention will be paid to how procedures address resettlement, risks or impacts on indigenous peoples, labour and working conditions, and community health, safety and security.
- (iii) **Internal organizational capacity and competency.** The FI or private sector actor will have clearly defined roles and responsibilities, have adequate capabilities and knowledge, and can access adequate resources for ESMS implementation. A senior manager will have overall accountability for the ESMS, with a track record of experience as evidenced by strong internal communication to staff and regular, quality monitoring and reporting on ESMS performance, including grievances. The CI-GEF/GCF Project Agency will require an annual report on ESMS implementation that provides detail on the highest risk activities in the subproject portfolio.
- (iv) **Emergency preparedness and response.** The FI or private sector actor will have a system to respond to accidental and emergency situations regarding their own operations, or associated with contact risks, such as public health emergency, natural disaster, or climate change.

Where FI subprojects are likely to have minimal or no adverse environmental or social risks or impacts, the FI will apply national law, and apply the ESMF exclusion list.

**Stakeholder Engagement and Disclosure.** The FI or private sector actor will meet the stakeholder engagement requirements of the ESMF. In certain circumstances, depending on the risks and impacts of the project and the type of FI subprojects it will finance, the CI-GEF/GCF Project Agency may require the FI or private sector actor to be directly engaged in stakeholder engagement at the subproject level. Where possible, external communication will be conducted through a project website in addition to other forms of outreach. The FI or private sector actor will require its sub-grantees or sub-borrowers to disclose, in relation to subprojects, any project-related documents<sup>39</sup> required (a) by the application of the ESSs; (b) for any FI subprojects categorized as high risk in accordance with the FI's own categorization system; and (c) any environmental and social monitoring reports relating to (a) or (b).

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<sup>39</sup> For example, environmental and social assessment reports, voluntary resettlement action plans and Indigenous Peoples' plans  
CI-GEF/GCF Project Agency's ESMF: Version 07, October 2020.

**Monitoring ESMS implementation.** The FI or private sector actor will monitor the environmental and social risk mitigation measures and actions agreed, and report to the CI-GEF/GCF Project Agency as appropriate, but at least annually. Based on FI or private sector actor reporting on ESMS performance, the CI-GEF/GCF Project Agency will ensure direct supervision of the FI or private sector actor portfolio of subprojects as well as field visits to a sample of higher risk subprojects. The FI will promptly notify the CI-GEF/GCF Project Agency of any significant accidents or incidents associated with FI subprojects, or if the risk profile of an FI subproject increases significantly. Where appropriate, the CI-GEF/GCF Project Agency will require third party and /or community monitoring of subprojects.

## APPENDIX XI: Guidance on Climate Risk and Related Disasters

The purpose of the climate risk and related disaster standard is to understand how the project's objectives or outputs could be affected by climate risks, and to incorporate risk mitigation measures into the design and implementation of the project.

According to the Intergovernmental Panel for Climate Change (IPCC), risk is the “potential for adverse consequences where something of value is at stake and where the occurrence and degree of an outcome is uncertain. In the context of the assessment of climate impacts, the term risk is often used to refer to the potential for adverse consequences of a climate-related hazard, or of adaptation or mitigation responses to such a hazard, on lives, livelihoods, health and well-being, ecosystems and species, economic, social and cultural assets, services (including ecosystem services), and infrastructure. Risk results from the interaction of vulnerability (of the affected system), its exposure over time (to the hazard), as well as the (climate-related) hazard and the likelihood of its occurrence” (IPCC 2018).

Risk assessments have four main elements:

- 1) Identification of the hazards;
- 2) Assessment of vulnerability and exposure;
- 3) Risk rating; and
- 4) Identification of measures to manage the risk.

**Hazards** may include short-term, or acute, shocks (e.g. extreme events of storm, fire or flood), and slow onset, or chronic, events that occur over a long period of time (e.g. drought). Based on the IPCC definition of risk, climate risk assessments should not only consider consequences of hazards (e.g. food insecurity from a reduction of crop yield due to drought) but also consequences from responses (e.g. food insecurity from expansion of biofuels for land-based mitigation, or methane emissions from increased rice farming promoted by projects).

**Vulnerability** describes the propensity or predisposition to be adversely affected. Vulnerability encompasses a variety of concepts and elements including sensitivity or susceptibility to harm and lack of capacity to cope and adapt. Vulnerability may be a result of physical, social, economic, and environmental factors.

**Exposure** refers to the presence of people; livelihoods; species or ecosystems; environmental functions, services, and resources; infrastructure; or economic, social, or cultural assets in places and settings that could be adversely affected. Negative impacts occur when something is both vulnerable and exposed.

**Risk Rating Scale.** While there are several ways to rate climate risk, most scales consider issues such as severity or scale of impacts, probability and ability to mitigate or adapt to hazards. The IPCC classifies the level of additional risk due to climate change on a scale from undetectable to very high<sup>7</sup>.

Translating the IPCC risk scale, projects would be ranked as:

- **Very high risk** - The outcome of the project will be jeopardized by climate change, with a potential for severe impacts of significant irreversibility. Climate-related risks are likely to result in financial, environmental and/or social underperformance or failures. Adaptation



measures are likely to be ineffective, extremely costly, socially unacceptable or increase risk and reduce resilience. Adaptation limits may be reached, or loss and damage will occur.

- **High risk** - There is a potential for widespread impacts from climate change. Outcomes may be undermined by climate change, and adaptation measures may not be readily available. Financial, environmental and social underperformance or failure cannot be excluded. However, risk management activities are likely to increase resilience and adaptive capacity of households, infrastructure, communities, and ecosystems.
- **Moderate risk** - Impact from climate change may occur, but will be limited, transient or manageable. Financial, environmental and social underperformance or failure is unlikely. The system has the capacity to manage volatility, shocks, stressors or changing climate trends.
- **Low Risk** - No impact from climate change, or even positive impact, is expected based on best available science. Financial, environmental and social underperformance or failure appears very unlikely.

**Identification of mitigation measures.** Based on the risk rating, ameliorative actions are identified and prioritized through the creation of risk management plans. Risk management includes actions, strategies, or policies to reduce the likelihood and/or consequences of risks or to respond to consequences. It is also important to confirm that these adaptation or mitigation interventions do not themselves result in additional risks.

**Risk screening data and methods.** An effective climate risk screening should cover the four main elements mentioned above and can be based on a literature review or field investigation. Both require:

- information on climate projections for the country or region, and if possible, for the specific location of the project;
- information about relevant potential hazards (e.g. heavy rainfall leading to flood, low rainfall leading to drought, temperature changes which could lead to heat waves, sea-level rise, or changes in other extreme events such as hurricanes and cyclone);
- and current and projected exposure, vulnerability and adaptive capacity.

There are numerous organisations and institutions which provide climate change data, including, but not limited to, the IPCC, the World Meteorological Organization (WMO), NASA, The World Resources Institute and the World Bank. The World Bank's Climate Change Knowledge Portal (<https://climateknowledgeportal.worldbank.org/>), for example, provide global data on historical and future climate data, vulnerabilities and impacts. It is also possible to explore data by country, region and watershed.

**Timeframe.** Climate risk screening during project design is crucial to enable risk mitigation measures to be incorporated into projects. To ensure durability of the project, a risk screening should cover a minimum 30-year period from the planned project start date.

- PIF/CN Stage. A preliminary climate risk screening should be conducted prior to PIF/CN submission, and should also be done for child projects under an umbrella program. At the PIF/CN stage, projects should identify risks and planned risk mitigation or adaptation measures.
- PPG/PPF Stage. Moderate and high-risk projects should conduct a detailed evaluation of climate change risks and risk management options. A comprehensive, practical risk management plan should be developed and included in the full project document. If one or more risks are accepted, a justification should be given. If a project is classified as

very high risk, a different location with different activities or different outcomes, should be considered.

The checklist below presents some guiding questions on hazards, exposure, vulnerability and adaptive capacity for completing the climate screening section of the Safeguard Screening Form (Appendix I):

Existing Hazards Guiding Questions:	Yes	No	TBD
<b>Observed climate and weather hazards in the project area:</b>			
Extreme temperature (heat/cold)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Extreme precipitation and flooding	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Agricultural Droughts and/or dry spells	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Storms (Tropical storms, snowstorms, hailstorms, dust storms, etc.)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Winds (Typhoons, Cyclones, Hurricanes, Tornadoes, Harmattan)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sea level rise (from global warming and storm surges)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Other natural hazards observed in the project area:</b>			
Earthquakes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Tsunamis	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Volcanic eruptions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Landslides or avalanches	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Wildfires	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Salinization	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Ocean acidification	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Projected Hazards Guiding Questions	Yes	No	N/A
<b>Do future climate scenarios foresee an incremental increase of potential hazards and climate change compared to the baseline that may affect the project over its lifetime?</b>			
Extreme temperature	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Extreme precipitation and flooding	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Agricultural Droughts and/or dry spells	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Change in temperature	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Change in rainfall	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Exposure Guiding Questions	Yes	No	N/A
<b>Is the project located in high exposure areas?</b>			
Low-lying areas (valleys or coastal zones)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Arid and semi-arid zones	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Mountains zones and permafrost areas	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Are the agricultural systems (crops, livestock, fisheries, forests) targeted by the project affected by climate related hazards?</b>			
Is crop productivity affected by rainfall variability, changes in temperature or pests and diseases?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is livestock productivity affected by rainfall variability, changes in temperature or parasites and diseases?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is fisheries productivity affected by ocean acidification, changes in sea temperature or variation of water salinity?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is forest productivity affected by wildfires, diseases, rainfall variability or changes in temperature?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is any stage of the agricultural value chain (production, storage, processing and marketing) affected by climate related hazards?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Vulnerability Guiding Questions	Yes	No	TBD
Is the target population in the project area living below poverty line?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are the livelihoods of the target population sensitive to climate change?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is the target population income exclusively from agriculture?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Is the population migrating due to food insecurity as a consequence of climate change?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is the project targeting sensitive groups (indigenous people or other marginalized groups) that are likely to be affected by climate change?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is climate change affecting certain groups more than others in the project area?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Adaptive Capacity Guiding Questions:</b>	<b>Yes</b>	<b>No</b>	<b>TBD</b>
Does the target population have access to climate information?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are there any early warning systems in the project area to anticipate and respond to climate-related events and disasters or climate-driven pest and diseases?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Does the government or other institutions support the target population/communities with the necessary social and economic resources to prepare for or respond to climate-related events?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is the target population carrying out self-adaptation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Do policies exist that make financial credit, loans and agricultural insurance available?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Project Modulation of Risks Guiding Questions:</b>	<b>Yes</b>	<b>No</b>	<b>TBD</b>
<b>1. Policies and planning</b>			
Does the project support the integration of climate into national policies and planning?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Does the project support the increased use of climate data and information in national long term and strategic planning?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>2. Capacity building, training and outreach</b>			
Would the project invest in institutional development and capacity-building for national institutions involved in climate related activities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Would the project invest in increased information and dissemination of climate-related information to target groups?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Does the project have opportunities to strengthen rural and indigenous climate risk management capabilities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Does the project support capacity of target groups to utilize and apply climate services at the farm level?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>3. Data gathering, monitoring and information management</b>			
Will the project support the infrastructure and technology necessary to monitor climate variables and collect data required from climate impact assessment and modelling?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Will the project support the national institutions to develop the skills required to monitoring and collect climate related information?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Will the project support development of databases and repositories of climate information?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>4. Mitigation</b>			
Will the project invest in measures that will reduce or mitigate emissions of GHGs from the energy sector?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Will the project invest in measures to reduce or mitigate emissions of GHGs from livestock or agricultural production (e.g. rice production)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Will the project invest in measures to reduce or mitigation emissions of GHGs through reforestation or land use change?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Will the project invest in renewable energy and green technologies?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Will the project invest in other measures to reduce or mitigate GHG emissions?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>5. Adaptation</b>			
Will the project invest in climate smart agriculture activities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Will the project promote climate resilient practices for crops, livestock and fisheries?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Will the project promote sustainable natural resources management?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Does the project support Nature-based Solutions for climate change and disaster risk reduction?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Will the project invest in agricultural insurance?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## APPENDIX XII: Gender Mainstreaming Plan (GMP) Template

### CI-GEF GENDER MAINSTREAMING PLAN (GMP)

The **Gender Mainstreaming Plan** provides information, analysis, and specific actions to ensure that gender dimensions are fully integrated into the project. It consists of two parts: (1) a Gender Analysis/Assessment, and (2) a Gender Action Plan. The **Gender Analysis/Assessment** identifies and describes relevant gender differences, gender differentiated impacts and risks, and opportunities to address gender gaps and promote the empowerment of men and women within the project context. The **Gender Action Plan** details any corresponding gender-responsive measures to address those differences, impacts and risks, and opportunities. Completion of a Gender Analysis/Assessment and Gender Action Plan is a requirement for all GEF and GCF funded projects as described under the CI-GEF/GCF Project Agency's Policy on Gender Mainstreaming.

The CI-GEF/GCF Agency recognizes the wide range of projects and this GMP is designed to be flexible and adaptable to the project size, scope, and context. For additional guidance on gender requirements within GEF + GCF projects, please also refer to:

Guidance to Advance Gender Equality in GEF Projects + Programs:

<https://www.thegef.org/sites/default/files/publications/GEF%20Guidance%20on%20Gender.pdf>

Mainstreaming Gender in GCF Projects:

[https://www.greenclimate.fund/sites/default/files/document/guidelines-gcf-toolkit-mainstreaming-gender\\_0.pdf](https://www.greenclimate.fund/sites/default/files/document/guidelines-gcf-toolkit-mainstreaming-gender_0.pdf)

#### SECTION I: Project Information

PROJECT TITLE:			
GEF/GCF PROJECT ID:		PROJECT DURATION:	___ months
EXECUTING AGENCY/ENTITY:			
PROJECT ANTICIPATED START DATE:	mm/yyyy	PROJECT END DATE:	mm/yyyy
GMP PREPARED BY:			
DATE OF (RE)SUBMISSION TO CI-GEF/GCF:			
GMP APPROVED BY:	<i>(To be completed by CI-GEF/GCF)</i>		
DATE OF CI-GEF/GCF APPROVAL:	<i>(To be completed by CI-GEF/GCF)</i>		
PERSON RESPONSIBLE FOR IMPLEMENTING AND MONITORING THE GMP:	<i>Provide name and designation of that person</i>		
HOW/WHERE WILL THE APPROVED GMP BE DISCLOSED <sup>40</sup> :	<i>E.g. via the project's website, at the inception meeting with stakeholders, printed and posted on notice board in community centre, etc.</i>		
WHEN WILL THE APPROVED GMP BE DISCLOSED:	<i>E.g. at the start of the implementation phase, before the end of the first quarter during implementation phase, etc.</i>		

<sup>40</sup> Approved Safeguard plans are to be disclosed to stakeholders in a manner and form that they will understand and that is culturally appropriate. This may require translation of the document.

## SECTION II: Gender Analysis/Assessment

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The project team is expected to conduct a Gender Analysis or Assessment that identifies and describes any gender differences, gender differentiated impacts and risks, and opportunities to address gender gaps and promote the empowerment of women as they relate to the project context. The completion of the Gender Analysis should be done or guided by a gender or social specialist (e.g. through a consultant or in-house, depending on capacity).

The Analysis will vary in detail depending on project size, scope, and context. Furthermore, this Analysis should acknowledge and incorporate the concept of intersectionality and ensure that the specific needs of sub-groups (particularly those most vulnerable) have been taken into account (e.g. girls and boys, women and men with disabilities, elder men and women, widows).

Information on gender roles and cultural context specific to the site should be gathered through (a) primary sources such as field visits, focus groups, interviews, meetings and consultations with target groups and local experts, and surveys, as well as (b) secondary sources such as a desktop/literature review. For additional guidance on how to collect this type of information, please consult CI's Gender and Social Equity Guidelines.

### **The general state of gender (~ 1 page)**

*Please provide a broad overview of the gender dimensions and issues within the context of your project (thematically + geographically).*

*This section should include:*

- *Population of men and women in the project area*
- *Livelihoods of the men and women*
- *Income/poverty, (un)employment and literacy rates for men and women*
- *Men and women's role in the household and community e.g. what types of decisions do men and women get to make in the household and community?*
- *Social structure/order in the communities/project area: Do women attend meetings/participate in projects? Do women speak out in meetings before men/elders? Are women allowed to own land, have access to credit, can open a bank account on her own?*
- *Statistics and trends in sexual or gender-based violence (GBV)*
- *Commonly held beliefs, perceptions, and stereotypes related to gender*

### **Project-level gender considerations (~2-5 pages)**

*Drawing on primary and secondary information sources, consider how gender considerations are relevant to the specific project by responding to each of the following questions (at a minimum). If a project has multiple sites with different social + environmental contexts, this section will need to be completed for each site.*

1. *How do women and men currently utilize the natural resources that this project impacts? How might that change during and after the project?*

2. *How will women and men be impacted (positively or negatively) by project activities including on their livelihoods, workload, control over resources, etc.?*

3. *To what extent do women and men participate in decision-making processes about those natural resources and is that likely to carry over into project decision-making? What are the constraints (social, cultural, economic, political) that restrict women's active participation in household, community and project-level decision-making processes?*

4. *Do women and men have equal access to information and opportunities necessary to participate and benefit fully from the activities of the project? How do gender-related barriers/challenges potentially limit women's ability to fully participate, make decisions and benefit from the project? How will the project overcome them?*

5. *What are the different interests, needs and priorities of men and women within the project context? How will the project be able to address their respective needs and priorities?*

6. *How might project activities create new opportunities (economic, leadership, etc.) for women?*

7. *Is there a possibility that project activities may perpetuate/increase inequalities, including gender-based violence? (why or why not)*

8. *What is the level of gender awareness and capacity to address gender issues amongst local authorities, project partners and project staff?*

9. *Describe the methods (interviews, desktop research, focus groups, surveys, etc.) were used to collect information for the Gender Analysis/Assessment.*

10. *Describe lessons learnt during the development of the GMP during the PPG/PPF Phase. E.g. Did you have to hold meetings separately for women? Did the location/time of meetings affect women's participation?*

### SECTION III: Gender Action Plan

Using the results of the Gender Analysis, and considering the project context, scope and components, the Gender Action Plan details how the project will ensure the active and meaningful participation of both women and men, equal access to opportunities, resources and benefits from the project, and avoid perpetuating social inequalities.

Component 1:				
Outputs	Activities to Mainstream Gender into Output	Target	Resources Required	Budget
Output 1.1: Communities trained in natural resource management	<ul style="list-style-type: none"> <li>What actions can be taken to make this gender-responsive as possible? Example:               <ol style="list-style-type: none"> <li>Assess the training needs of men and women</li> <li>Design training course(s) that meet the needs of men and women as identified in the assessment.</li> <li>Conduct the training at a time and venue suitable for men and women to attend.</li> </ol> </li> <li>If no gender activity is applicable, put N/A.</li> </ul>	<ul style="list-style-type: none"> <li>What are your baseline and targets for men and women? *Targets should be <u>ambitious yet realistic</u>.</li> <li>How was the target determined?</li> <li>Which gender indicator does this Output contribute to?</li> </ul>	<ul style="list-style-type: none"> <li>What materials (presentations, websites, brochures, surveys, translation) are needed?</li> <li>What personnel are needed to lead and monitor these actions?</li> </ul>	<ul style="list-style-type: none"> <li>How much will this cost?</li> </ul>
Output 1.2:				
Output 1.3:				
Component 2:				
Output 2.1:				
Output 2.2:				
Output 2.3:				
Component 3:				
Output 3.1:				
Output 3.2:				



## SECTION IV: Monitoring and Reporting

The GEF/GCF Gender Mainstreaming Policy requires the collection and analysis of sex- disaggregated data and gender information to inform gender-responsive monitoring and evaluation. The project is expected to report on a quarterly basis (using the CI-GEF/GCF Quarterly Reporting template), progress made towards the achievement of gender mainstreaming activities identified in the Gender Action Plan above. The project is also expected to report on an annual basis and using the CI-GEF/GCF Project Implementation Report (PIR) or Annual Performance Report (APR) template, the following CI-GEF/GCF minimum indicators:

Indicator	Baseline		Target <sup>41</sup>	
	Men	Women	Men	Women
1. Number of men and women who participated in project activities (e.g. meetings, workshops, consultations).				
2. Number of men and women who received benefits (e.g. employment, income generating activities, training, access to natural resources, land tenure or resource rights, equipment, leadership roles)				
3. Number of strategies, plans (e.g. management plans and land use plans) and policies derived from the project that include gender considerations (this indicator applies to relevant projects)				
4.				
5.				

In addition to the minimum indicators above, projects are strongly encouraged to provide additional gender indicators specific to their projects.

## SECTION V: Considerations for the Implementation of the GMP

### 1. Alignment + integration

The activities, budget and staffing outlined in this action plan must be integrated into the project's overall Project Document + Results Framework. Please confirm that:

- The activities identified in this Action Plan have been integrated into the project's proposal document including the results framework. (Y/N)
- The necessary budget for activities identified in this Action Plan have been integrated into the project's overall budget. (Y/N)

### 2. Staffing capacities

Describe the project's capacities to implement of this Gender Mainstreaming Plan. Who will be responsible for overseeing the implementation of the actions? Will that person need to be hired or is s/he already on staff? Does that person have the technical background and skills appropriate for the level of complexity of this GMP? If not, how will this be addressed? What percentage of that person's time will be focused on implementation of this GMP?

<sup>41</sup> Targets should be ambitious yet realistic. Please be prepared to explain how the targets were determined.

## APPENDIX XIII: Stakeholder Engagement Plan (SEP) Template

### STAKEHOLDER ENGAGEMENT PLAN (SEP)

The Stakeholder Engagement Plan (SEP) outlines the differentiated measures that the Executing Agency/Entity will implement to ensure the effective participation of key project stakeholders, including both men and women and those identified as disadvantaged or vulnerable stakeholders. The level of detail in the SEP will vary; it must be scaled to the scope of the project, numbers of stakeholders involved, and potential risks and impacts present.

The SEP includes a **Stakeholder Analysis** (Section III) to identify all actors who directly or indirectly may affect or be affected by a project and their varying interests. The SEP also outlines stakeholder engagement throughout the project lifecycle, including: **Stakeholder Engagement in PPG/PPF Phase** (Section IV), **Stakeholder Engagement in Implementation Phase** (Section V), and **Monitoring and Reporting** (Section VI). These sections outline the appropriate methods for engagement, including through neutral/third party facilitators, when necessary. They also detail required public disclosure of information on project scope and impacts, a grievance redress mechanism, the budget to complete stakeholder engagement, indicators, and learning throughout the project cycle.

Each revision of the plan requires further disclosure to stakeholders.

#### SECTION I: Project Information

<b>PROJECT TITLE:</b>			
<b>GEF/GCF PROJECT ID:</b>		<b>PROJECT DURATION:</b>	___ months
<b>EXECUTING AGENCY/ENTITY:</b>			
<b>PROJECT START DATE:</b>	(mm/yyyy)	<b>PROJECT END DATE:</b>	(mm/yyyy)
<b>SEP PREPARED BY:</b>			
<b>DATE OF (RE)SUBMISSION TO CI-GEF/GCF:</b>			
<b>SEP APPROVED BY:</b>	<i>(To be completed by CI-GEF/GCF)</i>		
<b>DATE OF CI-GEF/GCF APPROVAL:</b>	<i>(To be completed by CI-GEF/GCF)</i>		

#### SECTION II: Introduction

*Introduce your Stakeholder Engagement Plan (SEP) by providing a brief context of your project and its stakeholders<sup>42</sup>, and an overview of your SEP. Include a brief description of circumstances that may impact your stakeholders or their decision making (e.g. conflict, land tenure, etc.). Limit yourself to one page as this section is a summary and provide the details in the body of the SEP.*

<sup>42</sup> Stakeholder refers to individuals or groups who: (a) are affected or likely to be affected by the project (project-affected parties); and (b) may have an interest in the project (other interested parties).

### SECTION III: Stakeholder Analysis

<b>Stakeholder Name and Function</b> <i>Name of the key stakeholder, and their main purpose/function</i>	<b>Stakeholder's Interest</b> <i>What are the stakeholder's main interests in and concerns about the project?</i>	<b>Impact of Project on Stakeholder</b> <i>How will the stakeholder be affected (both positively and negatively) by the project?</i>	<b>Influence of Stakeholder</b> <i>How can the stakeholder affect the project? Can they hinder or contribute to the success of the project?</i>	<b>Risk Management</b> <i>(Is this a low, medium or high-risk stakeholder? And how would you manage medium/high risk stakeholders)</i>
<b>Government and Local Authorities (Add rows as necessary)</b>				
Ministry of Environment <i>Governing institution for environmental matters in the country. Also serves as the GEF OFP and oversees GEF projects.</i>				
<b>CSOs/NGOs (Add rows as necessary)</b>				
XX Women's Group; <i>Advocate for women farmers in XX Village</i>				
<b>Local communities (Add rows as necessary)</b>				
<b>Indigenous Peoples (Add rows as necessary)</b>				
<b>Private Sector (Add rows as necessary)</b>				
<b>Academia (Add rows as necessary)</b>				
<b>Disadvantaged/Vulnerable<sup>43</sup> Groups (Add rows as necessary)</b>				
<b>Others (Add rows as necessary)</b>				

<sup>43</sup> Disadvantaged/Vulnerable refers to those who may be more likely to be adversely affected by the project impacts and/or more limited than others in their ability to take advantage of a project's benefits. Such an individual/group is also more likely to be excluded from/unable to participate fully in the mainstream consultation process and as such may require specific measures and/or assistance to do so. This will take into account considerations relating to age, including the elderly and minors, and including in circumstances where they may be separated from their family, the community or other individuals upon which they depend.

## SECTION IV: Stakeholder Engagement During PPG/PPF Phase

a.

Stakeholder Name	Date, Location and Method of Engagement <sup>44</sup>	Outcomes
<i>Name the key stakeholder contacted during PPG in this column. Add rows as necessary.</i>	<i>When and where did you meet? Was it a meeting, consultation, workshop, etc? What steps were taken to seek consent, if needed? How was the engagement documented?</i>	<i>What was the aim/rationale? What was discussed? What decisions were made, if any? How did this contribute to or was captured in the design of the project? How were the contributions of men and women captured, consistent with Gender Action Plan? If/how do they want to be engaged during the implementation phase?</i>

### b. Project Disclosure

Disclosing project information is essential for meaningful consultation on project design and for stakeholders to understand the potential opportunities of the project, and the risks and impacts of the project.

Confirm that the following information was shared with stakeholders in a timely manner and in an appropriate form and language during the PPG/PPF Phase:

Information	When, How and Where this was shared?
<input type="checkbox"/> The purpose, nature and scale of the project	

<sup>44</sup> Method of engagement can be face-to-face meeting, telephone call, workshop, consultation, survey, etc.  
CI-GEF/GCF Project Agency's ESMF: Version 07, October 2020.

<input type="checkbox"/> The duration of proposed project activities	
<input type="checkbox"/> Information from the environmental and social safeguard screening process, regarding potential risks and impacts of the project on stakeholders, including: <ul style="list-style-type: none"> <li>Proposals for mitigating risks and impacts</li> <li>Potential risks and impacts that might disproportionately affect vulnerable and disadvantaged groups</li> <li>Description of differentiated measures to be taken to avoid and minimize disproportionate risks and impacts</li> </ul>	
<input type="checkbox"/> The proposed stakeholder engagement process, highlighting ways in which stakeholders can participate and contribute during project design and/or implementation	
<input type="checkbox"/> The time and venue of proposed public consultation meetings, and the process by which meetings will be notified, summarized and reported	
<input type="checkbox"/> The process and means by which grievances can be raised and addressed	

**c. Reporting of Indicators During PPG/PPF**

Number (and name) of stakeholder groups involved in project design and preparation process		
Number of people who have been involved in the project design and preparation process	<b>Men:</b>	<b>Total:</b>
	<b>Women:</b>	
Number of engagements (meetings, workshops, consultations, etc) with stakeholders during PPG phase		

**d. Lessons Learned during PPG/PPF:**

**What went well and did not go well during the stakeholder engagements? What would you continue to do or do differently during implementation phase to have better stakeholder engagements?**

*Example 1: During the PPG, we found that stakeholder engagement demands a lot of time. During implementation, we need to plan more time for meaningful engagements.*

*Example 2: During PPG, we found that only 10 persons showed up for the meeting from a community of 300 persons. We learnt that the time of the meeting and the location were not convenient for the community. During implementation, we will plan community meetings on Saturdays in the market square as everyone comes there and can meet for an hour when the market closes.*

*Example 3: During the PPG, we found it difficult to communicate clearly with the village as there was a language barrier. During implementation, we will hire a local person to translate and facilitate the meeting.*

## SECTION V: Stakeholder Engagement in the Implementation Phase

Stakeholder Name	Method of Engagement	Location and Frequency	Resources Required	Budget
<p>Name the key stakeholder and group type to be engaged. Add columns as necessary.</p>	<p>How will you involve and engage this stakeholder? (meeting, consultation, workshop, discussion, etc)</p> <p>What special measures would be taken to include disadvantaged/vulnerable individuals/groups? (e.g. women, minorities, elderly, youth, etc.)?</p> <p>What steps would be taken to seek consent, if needed.</p> <p>Who will engage the stakeholders e.g. project staff, facilitators, etc.?</p> <p>Reminder: Disclosure of project information continues throughout implementation so be sure to cater for this.</p>	<p>Where and When will you engage with this stakeholder?</p>	<p>What materials (presentations, websites, brochures, surveys, translation) are needed? What personnel are needed to lead and monitor these engagements?</p>	<p>How much will this engagement cost? Consider resources required, staff, transportation, etc.</p>

## SECTION VI: Monitoring and Reporting

The project will report on a quarterly basis (using the CI-GEF Quarterly Reporting template), progress made towards the implementation of the SEP.

On an annual basis and using the CI-GEF Project Implementation Report (PIR) template, the following CI-GEF's minimum indicators are to be reported. The project can include other appropriate stakeholder engagement indicators in addition to the CI-GEF's indicators.

Indicator	Baseline		Target	
	Men	Women	Men	Women
6. Number of people (sex disaggregated) that have been involved in project implementation phase (on an annual basis)				
7. Number of stakeholder groups (government agencies, civil society organizations, private sector, indigenous peoples and others) that have been involved in the project implementation phase (on an annual basis)				
8. Number of engagements (meetings, workshops, consultations, etc.) with stakeholders during the project implementation phase (on an annual basis).				
9.				

<b>Person responsible for implementing and monitoring the SEP:</b>	Provide name and designation of that person
<b>How/Where will the approved SEP be disclosed<sup>45</sup>:</b>	E.g. via the project's website, at the inception meeting with stakeholders, printed and posted on notice board in community centre, etc.
<b>When will the approved SEP be disclosed:</b>	E.g. at the start of the implementation phase, before the end of the first quarter during implementation phase, etc.

<sup>45</sup> Approved Safeguard plans are to be disclosed to stakeholders in a manner and form that they will understand and that is culturally appropriate. This may require translation of the document.

## APPENDIX XIV: Accountability & Grievance Mechanism Template

### ACCOUNTABILITY & GRIEVANCE MECHANISM (AGM)

The CI-GEF/GCF Project Agency requires all project to have an Accountability and Grievance Mechanism in place so that project-affected communities and other stakeholders may raise a grievance at all times to the Executing Agency/Entity, CI, the GEF or GCF on non-compliance with the ESMF. Affected communities should be informed about this possibility and contact information of the respective organizations at relevant levels should be made available publicly. Affected communities should also be assured that their grievances will be addressed in a timely manner, they will not face retaliation for submitting a grievance, and they have the option to request confidentiality.

#### SECTION I: Project Information

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<b>PROJECT TITLE:</b>			
<b>GEF/GCF PROJECT ID:</b>		<b>PROJECT DURATION:</b>	___ months
<b>EXECUTING AGENCY/ENTITY:</b>			
<b>PROJECT START DATE:</b>	(mm/yyyy)	<b>PROJECT END DATE:</b>	(mm/yyyy)
<b>AGM PREPARED BY:</b>			
<b>DATE OF (RE)SUBMISSION TO CI-GEF/GCF:</b>			
<b>AGM APPROVED BY:</b>	<i>(To be completed by CI-GEF/GCF)</i>		
<b>DATE OF CI-GEF/GCF APPROVAL:</b>	<i>(To be completed by CI-GEF/GCF)</i>		

#### SECTION II: Introduction

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- *Introduce your AGM by providing a short summary of your project and its main activities, any anticipated grievances, how you will ensure that stakeholders are aware of the mechanism, and what system will be put in place to ensure that the mechanism is working effectively and efficiently.*



## SECTION III: Scope

- *What grievances are eligible and would be received? Will the grievance be screened to ensure it is related to the GEF/GCF project?*
- *How will the mechanism ensure transparency and fairness?*
- *Will the mechanism receive anonymous grievance?*
- *How will the mechanism deal with confidentiality?*
- *How will the project protect grievants from retaliation for submitting a grievance?*
- *How will the mechanism ensure that both women and men feel comfortable accessing it? How does the project cater for other vulnerable groups, such as youth or elderly, or those who speak a minority language?*

## SECTION IV: Awareness and Accessibility

<i>How and when will the project disseminate the AGM to stakeholders? How would it be communicated to stakeholders that speak a different language, might be illiterate, are in hard to reach places or other vulnerable groups such as women?</i>	Examples of how: via the project's website, at the inception meeting with stakeholders, printed and posted on notice board in community centre, radio announcement, flyers, posters, SMS/text/WhatsApp messages, illustration/animated video, etc. Examples of when: at the end of every presentation or community engagement, at the start of the implementation phase, before the end of the first quarter during implementation phase, etc.
<i>Name and designation of person(s) where grievances can be addressed to:</i>	
<i>Physical address of person(s) above or location of grievance collection box:</i>	
<i>Telephone/Fax:</i>	
<i>Email:</i>	
<i>Website/software application:</i>	
<i>Radio Frequency, if applicable:</i>	
<i>Other<sup>46</sup>:</i>	

<sup>46</sup> A grievant may not be able to write or have access to telephone/email services, or even travel to your office. Indicate how you plan to accommodate such circumstances.

## SECTION V: Acknowledgment and Follow-up

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- *How will your mechanism acknowledge receipt of the grievance? How long will it take for this receipt to be given to the grievant?*
- *How long will your mechanism take to provide a resolution to the grievant?*
- *Do you plan to provide periodic updates throughout the process to the grievant?*

## SECTION VI: Processing

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*Describe how your mechanism will process the grievance.*

- *How will the grievance be verified? Will there be site visits, face-to-face meeting, etc.*
- *How will the mechanism deal with grievances that are ineligible?*
- *Will there be categorization/prioritization system based on the nature of the grievance? How will high-priority or sensitive grievances be dealt with?*
- *What's the institutional/organizational structure to handle grievances? Will the grievance be assigned/directed to a specific project staff or committee to deal with the grievance?*
- *Will there be a tiered system where grievances get escalated depending on their seriousness or unable to resolve? A tiered system could be to first address the grievance at the field level; second level can be at the Project Management Unit; third level can be at the Project Steering Committee level; and fourth level can be CI's EthicsPoint Hotline.*
- *If the project fails to address the grievance, what steps would be taken to achieve a resolution? Will the project set up an arbitration process? Are there national mechanisms that the project can use? If there are national processes, do the communities and other stakeholders have faith in them, know about them and have easy access to them, and are they likely to use them?*
- *Please note that if the process does not result in resolution of the grievance, or if the grievant prefers, s/he may choose to file a claim through CI's EthicsPoint Hotline at <https://secure.ethicspoint.com> Alternatively, the grievant may file a claim with the Director of Compliance (DOC) who is responsible for the CI Accountability and Grievance Mechanism and who can be reached at: Director of Compliance, Conservation International 2011 Crystal Drive, Suite 600 Arlington, VA 22202, USA. This information must be contained in the AGM and disseminated to all project stakeholders.*

## SECTION VII: Documentation

- *How will grievance be recorded? Will there be a grievant form? Will there be a log book of the grievances received?*
- *How and where would these records be stored? And for how long will they be kept?*
- *How will the personal identifiable information of the grievant be kept secure, and who within the team will have access to it?*

## SECTION VIII: Monitoring and Reporting

*Describe how will you track and ensure that the mechanism is working. It is important to recognize that lack of grievances does not mean that there are none, it may indicate that the mechanism is not working properly. Describe how you will account for this possibility.*

The project is expected to report on a quarterly basis (using the CI-GEF Quarterly Reporting template), progress made towards the implementation of the grievance mechanism, including the number of grievances received and the outcome of the grievance process.

On an annual basis and using the CI-GEF Project Implementation Report (PIR) template, the following CI-GEF's minimum indicators are to be reported. The project can include other appropriate accountability and grievance indicators in addition to the CI-GEF's indicators.

Indicator	Baseline	Target
10. Number of conflict and complaint cases reported to the project's Accountability and Grievance Mechanism		
11. Percentage of conflict and complaint cases reported to the project's Accountability and Grievance Mechanism that have been resolved		

<b>Person responsible for implementing and monitoring the AGM:</b>	Provide name and designation of that person
<b>Budget/Resources required:</b>	Consider budget, staffing, materials, translation/translator, radio time to announce the mechanism, payment of a post office box where people can submit grievances to, a dedicated cell phone or other phone number, etc

## APPENDIX XIV: CI's Approval of the Updated ESMF



### Memo

**To:** Miguel Morales, Senior Vice-President, CI-GEF/GCF Agencies  
**From:** CI Executive Committee  
**Date:** November 16, 2020  
**Subject:** Approval of Updated Environmental and Social Management Framework

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The CI Executive Committee thanks the GEF/GCF Project Agency for the updated Environmental and Social Management Framework (ESMF), and after reviewing the document, hereby approve the updated ESMF.

We look forward to the successful implementation of the updated ESMF for GEF and GCF projects.

Sincerely,

A handwritten signature in black ink, appearing to read "M. Sanjayan", followed by a horizontal line.

M. Sanjayan