



## CI-GEF PROJECT AGENCY

# ENVIRONMENTAL AND SOCIAL MANAGEMENT FRAMEWORK (ESMF)



Version 05

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## DOCUMENT LOG AND CHANGE RECORD

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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 document.	Ian Kissoon (CI-GEF Team) Kame Westerman (CI gender specialist) Miguel Morales (CI-GEF Team) Orissa Samaroo (CI-GEF Team)

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## ACRONYMS & ABBREVIATIONS

<b>AIS</b>	Alien and Invasive Species
<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>FPIC</b>	Free, Prior and Informed Consent
<b>GEF</b>	Global Environment Facility
<b>IFC</b>	International Finance Corporation
<b>ILO</b>	International Labor 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>PMP</b>	Pest Management Plan
<b>PPG</b>	Project Preparation Grant
<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

## 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 GEF-financed project forward, either to a local or country-level dispute resolution system, a GEF Partner Agency, or the GEF Resolution Commissioner.
<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 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 Hotspots, 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.
<b>Ecosystem Services</b>	Ecosystem services are the direct and indirect contributions of ecosystems to human well-being. Ecosystem services can be categorized in four main types: provisioning, regulating, cultural, and supporting services.
<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.
<b>Environmental and Social Management Plan (ESMP)</b>	The ESMP is a coherent compilation of the applicable project-level plans prepared by the Executing 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 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 funded projects. The EMP includes safeguard standards related to the Protection of Natural Habitats and Physical Cultural Resources.
<b>Executing Entity/Agency</b>	<p>Entity or agency that receives GEF Funding from a GEF Project Agency in order to execute a GEF project or parts of a GEF project, under the supervision of a GEF Project Agency.</p> <p>The Executing Entity is responsible for the management, implementation 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.</p>
<b>GEF Project Agency</b>	Any institution that the GEF has accredited to receive GEF resources on behalf of countries to implement GEF-financed projects under the provisions of paragraph 28 of the Instrument apart from the ten GEF Agencies.

<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 Aware</b>	The explicit recognition of local gender differences, norms, and relations and their importance to outcomes in program and policy design, implementation and evaluation. This recognition derives from analysis or assessment of gender differences, norms, and relations in order to address gender equity in outcomes.
<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 gender-sensitive and 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>Gender Sensitive</b>	Recognizing the differences, inequalities and specific needs of women and men, and acting on this awareness.
<b>Indigenous Peoples</b>	<p>According to the <i>Rights-Based Approach Indigenous Peoples and CI Policy</i>, CI identifies indigenous peoples in specific geographic areas by the presence, in varying degrees, of:</p> <ol style="list-style-type: none"> <li>a) Close attachment to ancestral and traditional or customary territories and the natural resources in them;</li> <li>b) Customary social and political institutions;</li> <li>c) Economic systems oriented to subsistence production;</li> <li>d) An indigenous language, often different from the predominant language; and</li> </ol>

- e) Self-identification and identification by others as members of a distinct cultural group

**Indigenous Peoples Plan (IPP)**

The main objective of an Indigenous Peoples Plan (IPP) is to avoid adverse impacts on indigenous peoples, provide them with culturally appropriate social and economic benefits, as well as ensure that their rights to free, prior and informed consent (FPIC) are respected. The IPP describes all potential negative impacts that a project may have on indigenous people and the measures that the Executing Entity will put in place to avoid and/or to mitigate these impacts. The IPP addresses safeguards related to Indigenous People (Minimum Standard 4).

**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 (*University of California-Davis*).

**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*).

**Mitigation Hierarchy**

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:

- a) Avoid significant habitat loss and/or degradation;
- b) Minimize significant habitat loss and/or degradation when adverse impacts cannot be avoided;
- c) Restore natural habitats when adverse impacts can neither be avoided nor minimized; and
- d) Offset 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.

**Natural Habitats**

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.

**Pest Management Plan (PMP)**

The Pest Management plan (PMP) 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 PMP addresses safeguards related to Pest Management (Minimum Standard 5).

<b>Physical Cultural Resources</b>	Movable or immovable objects, sites, structures, and natural features and landscapes that have archeological, paleontological, historical, architectural, religious, aesthetic, sacred sites or other cultural significance.
<b>Process Framework</b>	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 Policy 3 on Involuntary Resettlements or Restrictions of Access to Natural Resources.
<b>Safeguard</b>	Measure(s) to put in place and/or implemented to protect someone or something or to prevent something undesirable.
<b>Sex-disaggregated Data</b>	Data that is collected and presented separately on men and women. Sex describes the biological and physiological differences that distinguish males, females and intersex.
<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 Engagement Plan (SEP)</b>	This document details all the differentiated measures that the Executing Entity will implement to ensure the effective participation of key project stakeholders, including those identified as disadvantaged or vulnerable stakeholders. This plan addresses issues related to the Stakeholder Participation Policy 9.
<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 Entity will follow and the actions that will be taken to properly resettle and compensate affected people and communities.



# CI-GEF PROJECT AGENCY

## ENVIRONMENTAL AND SOCIAL MANAGEMENT FRAMEWORK (ESMF)

### I. INTRODUCTION

1. CI's mission is to improve human well-being through more responsible and sustainable management of nature, including biodiversity.
2. Recognizing the value of safeguards for risk management as well as CI's responsibility as a partner of the Global Environment Facility (GEF), the CI-GEF Project Agency *has adopted the GEF Minimum Standards on Environmental and Social Safeguards and Gender Mainstreaming*<sup>1</sup>, and will screen projects for all such potential impacts.
3. If CI-GEF 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 GEF and CI policies and principles.
4. CI considers the different roles and needs of men and women in all aspects of our business decision making, and in all of our projects, we will use a gender mainstreaming approach to ensure gender equality and equity are achieved in our target sites as a cornerstone of our conservation efforts.

### II. PURPOSE

5. The purpose of the ESMF is to ensure that CI-GEF project related adverse environmental and social impacts are *avoided* or, when unavoidable, *minimized* and appropriately *mitigated* and/or *offset* (compensated).
6. The ESMF is based on the GEF's Minimum Standards on Environmental and Social Safeguards and Gender Mainstreaming as well as current CI policies and international best practices.
7. A key principle of the ESMF is to *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 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.

### III. INSTITUTIONAL ARRANGEMENTS

#### **Environmental and Social Safeguard Responsibilities**

8. The **CI-GEF Project Agency Team** 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.
9. The **Executing Entity/Agency** is responsible for designing and executing a project consistent with the requirements of the GEF minimum standards and CI policies related to safeguards as described in this ESMF. This includes monitoring and evaluation of progress of the agreed actions that address safeguard issues during project implementation.

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<sup>1</sup> [https://www.thegef.org/gef/policies\\_guidelines/safeguards](https://www.thegef.org/gef/policies_guidelines/safeguards)

10. The **CI-GEF Project Agency Team** will monitor implementation of this Framework. 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 Project Agency Team will be able to request from an Executing 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 EMSF policies have been satisfactorily addressed. CI will also review and approve any action plans developed during project implementation.
11. The **CI-GEF Project Agency Team** will also be responsible for oversight of the gender mainstreaming component of the project planning process, including review and approval of the Executing Entity's Gender Mainstreaming Plan and adequate gender inclusion throughout the final project document.
12. Through its project design review, CI will identify and promote measures to support the equal treatment of women and men, including the equal access to resources and services.
13. Throughout the project review process, the CI-GEF Project Agency Team will maintain contact with the Executing Entity to obtain clarification on information provided and the preparation process.
14. There are two key decision points during the project preparation process. The safeguard screening of project concepts (Appendix II) will identify potential safeguard issues and describe project preparation procedures to further assess potential impacts and design mitigation measures, as needed. A review of the final project proposal will, besides reviewing the proposal against CI and GEF objectives and procedures, 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 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), Pest Management Plan (PMP), Indigenous Peoples Plan (IPP), or Voluntary Resettlement Action Plan (V-RAP);
  - e) Adequacy of the project's consultation processes and communication of the Accountability and Grievance Mechanism;
  - f) Identification of measures to avoid, minimize, mitigate or offset adverse impacts;
  - g) Adequacy, appropriateness and feasibility of the proposed measures to ensure gender equality, including the 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 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 made available to stakeholders before approval can occur.
15. Through this review, the CI-GEF Project Agency Team may find the safeguard process and measures satisfactory, or may find the need for further discussion with the Executing 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. For projects affecting Indigenous Peoples, a process to ensure free, prior and informed consent (FPIC) is also required.

16. 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 Entity will revisit the safeguard issues to assess their status and address any issues that may arise. In cases where the Executing Entity is implementing an ESMP, other project-level plan, or other mitigation measures, it will report on the progress of such implementation in parallel to 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 equality and equity, are continually monitored and adverse effects mitigated throughout project implementation. The CI-GEF Project Agency Team will monitor the implementation of safeguards during project implementation through check-in meetings and field visits. The CI-GEF Project Agency Team will review and approve any safeguard-related action plans required prior to or developed during implementation of projects.
17. CI-GEF Project Agency will conduct an annual monitoring review of its project portfolio to see how gender mainstreaming has been addressed and integrated into projects.
18. Project-specific draft plans (including mitigation plans) are to be disclosed to all stakeholders including: affected communities and Civil Society Organizations (CSOs) prior to approval. Before plans can be disclosed; the CI-GEF Project Agency Team must review and approve a draft. Executing 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 meaningful and understandable to the affected people for their consent. The CI-GEF Project Agency Team will disclose all final approved plans on CI's website.
19. The key responsibilities of the CI-GEF Project Agency Team and the Executing 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**

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

PROJECT STAGE	CI-GEF PROJECT AGENCY	EXECUTING ENTITY
<b>Identification, Preparation Development</b>	<ul style="list-style-type: none"> <li>• Overseeing application of the ESMF/safeguards processes including gender mainstreaming</li> <li>• Screening projects to determine if they trigger all safeguards including whether a full or limited Environmental and Social Impact Assessment (ESIA) is required</li> <li>• Reviewing and assessing the ESIA TOR, the</li> </ul>	<ul style="list-style-type: none"> <li>• Providing accurate, reliable and timely information required in the Project Safeguard Screening Form (see Appendix I)</li> <li>• Designing, planning, and preparing project concepts and proposals according to the ESMF requirements</li> <li>• Overseeing the ESIA process, and preparation of project plans resulting from</li> </ul>

PROJECT STAGE	CI-GEF PROJECT AGENCY	EXECUTING ENTITY
	<p>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</p> <ul style="list-style-type: none"> <li>• Approving project based on a determination that safeguards issues have been adequately addressed. If adverse environmental or social impacts outweigh the expected benefits, CI cannot support the project</li> <li>• Disclosing of ESIA and project-level plans through CI's website</li> <li>• Conducting all interactions with GEF Secretariat related to requirements of the GEF Project Cycle</li> </ul>	<p>application of the ESMF policies</p> <ul style="list-style-type: none"> <li>• Implementing all required consultations with project stakeholders, including informing Affected Communities and explaining the project to them; incorporating feedback from and changes agreed upon; and obtaining and documenting their free, prior and informed consent (FPIC)</li> </ul>
<b>Implementation</b>	<ul style="list-style-type: none"> <li>• Reviewing and monitoring of implementation of financial, technical, and project-level plans, including 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>• Working with the Executing 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 Entity is not following project-levels plans (i.e. any of the safeguards-related plans required under CI and GEF policies). If these measures do not succeed in correcting the deficiencies, CI may withhold payment, or suspend or cancel the grant, as appropriate</li> <li>• Disclosing completed project evaluations and results through CI's website (following donor acceptance, and subject to exclusion of proprietary and personal information).</li> </ul>	<ul style="list-style-type: none"> <li>• Executing project plans and monitoring the effectiveness of risk mitigation measures; ensuring compliance with and adherence to all safeguards outlined in each of the plans, and undertaking 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>• Informing project-affected, local authorities, other stakeholders and the CI-GEF Project Agency Team 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>• Incorporating feedback from project-affected parties and providing and documenting the process to obtain their free, prior and informed consent to any changes in the project plan</li> <li>• Completing annual Project Implementation Reports (PIR) to document safeguard monitoring</li> </ul>

#### IV. CI-GEF PROJECT AGENCY ENVIRONMENTAL AND SOCIAL POLICIES

21. As a GEF Project Agency, CI must ensure that CI-GEF projects comply with the GEF Minimum Standards for Environmental and Social Safeguards.
22. This section describes all relevant CI-GEF Project Agency policies for GEF funded projects.
23. The description of the implementation arrangements for each policy and more detailed description of measures to address particular issues pertaining to the respective GEF Environmental and Social Safeguards is provided in the Appendix section of this document.
24. As CI does not build dams, a specific safeguard policy has not been developed for GEF Minimum Standard 7, Safety of Dams. Therefore, the CI-GEF Project Agency will not be able to propose or receive GEF Resources for any projects that design and construct new dams and rehabilitate existing dams or projects financing agriculture or water resource management infrastructure, that are highly dependent on the performance of dams or that potentially affect their performance.
25. CI will publicly disclose documents related to all CI-GEF Environmental and Social Safeguards policies on its website at <http://www.conservation.org/GEF>. The website lists contact information where interested stakeholders can seek further information or documentation and raise their concerns or recommendations to CI. The Project Agency will be responsible for ensuring appropriate response.
26. CI-GEF's ESMF is composed of 9 policies -also referred as safeguards- which describe the minimum standards that each CI-GEF funded project must meet or exceed. They are:
  - Policy 1:** Environmental and Social Impact Assessment (ESIA)
  - Policy 2:** Protection of Natural Habitats
  - Policy 3:** Involuntary Resettlement
  - Policy 4:** Indigenous Peoples
  - Policy 5:** Pest Management
  - Policy 6:** Physical Cultural Resources
  - Policy 7:** Accountability and Grievance Mechanisms
  - Policy 8:** Gender Mainstreaming
  - Policy 9:** Stakeholder Engagement

## SUMMARY OF ESMF POLICY EXCLUSIONS

### CI will not finance projects that:

1. Propose to create significant destruction or degradation of *critical natural habitats* of any type (forests, wetlands, grasslands, coastal/marine ecosystems, etc.) or have significant negative socioeconomic and cultural impacts that cannot be cost-effectively avoided, minimized, mitigated and/or offset.
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, or recognized as protected by traditional local communities;
3. 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*;
4. 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;
5. Contravene major international and regional conventions on environmental issues;
6. Involve *involuntary resettlement, land acquisition, and/or the taking of shelter and other assets* belonging to local communities or individuals;
7. Propose the use of pesticides that are unlawful under national or international laws;
8. Involve the removal, alteration or disturbance of any *physical cultural resources*; and
9. The CI-GEF Project Agency has not been accredited for the GEF Minimum Standard 7, Safety of Dams. Therefore, the Agency will not be able to propose or receive GEF Resources for any projects that design and construct new dams and rehabilitate existing dams or projects financing agriculture or water resource management infrastructure, that are highly dependent on the performance of dams or that potentially affect their performance.

## POLICY 1: ENVIRONMENTAL AND SOCIAL IMPACT ASSESSMENT (ESIA)

27. This policy complies with GEF Minimum Standard 1.

### Purpose

28. To ensure that all GEF funded projects are environmentally and socially sound and sustainable.

### Definitions

29. The *Environmental and Social Impact Assessment (ESIA)* is 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.
30. The *Mitigation Hierarchy* is composed of 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: a) *Avoid* significant habitat loss and/or degradation; b) *Minimize* significant habitat loss and/or degradation when adverse impacts cannot be avoided; c) *Mitigate* (restore) natural habitats when adverse impacts can neither be avoided nor minimized; and d) *Offset* when residual impacts on natural habitats remain, in spite of all reasonable attempts to avoid, minimize and mitigate those impacts.

### Policy exclusions

31. CI will not finance projects that propose to create significant destruction or degradation of critical natural habitats of any type (forests, wetlands, grasslands, coastal/marine ecosystems, etc.) or have significant negative socioeconomic and cultural impacts that cannot be cost-effectively avoided, minimized, mitigated and/or offset.

### Policy requirements

32. To comply with this policy, the CI-GEF Project Agency will implement a *Safeguard Screening* process for all GEF funded projects. The purpose of this screening is to categorize projects according to their potential environmental and social impacts.
33. The initial *Safeguard Screening* will take place on the final version of the Project Identification Form (PIF) utilizing a *Project Screening Form* (Appendix II) to cover all safeguards policies. The screening results will designate a project as (see Appendix I for details):
- **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* 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 projects. However, *specific project-level safeguard plans* might be required by the CI-GEF Project Agency to strengthen the project compliance with the ESMF policies.
34. If the results from the CI-GEF Project Agency's project safeguard screening finds that an ESIA is necessary, the CI-GEF 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.
  35. 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 Appendices X and XI).
  36. All sub-projects and/or sub-grants activities under the main CI-GEF project must also meet the minimum requirements of this policy.
  37. CI has preliminarily identified five types of project activities that may result in adverse environmental and social impacts that may be associated with CI-GEF 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 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.
  38. CI 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 that benefits brought by the project activities surpass the costs.
  39. Project-level plans may also be developed even when no ESIA is necessary -Category C- as a means for coordination and to promote positive impacts. Examples of project-level plans may include an Environmental Management Plan (EMP), Voluntary Resettlement Action Plan (V-RAP), Process



Framework for Restriction of Access to Natural Resources, Restriction of Access to Natural Resources Plan, Indigenous Peoples Plan (IPP), Pest Management Plan (PMP), Stakeholder Engagement Plan (SEP), and Gender Mainstreaming Plan (GMP).

40. All plans will be reviewed and approved by the CI-GEF Project Agency Team prior to the signature of the grant agreement by the Head of the CI-GEF Project Agency.
41. Appendix I provides more details about the practical implementation of this policy.

## **POLICY 2: PROTECTION OF NATURAL HABITATS**

42. This policy complies with GEF Minimum Standard 2.
43. As a conservation organization, CI's strategies, policies and approaches are fully consistent with the GEF's Protection of Natural Habitats Safeguard. CI implements activities that promote protection of threatened species and their natural habitats and foster the adoption of sustainable development practices that are socially acceptable and economically feasible. CI projects promote the prevention, reduction, or reversal of habitat loss or degradation to conserve threatened species that depend on these habitats and the ecosystem services that they provide to humans.

### **Purpose**

44. To avoid, or facilitate, any significant loss or degradation and to support the sustainable management, protection, conservation, maintenance, and rehabilitation of *natural habitats* and their associated biodiversity and ecosystem functions

### **Definitions**

45. *Natural habitats* are defined as 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.
46. *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 Hotspots, Ramsar Sites, areas identified as important for ecosystem services such as carbon storage, freshwater provision and regulation, etc.
47. *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).
48. *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*).

## **Policy exclusions**

49. To comply with this policy, CI will not finance projects that:

- a) 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, or recognized as protected by traditional local communities;
- b) 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*;
- c) 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; and
- d) Contravene major international and regional conventions on environmental issues.

## **Policy requirements**

50. To protect natural habitats and in accordance with international agreements, CI endorses and applies the *precautionary approach*<sup>2</sup> for its projects and programs. Thus, where there are threats of serious or irreversible damage, lack of full scientific certainty shall not be used as a reason for postponing cost-effective measures to prevent environmental degradation.
51. All CI-GEF project activities will be consistent with existing protected area management plans or other resource management strategies that are applicable to national or local situations.
52. In the development of a project and during the Safeguard Screening process, the Executing 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, 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.
53. In areas of *natural habitat*, mitigation measures will be designed to achieve no net loss of biodiversity and/or ecosystem services where feasible, following the *mitigation hierarchy* described in Policy 1 above.
54. To prevent *natural habitat* destruction, fragmentation and/or degradation, CI will favor the development of physical infrastructure in areas where natural habitats have already been converted to other uses.
55. CI 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 and economically viable.

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<sup>2</sup> Principle 15 of the 1992 Rio Declaration on Environment and Development (Rio Declaration)

56. 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 will have to demonstrate the sustainability of the proposed methodology. The sustainability of the proposed harvesting approach must be approved by the CI-GEF Project Agency: a) before PIF submission for resources without known and/or proven sustainability criteria and successful cases of field implementation; and b) before project implementation starts for resources with known and/or proven sustainability criteria and successful cases of field implementation.
57. For projects that trigger this policy, Executing Entities will be required to develop an Environmental Management Plan (EMP). The EMP is a document that identifies a set of mitigation, management, monitoring and institutional actions to be implemented for CI-GEF funded projects. The EMP includes safeguard standards related to the Protection of Natural Habitats and Physical Cultural Resources (see Appendix III for details).
58. The EMPs 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.
59. Appendix III provides more details about the practical implementation of this policy.

### **POLICY 3: INVOLUNTARY RESETTLEMENT**

60. This policy complies with GEF Minimum Standard 3.

61. This policy applies to situations involving:

- a) ***Involuntary or voluntary resettlement*** including physical displacement, relocation or loss of shelter; and
- b) ***Involuntary and voluntary restrictions*** of access to natural resources that lead directly or indirectly to the loss of traditional/subsistence livelihoods.

62. This policy extends to the inclusion of customary rights. It is not limited solely 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.).

#### **Purpose**

63. To minimize, mitigate and/or compensate the potential adverse socioeconomic and cultural impacts of resettlement processes and restrictions of access to natural resources that some CI-GEF projects might create

#### **Policy exclusions**

64. The CI-GEF Project Agency will not fund projects involving *involuntary resettlement, land acquisition, and/or the taking of shelter and other assets* belonging to local communities or individuals.

#### **Policy requirements**

65. CI may support project-initiated *voluntary resettlement* as an exceptional measure where consent of affected communities has been obtained and documented. However, GEF funding cannot be used to finance the cost of the physical relocation or displacement of people.

66. Thus, for projects in which the best alternative to the business-as-usual scenario involves *voluntary resettlement*, Executing Entities will be required to design, document and disclose a participatory process for preparing a *Voluntary Resettlement Action Plan* (V-RAP) before project implementation begins.

67. The V-RAP shall describe the project activities, establish eligibility criteria for eligible persons/communities, and disclose efforts made to minimize displacement, as well as describe results from census and socioeconomic surveys, all relevant local laws and customary rights that apply, resettlement sites, income/livelihood restoration, institutional arrangements, implementation schedule, stakeholders participation and consultation, accountability and grievance mechanisms, monitoring and evaluation plans, along with costs, budgets and sources of funding other than GEF.

68. The V-RAP should include information about how men and women may be impacted differently by resettlement, given their respective roles, responsibilities, uses of natural resources and needs, and put in place gender-sensitive measures.

69. CI will support projects involving *voluntary restrictions* of access to and use of natural resources as long as the Executing Entity is able to provide documented consent from affected communities.
70. For projects in which the best alternative to the business-as-usual scenario involves *involuntary restrictions* of access to and use of natural resources (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 Entities will be required to prepare a Process Framework for Restriction of Access to Natural Resources that describes the nature of the restrictions, the participatory process 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.
71. When needed, a Restriction of Access to Natural Resources 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.
72. Prior to the formal approval process begins, V-RAPs and/or Process Frameworks, including documentation of the consultation process, must be 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. For subprojects requiring land acquisition, these minimum requirements will be applied as applicable and relevant.
73. In addition to the above requirements, all CI-GEF funded projects must follow national legislation on resettlement and access and use of natural resources.
74. Appendix IV provides more details about the practical implementation of this policy.

## **POLICY 4: INDIGENOUS PEOPLES**

75. This policy complies with GEF Minimum Standard 4.
76. Many of the world’s remaining areas of high biodiversity and critical ecosystem service provision overlap with lands owned, occupied, and/or utilized by Indigenous Peoples. CI has engaged 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.
77. This policy is fully in line with CI’s Institutional Policy, “*Indigenous Peoples and Conservation International*”.

### **Purpose**

78. 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 affected persons and/or communities;
  - c) Potential adverse impacts are avoided or adequately addressed 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.
79. This policy applies to projects that affect Indigenous Peoples, whether adversely or positively. Such projects need to be prepared with care and with the participation of affected communities.

### **Definition**

80. CI identifies Indigenous Peoples<sup>3</sup> 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
  - e) Self-identification and identification by others as members of a distinct cultural group.

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<sup>3</sup> Indigenous Peoples and CI Policy. Rights-based Approach, June 2012

## **Policy requirements**

81. All CI-GEF 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 obtain their FPIC for project activities affecting them. 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
- d) Develop an *Indigenous Peoples Plan* (IPP) describing measures to avoid adverse impacts and enhance culturally appropriate benefits in each project.

82. The level of detail necessary to meet the requirements of the IPP is 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 CI's Project Agency in consultation with the Executing Entity based on a subjective assessment of project activities, circumstances of Indigenous Peoples, social risks and project impacts.

83. 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.

84. Specific measures to achieve these objectives will be incorporated in the IPP developed with the affected Indigenous Peoples communities.

85. APPENDIX V provides more details about the practical implementation of this policy.



## **POLICY 5: PEST MANAGEMENT**

86. This policy complies with GEF Minimum Standard 5.
87. CI promotes the 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),
88. 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.

### **Purpose**

89. To ensure that the environmental and health risks associated with pesticide use are minimized and managed, and that safe, effective, and environmentally sound pest management is promoted and supported.

### **Definitions**

90. *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 (*University of California-Davis*).
91. *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*).
92. *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 adversely impact biodiversity, including decline or elimination of native species - through competition, predation, or transmission of pathogens - and disrupt local ecosystems and ecosystem functions (*CBD, 2006*).

### **Policy exclusions**

93. CI does not allow the use of pesticides that are unlawful under national or international laws.
94. CI does not allow the procurement and/or use of pesticides and other chemicals specified as persistent organic pollutants under the Stockholm Convention<sup>4</sup> nor the procurement or use of products in World Health Organization (WHO) Classes IA and IB or Class II<sup>5</sup>, if:

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<sup>4</sup> <http://chm.pops.int>

- a) The country lacks restrictions on their distribution and use; or
  - b) They are likely to be used by, or be accessible to, lay personnel, farmers, or others without training, equipment, and facilities to handle, store, and apply these products properly.
95. 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<sup>6</sup> (Rome 2010) and its associated technical guidelines. CI will only procure 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.

### **Policy requirements**

96. CI-GEF projects may support investments related to agricultural extension services or alien invasive species management.
97. For projects that require the procurement of eligible pesticides, CI 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.
98. For projects that trigger this policy, Executing Entities will be required to develop a *Pest Management Plan* (PMP). The PMP 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 VI for details).
99. CI will ensure that draft PMPs 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.
100. Appendix VI provides more details about the practical implementation of this policy.

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<sup>5</sup> [http://www.who.int/ipcs/publications/pesticides\\_hazard/en/](http://www.who.int/ipcs/publications/pesticides_hazard/en/)

<sup>6</sup> <http://www.fao.org/3/a-a0220e.pdf>

## **POLICY 6: PHYSICAL CULTURAL RESOURCES**

101. This policy complies with GEF Minimum Standard 6.

### **Purpose**

102. To ensure that physical cultural resources are appropriately preserved and their destruction or damage is appropriately avoided.

### **Definition**

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

### **Policy exclusions**

104. CI will not fund any activity that involves the removal, alteration or disturbance of any physical cultural resources.

### **Policy requirements**

105. GEF funded activities will analyze feasible project alternatives including site selection and project design in order to prevent, minimize or compensate for adverse impacts and enhance positive impacts on physical cultural resources.

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

107. Qualified specialists may be required to conduct field-based surveys, if necessary.

108. For projects that trigger this policy, Executing Entities will be required to develop an *Environmental Management Plan* (EMP). The EMP is a document that identifies a set of mitigation, management, monitoring and institutional actions to be implemented for CI-GEF funded projects. The EMP includes safeguard standards related to the Protection of Natural Habitats and Physical Cultural Resources.

109. Appendix III includes procedures to ensure that provisions under this policy are followed.

## **POLICY 7: ACCOUNTABILITY AND GRIEVANCE MECHANISMS**

110. This policy complies with GEF Minimum Standard 8.

### **Purpose**

111. To ensure enforcement of CI's ESMF policies and provide for the receipt of and timely response to resolution of complaints from parties affected by its CI-GEF projects.

### **Policy requirements**

112. The Accountability and Grievance Mechanisms are not intended to replace project and country level dispute resolution and redress mechanisms. These mechanisms are designed to:
- a) Address potential breaches of CI's policies and procedures;
  - b) Be independent, transparent, and effective;
  - c) Be accessible to project-affected people;
  - d) Keep complainants abreast of progress with cases brought forward; and
  - e) Maintain records on all cases and issues brought forward for review.
113. The Executing Entity will be responsible for informing project-affected parties about the Accountability and Grievance Mechanisms.
114. Affected Communities and other interested stakeholders may raise a grievance at any time to the Executing Entity, CI, or the GEF. Therefore, contact information of the Executing Entity, CI's Project Agency, and the GEF will be made publicly available.
115. As a first step, project-related grievances should be communicated to the Executing 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 Project Agency Team. This response should propose a process for resolving the conflict.
116. If this process does not result in resolution of the grievance, the grievant may file a claim through CI's EthicsPoint Hotline at <https://secure.ethicspoint.com/domain/media/en/gui/10680/index.html>.
117. Through EthicsPoint, CI will respond within 15 calendar days of receipt, and claims will be filed and included in project monitoring processes.
118. 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:

<p><b>Mailing address:</b> Director of Compliance Conservation International 2011 Crystal Drive, Suite 500 Arlington, VA 22202, USA.</p>
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119. 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.

120. Appendix VII provides more details about the practical application of this policy.

## **POLICY 8: GENDER MAINSTREAMING**

121. This section outlines CI-GEF Project Agency policy and requirements to mainstream gender equality and equity into all project activities and operations. These are consistent with the GEF's Policies on Environmental and Social Safeguard Standards and Gender Mainstreaming.
122. CI-GEF Project Agency considers the respective roles of men and women in all aspects of the project activities, project design and implementation, as well as monitoring and evaluation, in order to promote and achieve gender equality and equity. This policy and its implementation mitigates potentially adverse effects on men and women, and promotes equality in participation and decision-making in consultative processes, access to natural resources and services, and project benefits.

### **Purpose**

123. To mainstream gender through designing, implementing and monitoring projects in such a way that both women and men:
  - a) Receive culturally compatible social and economic benefits;
  - b) Do not suffer adverse effects during the development process; and
  - c) Receive full respect for their dignity and human rights.

### **Definitions**

124. *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.
125. *Gender Analysis* is 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.
126. *Gender Aware* is the explicit recognition of local gender differences, norms and relations and their importance to outcomes in program and policy design, implementation and evaluation. This recognition derives from analysis or assessment of gender differences, norms and relations in order to address gender equity in outcomes.
127. *Gender Equality* is the state or condition that affords women and men equal enjoyment of human rights, socially valued goods, opportunities and resources.
128. *Gender Equity* is 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.
129. *Gender Mainstreaming* is the process of incorporating gender into policies, strategies, programs, activities and administrative functions, as well as the institutional culture of an organization.
130. *Gender Roles* are a set of social and behavioral norms that are considered to be socially appropriate for individuals of a specific sex.

131. *Gender Sensitive* implies the recognition of the differences, inequalities and specific needs of women and men, and acting on this awareness.
132. *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.

### **Policy requirements**

133. The Executing Entity is responsible for mainstreaming gender throughout the project, as appropriate, using qualified professionals, studies and meetings.
134. For all GEF funded projects, Executing Entities will develop a *Gender Mainstreaming Plan* (GMP). The plan will cover gender-sensitive activities while recognizing and respecting the different roles that women and men play in resource management and in society, along with a monitoring and evaluation plan using sex-disaggregated indicators.
  - a) The GMP must include an assessment of gender roles, responsibilities, uses and needs relating to the environment/natural resources on which the project will be based (e.g. use patterns, participation in management, etc.) and both short-term and long-term costs and benefits of the project on men and women. The assessment should include potential roles, benefits, impacts and risks for women and men of different ages, ethnicities and social structure and status.
  - b) The GMP identifies specific action and activities to ensure that gender-related adverse impacts of the project are avoided, minimized, and/or mitigated appropriately.
  - c) The GMP also identifies specific indicators for monitoring and evaluating progress towards gender equality within the project.
135. The Project Agency will review the plan and oversee execution.
136. In addition to the GMP, the Executing Entity is required to ensure that gender considerations outlined in the GMP are also fully embedded throughout the Project Document as necessary/appropriate. The CI-GEF Project Agency will review all GMPs and ensure that gender has been fully mainstreamed into the Project Document.
137. Appendix VIII provides guidelines for the preparation of the GMP.

## **POLICY 9: STAKEHOLDER ENGAGEMENT**

### **Purpose**

138. To seek and incorporate the knowledge and contributions of partners and stakeholders to ensure that CI's work and projects result in lasting and fundamental improvements for nature and human well-being.
139. Therefore, all CI-GEF funded projects must:
  - a) Involve key stakeholders in project design and preparation processes;
  - b) Ensure that stakeholders' views and concerns are taken into account by the project and are known by key decision makers; and
  - c) 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**

140. *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*).
141. *Affected Communities* are communities of the local population within the project's area of influence who are likely to be affected by the project.

### **Policy requirements**

142. The CI-GEF Project Agency will oversee the Executing Entity involving all stakeholders, including project-affected groups, Indigenous Peoples, and local CSOs, as early as possible in the design/preparation process and ensure that their views and concerns are made known and taken into account. 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 participate in this process.
143. Ideally, Stakeholder Engagement should involve the public in problem-solving. The joint effort by stakeholders, in-country representatives, executing entities and the GEF Project Agency ensures better results. Executing Entities must ensure that the key principles of the GEF Gender Mainstreaming Policy – ensuring that both men and women are given equal access to information and decision-making processes - is incorporated throughout stakeholder engagement.
144. Executing Entities should identify the range of stakeholders that may be interested in their actions and consider how external communications might facilitate a dialog with all stakeholders.
145. Stakeholders should be informed and provided with information regarding project activities. 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 Executing Entity will identify the Affected Communities and will meet the relevant requirements described below.

146. The Executing Entity is responsible for drafting and executing the Stakeholder Engagement Plan (SEP) for all GEF funded projects (see Appendix IX for details) 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.
147. Where applicable, the SEP will include differentiated measures to allow the effective participation of those identified as disadvantaged or vulnerable. When the stakeholder engagement process depends substantially on community representatives, the Executing 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.
148. The CI-GEF Project Agency will review and approve all SEPs and oversee their execution.
149. For Category A projects, stakeholder engagement through consultations must occur twice:
  - a) The first instance of consultation must occur at the scoping phase 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 Project Agency Team. In both instances, the CI-GEF Project Agency Team will require documentation of the consultations to first approve ESIA report and finally to approve the project.
150. Once the ESIA has been completed, stakeholder engagement will focus on the implementation of the project. It is recommended that the ongoing stakeholder processes 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, adverse impacts and phase of development.
151. Should the Executing Entity be required to develop a stand-alone ESMP (to address Physical and Cultural Resources and Natural Habitats), an IPP, a PMP, 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. 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 seeks to gain feedback and input from Indigenous Peoples and local communities, along with other stakeholders, as appropriate, 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 Project Agency Team (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.

152. Appendix IX provides more details about the SEP.

## APPENDIX I: Methodology for Environmental and Social Impact Assessments (ESIAs)

### Introduction

1. This Appendix provides a methodology for conducting ESIs, including requirements of the ESMF safeguard policies that must be incorporated for all CI-GEF projects. In accordance with the ESMF, the CI-GEF 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 physical cultural resources, including transboundary concerns and potential impacts on human health and safety; evaluates alternatives; and proposes appropriate avoidance, minimization, mitigation or offset alternatives, as well as management and monitoring measures.
3. Not all projects require ESIs. Each project is screened as early as possible to determine whether an ESIA is warranted. The safeguard screening will help determine the extent and type of ESIA required, as well as the appropriate studies that will be conducted. The extent and type of ESIA will be proportional to the potential risks and the direct, indirect, cumulative, and associated impacts of the project. 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.

### ESIA Process Overview

4. 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.
5. For effective protection of the natural, human and social environment, the CI-GEF Project Agency Team will require a multi-stage ESIA concept; which are outlined in subsequent paragraphs.
6. The CI-GEF Project Agency Team recognizes that stakeholder consultation and public disclosure are instrumental in achieving a balanced ESIA and stipulates that the Executing 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.
7. ESIA stages include:
  - a) **Safeguard Screening:** The CI-GEF 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 initial *Safeguard Screening* will take place on the final version of the Project Identification Form (PIF) utilizing a *Project Safeguard Screening Form* (Appendix II) to cover all safeguards policies. The screening outcomes may result in a project being designated as Category A, B or C (see Appendix I for details):

- b) **Scoping:** The Executing 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 Entity will draft the TOR for the full ESIA (see below for details). Specifically, the Executing Entity will ensure that:
  - i. The draft TOR is disclosed to stakeholders prior to the submission of the TOR to the CI-GEF Project Agency; and
  - ii. Approval is received from The 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 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 Entity presents 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 reports must be clear, impartial, publicly available, and address stakeholder concerns;
- e) **Review and Final Report:** It is the responsibility of the CI-GEF Project Agency Team 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 concerns;
- f) **Decision-making:** Final decision on whether to support a proposed project will be made by the CI-GEF Project Agency after consultations with in-country authorities with jurisdiction over the project. The CI-GEF Project Agency reserves 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 Project will monitor whether the Executing Entity ensures compliance with the mitigation measures as incorporated in project design and monitored by the indicators of the Project-level ESMP.

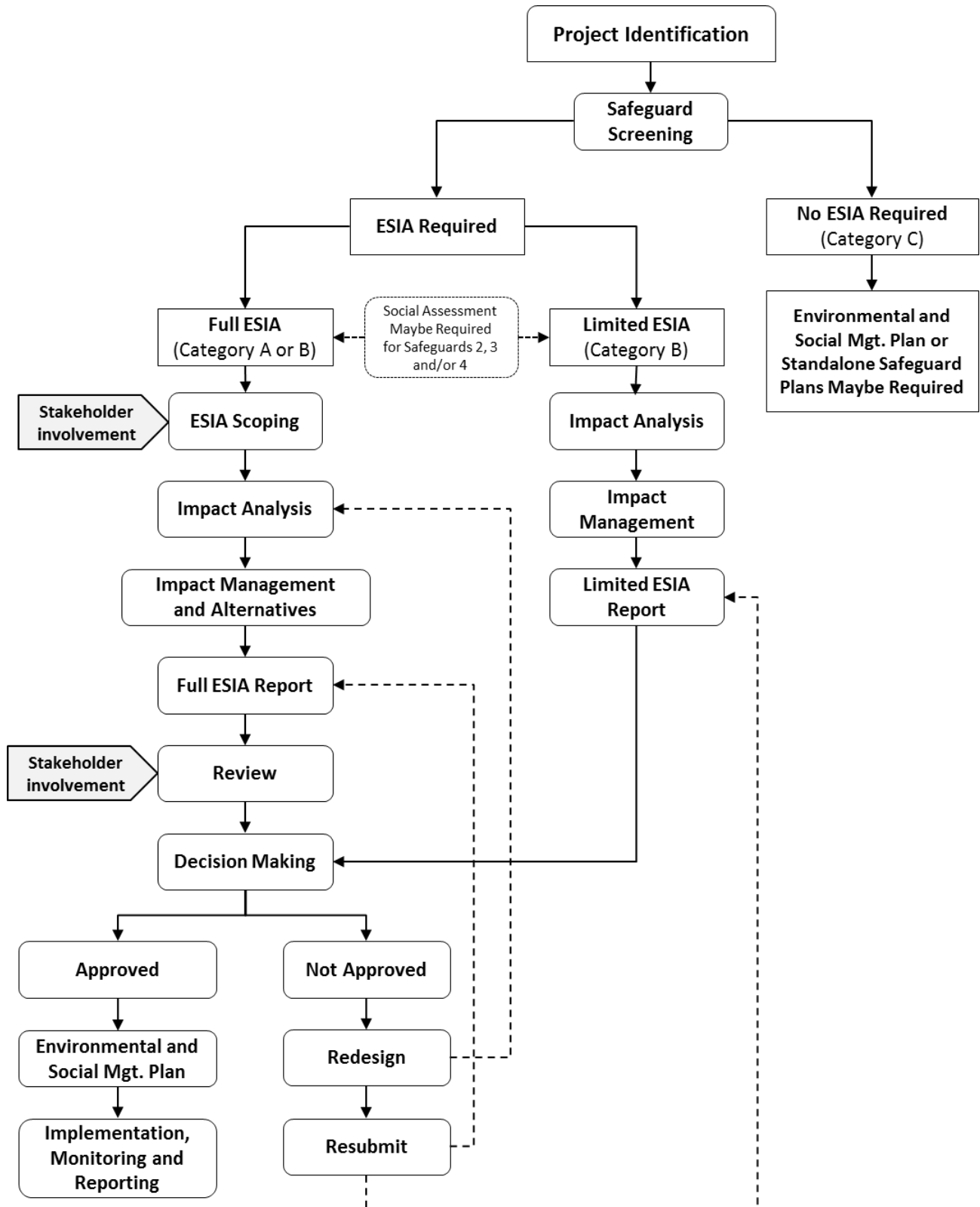


Figure 1: The ESIA Process

## DETAILED ESIA PROCESS

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

8. Safeguard Screening is a preliminary review assessing the presence and scale of potential environmental and social impacts.
9. To comply with this policy, the CI-GEF Project Agency will implement a *Safeguard Screening* process for all GEF funded projects. The purpose of this screening is to categorize projects according to their potential environmental and social impacts.
10. The initial *Safeguard Screening* will take place on the final version of the Project Identification Form (PIF) utilizing a *Project Screening Form* (Appendix II) to cover all safeguards policies.
11. Based on the results of the Safeguard Screening process CI classifies the proposed 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.

**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). 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 'without project' situation), and recommends any measures needed to prevent, minimize, mitigate or compensate for adverse impacts and improve environmental and social performance. For a Category A project, the project Executing 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. 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. The findings and results of a Category B ESIA are described in the project documentation.

**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 further ESIA action is required for a Category C project. However, specific safeguard plans might be required by the CI-GEF Project Agency to strengthen the project compliance with the ESMF policies.

12. 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, can be more limited in scope given their more limited adverse impacts (limited ESIA).
13. Information that may be required in a safeguard screening report include:

- a) A broad description of the proposed project;
- b) Applicable policies, plans and regulations, including environmental and social standards and objectives;
- c) The characteristics of the environment, including land use, significant resources, critical ecological functions, pollution and emission levels, etc.;
- d) The potential impacts of the proposal and their likely significance; and
- e) The degree of public concern about and interest in the proposed project.

14. 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 physical cultural resources, including transboundary concerns, and potential impacts on human health and safety;
- d) Feasible investment, technical, and siting alternatives, including the no action 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.

### **Project Safeguard Screening Criteria**

- 15. Safeguard screening procedures include a list/description of environmental and social issues to assist Executing Entities and the CI-GEF Project Agency Team to identify and assess potential adverse impacts. In the project screening form, the Executing Entity will identify and make a preliminary assessment of the potential issues. Based on this information, the CI-GEF Project Agency Team will determine eligibility and the scope and level of preparation activities concerning the safeguard issues.
- 16. In the full proposal, the Executing Entities will describe potential environmental and social issues, how these have been assessed and the outcome of any consultations with Indigenous Peoples and local communities.
- 17. For Category C projects that do not require an ESIA, the Executing Entity (in the full proposal) will describe appropriate mitigation measures and a monitoring system to avoid, minimize or mitigate any adverse impacts.
- 18. Any required safeguard documents (Draft of an ESIA, PMP, IPP, V-RAP, Process Framework, etc.) will be submitted to the CI-GEF Project Agency Team with the full proposal.
- 19. The CI-GEF Project Agency Team will review the appropriateness of scope and level of safeguard measures, if any, when reviewing projects to determine readiness prior to approval.
- 20. For a full or a limited ESIA, if any of the following safeguards are triggered: Involuntary Resettlement or Indigenous Peoples or Physical and Cultural Resources, the CI-GEF Project Agency Team 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 some other marker – or on the status or identity they have achieved or chosen – civil servant, worker, environmentalist, etc. Notably, an analysis of social diversity also includes looking at the ways in which such diversity interacts with social and power relations and the implications this has for questions of access, control, capabilities and opportunities;
- b) **Institutions, rules and behavior:** 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 behavior 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 behaviors 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 and vulnerable – in the development process (e.g., contributing to project design, implementation and/or monitoring; influencing public choices and decision-making; access to project benefits and opportunities). 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, exogenous risks, and vulnerability risks, including but not limited to those that may trigger CI-GEF Safeguard Policies). 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 Entity)

21. 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) Briefly describe the significance of potential environmental impacts, and likely mitigating measures;



- d) Identify the expertise and human resources needed for the ESIA;
- e) Summarize the nature and roles of relevant stakeholders; and
- f) Identify project alternatives.

### **Content of a scoping report**

22. The information gathered through the scoping processes, from the site visit and from the Executing 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**

23. Based on the results of the scoping report, the TOR for the full ESIA should:
- a) Define what alternatives should be assessed in the ESIA;
  - b) Define what issues need to be investigated;
  - c) Define what specialist studies need to be undertaken;
  - 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)

24. 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 include:
- a) Collect all possible information and data from various sources;
  - b) Properly identify alternatives;
  - c) Systematically analyze and screen both environmental and social impacts of different alternatives;
  - d) Design environmental and social mitigation measures ;
  - e) Develop the appropriate follow-up Plan(s ) (ESMP, PMP, RAP, IPP);
  - 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

25. 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 "no project" 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."
26. 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;
  - d) Cost effectiveness, including associated environmental costs and benefits of each alternative;
  - e) A comparison of the 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.
27. In identifying project alternatives for GEF projects, the principles set out in the following CI-GEF Project Agency Policies need to be considered for each alternative proposed:
- a) Policy 2: Protection of Natural Habitats;
  - b) Policy 3: Involuntary Resettlement;

- c) Policy 4: Indigenous Peoples;
- d) Policy 5: Pest Management;
- e) Policy 6: Physical Cultural Resource;
- f) Policy 8: Gender Mainstreaming; and
- g) Policy 9: Stakeholder Engagement

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

28. 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**

29. The following is a recommended list of contents for the full ESIA report for Category A 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 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.
- e) **Environmental and social impacts:** Predicts and assesses the project's likely positive and negative impacts, in quantitative terms to the extent possible. Identifies mitigation measures 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 "without project" 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:** to establish 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.
  - i) **Monitoring and reporting:** Ensures that the terms and conditions of approvals are met; to monitor the impacts of development and the effectiveness of mitigation measures; and where required to undertake environmental audit and process evaluation to optimize environmental management.
30. 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**

31. 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.
32. 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.
33. 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**

34. As a Project Agency, CI will 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 account. The CI-GEF Project Agency Team will also ensure that consultations are continued throughout project implementation as necessary to address ESIA-related issues that affect them.
35. Benefits of Stakeholder Engagement include:
- a) Letting interested and affected parties participate in decision-making to give them more control and security;
  - 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.
36. Ideally, Stakeholder Engagement should involve the public in problem-solving. The joint effort by stakeholders, in-country representatives, executing entities and the GEF Project Agency ensures better results. Executing Entities must ensure that the key principles of the GEF Gender Mainstreaming Policy - ensuring that both men and women are given equal access to information and decision-making processes - are incorporated throughout stakeholder engagement.
37. 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.
38. 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. It is recommended that stakeholder processes continue throughout the life of the project.

## APPENDIX II: Project Safeguard Screening Form

1. The CI-GEF Project Agency undertakes environmental and social safeguard screening of each proposed project to determine whether an ESIA is required and if so, the appropriate extent and type of ESIA (see Policy #1 and Appendix I for more details). The CI-GEF Project Agency classifies the proposed 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 I are meant to serve as guidance to proposal reviewers and are not meant to be exhaustive.
2. All proposed activities will undergo safeguard screening to determine eligibility under CI-GEF ESMF policies, the type of ESIA that they are subject to and if proposed project activities trigger any of the safeguards policies.
3. **The Executing Entity** is responsible for providing responses to each of the questions outlined in this form when submitting a PIF to the Project Agency for consideration.
4. **The Project Agency is responsible for conducting** all aspects of the safeguard screening process, from initiation to making the final decision on whether or not an ESIA is necessary and, if so, at what level along with whether a project-level plan is required if a safeguard is triggered.

I. PROJECT DATA SUMMARY		
<b>Country:</b>	<b>CI Project ID:</b>	
<b>Project Title:</b>	<b>GEF Project ID:</b>	
<b>Name of the Executing Entity(ies):</b>		
<b>Length of Project:</b> <i>months</i>	<b>Start date:</b>	<b>End date:</b>
<b>Introduction:</b> (location, main issues to be addressed by project)		
<b>Project Background:</b> (description of physical, biological and socioeconomic context, including Indigenous Peoples and reference to how gender may play a role)		
<b>Project Objectives:</b>		
<b>Project Components and Main Proposed Activities:</b>		
<b>Compliance with Environmental Conventions:</b> <i>Explain how your project's objectives, outcomes and outcomes align with the main conventions that CI adheres to. These include UNCBD, UNFCCC, RAMSAR Convention, CITES, and UNCCD.</i>		
<b>Compliance with Country Legal and Institutional Frameworks:</b> 1. Explain how your project aligns/will align with national laws and/or frameworks related to the environment (this may include national ESIA or EIA laws, etc.)  2. When national legal and institutional frameworks are inadequate, the proposal should include a statement explaining how this problem will be addressed, either as part of the project or by a third party.		

3. When national legal and institutional frameworks do not apply to or impact the project and its objectives, the reason for that conclusion needs to be stated.

**Project Justification** (*e.g., Alignment with Country and CI Institutional Priorities, GEF Focal Area Strategies*):

**GEF Focal Area(s):**

**GEF Project Amount:** USD

**Other Financing Amounts by Source:**

**Safeguard Screening Form Prepared by:**

**Date of preparation:**

**Comments:**

## II. PROJECT ELEGIBILITY QUESTIONS

**Answer the following questions to determine if the project is eligible for CI-GEF funding**

Will the project:	Yes	No
1. Propose to create significant destruction or degradation of <i>critical natural habitats</i> <sup>7</sup> of any type 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"/>
2. Propose to create or facilitate significant degradation and/or conversion of <i>natural habitats</i> of any type including those that are legally protected, officially proposed for protection, identified by authoritative sources for their high conservation value, or recognized as protected by traditional local communities?	<input type="checkbox"/>	<input type="checkbox"/>
3. 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"/>
4. Propose the introduction of exotic species that can certainly become invasive and harmful to the environment, for which is not possible to implement a mitigation plan?	<input type="checkbox"/>	<input type="checkbox"/>
5. Contravene major international and regional conventions on environmental issues?	<input type="checkbox"/>	<input type="checkbox"/>
6. Involve <i>involuntary resettlement, land acquisition, and/or the taking of shelter and other assets</i> belonging to local communities or individuals?	<input type="checkbox"/>	<input type="checkbox"/>
7. Propose the use of pesticides that are unlawful under national or international laws?	<input type="checkbox"/>	<input type="checkbox"/>
8. Involve the removal, alteration or disturbance of any <i>physical cultural resources</i> ?	<input type="checkbox"/>	<input type="checkbox"/>
9. Will the project include the construction and/or operation of dams?	<input type="checkbox"/>	<input type="checkbox"/>

## III. PROJECT ELEGIBILITY ASSESSMENT

If you answer **YES** to any of the questions above, your project **IS NOT ELIGIBLE** for funding

If you answer **NO** to all of the questions above, please proceed to answer the safeguard questions below

<sup>7</sup> 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.



## IV. SAFEGUARD QUESTIONS

The sections below will help the CI-GEF Project Agency to determine whether your project triggers any of the CI-GEF safeguard policies. As a Project Agency implementing GEF funding, CI is required to assess all applications to determine if safeguards are triggered, and if so, whether or not appropriate mitigation measures are included in project design and implementation. For further information on CI application of safeguards please refer the Appendix section of this form.

### SECTION 1: ENVIRONMENTAL AND SOCIAL IMPACT ASSESSMENT (ESIA)

**Has a full or limited ESIA that covers the proposed project already been completed?**

- NO** → Continue to Section 2 (*do not fill out Table 1.1 below*)
- YES** → No further environmental and social assessment is required **if** the existing documentation meets the CI-GEF Project Agency “*Environmental and Social Management Framework (ESMF)*” policies and standards, and environmental and social management recommendations and/or plans are integrated into the project. Therefore, you should undertake the following steps to complete this screening process:
1. Use Table 1.1 below to assess existing documentation. It is recommended that this assessment be undertaken jointly by the CI-GEF Project Agency and the Executing Entity;
  2. Ensure that the development of the full Project Document incorporates the recommendations made in the existing ESIA; and
  3. Submit this template, along with other relevant documentation to the Project Agency.

**TABLE 1.1: CHECKLIST FOR ASSESSING QUALITY ASSURANCE OF EXISTING ENVIRONMENTAL AND SOCIAL IMPACT ASSESSMENT (ESIA)**

1. Is the assessment a:		
<input type="checkbox"/> <b>A FULL ESIA</b>		
<input type="checkbox"/> <b>A LIMITED ESIA</b>	<b>Yes</b>	<b>No</b>
2. Does the assessment meet its terms of reference, both procedurally and substantively?	<input type="checkbox"/>	<input type="checkbox"/>
3. Does the assessment provide a satisfactory assessment of the proposed project?	<input type="checkbox"/>	<input type="checkbox"/>
4. Does the assessment contain the information required for decision-making?	<input type="checkbox"/>	<input type="checkbox"/>
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"/>
6. Does the assessment identify capacity needs of the institutions responsible for implementing environmental and social management issues?	<input type="checkbox"/>	<input type="checkbox"/>
7. Was the assessment developed through a consultative process with key stakeholder engagement, including issues related to gender mainstreaming and Indigenous Peoples?	<input type="checkbox"/>	<input type="checkbox"/>
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"/>

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

## SECTION 2: PROTECTION OF NATURAL HABITATS

Will the project cause or facilitate any significant loss or degradation to natural habitats, and their associated biodiversity and ecosystem functions/services?

**NO** → Continue to Section 3

**YES** → Continue to Table 2.1. below

TABLE 2.1: CHECKLIST FOR PROTECTION OF NATURAL HABITATS		
	Yes	No
<b>1. Is the project located or expected to be located near or in existing protected areas?</b>	<input type="checkbox"/>	<input type="checkbox"/>
<p><i>If your answer was yes, please provide the following information:</i></p> <p>a. Name, area, management category, governance arrangement, and current management activities of protected areas being affected by the project:</p> <p>b. Description of project activities that will affect existing protected areas:</p>		
<b>2. Is the project located within any other type of <u>critical natural habitat</u>?</b>	<input type="checkbox"/>	<input type="checkbox"/>
<p><i>If your answer was yes, please provide the following information:</i></p> <p>a. Description of the critical natural habitat to be affected by the project:</p> <p>b. Description of project activities that will affect critical natural habitats:</p>		
<b>3. Will the project affect species identified as threatened at the local and/or global levels?</b>	<input type="checkbox"/>	<input type="checkbox"/>
<p><i>If your answer was yes, please provide the following information:</i></p> <p>a. Name and conservation status of the species that will be affected by the project:</p> <p>b. Description of project activities that will affect threatened/endangered species:</p>		
<b>4. Will the project implement habitat restoration activities:</b>	<input type="checkbox"/>	<input type="checkbox"/>

*If your answer was yes, please provide the following information:*

a. Type and extent of habitats to be restored:

b. Description of project activities for habitat restoration:

c. Description of the contribution of the project in restoring or improving ecosystem composition, structure, and functions/services:

### SECTION 3: VOLUNTARY RESETTLEMENT AND/OR RESTRICTIONS TO ACCESS/USE OF NATURAL RESOURCES

**Will the project involve the voluntary resettlement of people and/or direct or indirect restrictions of access to and use of natural resources?**

**NO** → Continue to Section 4

**YES** → Continue to Table 3.1. below

TABLE 3.1: CHECKLIST FOR VOLUNTARY RESETTLEMENT		Yes	No
<b>1. Will the project involve the <u>voluntary</u> resettlement of people?</b>		<input type="checkbox"/>	<input type="checkbox"/>
<p><i>If your answer was yes, please provide the following information:</i></p> <p>a. Name of communities, description of livelihood, ethnicity, and estimated number of people to be resettled:</p> <p>b. Means by which the community(ies) provided or will provide consent for the resettlement, ensuring that vulnerable/marginal groups such as women are thoroughly consulted:</p> <p>c. Description of the activities that will be carried out for the resettlement:</p>			
<b>2. Will the project introduce measures to restrict people from accessing or using resources that they have been using prior to the implementation of the project?</b>		<input type="checkbox"/>	<input type="checkbox"/>

*If your answer was yes, please provide the following information:*

a. Name of resource, tenure status, type of use and extent (quantity) of the resources being used, and, if applicable, who tends to use the resources (men, women, youth, etc.):

b. Description of project activities that will affect access to natural resources and their potential positive and negative impacts on the environment and people, and how they will be gender-sensitive if necessary:

c. Means by which the community(ies) provided or will provide consent for the restriction to access and use resources:

d. Means by which the community (ies) or affected people will be compensated:

#### SECTION 4: INDIGENOUS PEOPLES <sup>8</sup>

**Does the project plan to work in lands or territories traditionally owned, customarily used, or occupied by indigenous peoples?**

**NO** → Continue to Section 5

**YES** → Continue to Table 4.1. below

TABLE 4.1: CHECKLIST FOR INDIGENOUS PEOPLES	Yes	No
1. Will the project activities directly or indirectly affect indigenous peoples?	<input type="checkbox"/>	<input type="checkbox"/>

<sup>8</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”.

If your answer was yes, please provide the following information when applicable:

- a. Name of communities, description of livelihood, ethnicity, estimated number of people to be affected by the project:
  
- b. Description of the project activities and their impacts on indigenous peoples, including if the project is likely to impact particular subgroups of indigenous people such as women or youth:
  
- c. Means by which the project will respect free, prior and informed consent (FPIC) with the affected communities, while ensuring that marginalized subgroups are included:
  
- d. Description of the approach to be implemented to ensure that indigenous peoples receive culturally appropriate benefits that are negotiated and agreed upon with them:
  
- e. Description of the approach to be implemented to ensure the fair participation of indigenous people in the design and implementation of the project:

## SECTION 5: PEST MANAGEMENT

Does the project plan to implement activities related to agricultural extension services including the use of approved pesticides (including insecticides and herbicides) or alien invasive species<sup>9</sup> management?

- NO** → Continue to Section 6
- YES** → Continue to Table 5.1. below

TABLE 5.1: CHECKLIST FOR PEST MANAGEMENT	Yes	No
1. Will the project include the use of approved pesticides and other chemicals?	<input type="checkbox"/>	<input type="checkbox"/>

<sup>9</sup> *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 (CBD, 2006).

*If your answer was yes, please provide the following information:*

- a. Name, description and proposed use of approved pesticides/chemicals:
  
- b. Description of how the Executing Entity will conduct the assessment of the nature and degree of associated risks, taking into account the proposed use and intended users:
  
- c. Description of positive and negative impact on the environment, non-targets, and people:
  
- d. Description of how the Executing Entity will train communities to responsibly manage products, equipment, and containers to avoid harm to human health or broader environmental contamination:
  
- e. Description of how the Executing Entity will avoid the use of herbicides and pesticides near water sources and their contamination with pesticide residues when cleaning the equipment used:
  
- f. Description of how the Executing Entity will ensure that pesticides used would be properly applied, stored, and disposed of, in accordance with practices acceptable to the CI-GEF Project Agency:

**2. Will the project include the use of ecologically-based biological/environmental integrated pest management practices (IPM) and/or Integrated Vector Management (IVM)?**

*If your answer was yes, please provide the following information:*

- a. Description of approach to be used:
  
- b. Description of potential positive and negative impacts of the approach to be used in the project:
  
- d. Description of how the Executing Entity will assess the risk of the danger to non-target species:
  
- e. Description of how the Executing Entity will train communities to responsibly implement these approaches:

## SECTION 6: PHYSICAL CULTURAL RESOURCES

Does the project plan to remove, alter or disturb any physical cultural resources (PCRs) <sup>10</sup>?

- NO** → Continue to Section 7
- YES** → Continue to Table 6.1. below

TABLE 6.1: CHECKLIST FOR PHYSICAL CULTURAL RESOURCES (PCR)	Yes	No
<b>1. Will the project plan to work in areas that fall into categories under PCR, including archaeological, paleontological, historical, architectural, and sacred sites including graveyards, burial sites, and sites with unique natural values?</b>	<input type="checkbox"/>	<input type="checkbox"/>
<p><i>If your answer was yes, please provide the following information:</i></p> <p>a. Name, description of the known physical cultural resources to be affected by the project, and cultural importance to local community(ies):</p> <p>b. Description of project activities to be implemented and their positive and negative impacts on PCRs:</p> <p>c. Description of the mitigating measures to be implemented by the Executing Entity:</p> <p>d. Description of how the Executing Entity will handle issues related to consultations, siting, change-finds procedures, construction contracts and buffer zones:</p>		

## SECTION 7: GENDER MAINSTREAMING

**1.** Describe how the Executing Entity will ensure that gender is mainstreamed throughout the project according to the CI-GEF Gender Mainstreaming Guidelines (see Appendix VIII of the ESMF for more information):

**2.** Is there a risk that the project may infringe on men's or women's human rights<sup>11</sup>? Explain how these risks will be managed.

**3.** Is the project likely to create, aggravate or perpetuate inequalities/conflicts between men and women within households and communities? Explain how this situation will be managed.

**4.** Is the project likely to impact men or women (positively or negatively) in different ways? Explain how these differences will be managed:

<sup>10</sup> PCRs are defined as movable or immovable objects, sites, structures, and natural features and landscapes that have archeological, paleontological, historical, architectural, religious, aesthetic, sacred sites or other cultural significance.

<sup>11</sup> See Universal Declaration of Human Rights <http://www.un.org/en/documents/udhr/>

## SECTION 8: ADDITIONAL INFORMATION

**1. Stakeholders Participation:** Describe any stakeholders important to the project and how you have involved or plan to involve them in the planning and implementation of the project.

**2. External Assumptions:** Describe any important external factors (risks) that may affect your project during implementation and how you will mitigate these potential risks.

**3. Long-term Sustainability/Replicability:** Describe how project components or results will continue or be replicated beyond the initial project. Note that this may include elements of project design, tools utilized during the project, or project results.

**4. Social Context:** Describe the broad socio-economic context of, and local communities living in, the area of the proposed project, with emphasis on men's and women's different roles, responsibilities and needs of natural resources that the project seeks to focus on.

5. Describe how the project will work in this context and with the local communities, if relevant.



## **APPENDIX III: Implementation of Safeguards for Natural Habitats and Physical and Cultural Resources**

1. The Executing 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 archeological, 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, 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 Project Agency Team in consultation with the Executing Entity through the project safeguard screening and approval process. If needed, the Team 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, 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>12</sup> Prevention, minimization, and mitigation can be achieved through proper site selection of infrastructure to avoid and minimize impacts, construction contract 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.

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<sup>12</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).

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. As a GEF Project Agency, CI 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 archeological, paleontological, historical, architectural, religious, aesthetic, or other cultural significance). Recognizing that physical cultural resources may be present in project 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 and local inhabitants to identify known or possible sites during project planning. See Annex VII: Outline for Stakeholder Engagement Plan;
  - 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 and local inhabitants, and until fitting treatment of the site has been determined and carried out. For full list of Chance Find Procedures, See Annex II: Chance Find Procedures;
  - 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 on 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 and Indigenous Peoples safeguards) 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)</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>• Construction of basic infrastructure (e.g., shelters, trails)</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> <li>• System for avoiding and mitigating disease</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
		outbreaks	
<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 IV: Involuntary Resettlement and Restrictions of Access to Natural Resources

1. CI 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.
2. This Appendix outlines the requirements necessary to avoid involuntary resettlement, minimize other project-initiated resettlement, and mitigate social impacts from restrictions of access to natural resources in protected areas as per the GEF's involuntary resettlement policy (Minimum Standard 3: Involuntary Resettlement) and CI's Involuntary Resettlement Policy. When Indigenous Peoples are affected, this should be applied together with ESMF section C regarding Indigenous Peoples.
3. CI may support project-initiated voluntary resettlement as an exceptional measure where consent of affected communities has been obtained.
4. 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, and ensure that affected communities are consulted with and participate in meaningful ways in and give consent to project activities affecting them. The following elements are covered:
  - a) Resettlement and access restrictions planning roles;
  - b) Criteria for determining planning and monitoring;
  - c) CI policy requirements;
  - d) Preparation and contents of a V-RAP;
  - e) Preparation and contents of a process framework; and
  - f) Resettlement and access restrictions planning roles.
5. The CI-GEF safeguard policy on involuntary resettlement and restrictions of access to natural resources are triggered for projects that include voluntary resettlement and/or involuntary restrictions of access to and use of natural resources resulting in adverse impacts on the livelihoods of Affected Communities and individuals.
6. This may include projects that support efforts to improve enforcement of existing restrictions, e.g., on wildlife hunting, 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 does not apply to projects that provide incentives to change livelihood and natural resource use practices on a voluntary basis.
7. The CI-GEF Project Agency with the Executing Entities shall determine application of the involuntary resettlement policy, and if so the scope of safeguard measures. The level of detail and scope is 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, in some cases only requiring impact assessments and consultations during project preparation documented in the full proposal, and ongoing monitoring of potential impacts during implementation. Other projects, including those that might relocate people voluntarily or restrict their access to natural resources, would require the preparation of a Voluntary Resettlement Plan (V-RAP) or Process Framework during project development which would be implemented by the project to compensate loss from relocation and restore or improve livelihoods. Table V.1 provides an overview of possible elements

for determining the level of detail necessary. It is illustrative only, and should not replace good technical judgment on a project-by-project basis.

**Table V.1: Criteria for determining Planning and Monitoring of Resettlement or Restriction of Access to Natural Resources**

<b>Policy requirements/ Type of project</b>	<b>Consultations with Affected Communities</b>	<b>V-RAP/ Process Framework</b>	<b>Monitoring and Evaluation of access to natural resources</b>
<b>Projects involving voluntary resettlement</b>	Yes. Voluntary resettlement consent appropriately documented is required to proceed with project	Yes. The development of a V-RAP in a participatory manner is required	Yes, including implementation of the Plan
<b>Projects involving voluntary restrictions</b>	Yes. Voluntary resettlement consent appropriately documented is required to proceed with project	Not Required	Not Required
<b>Projects with no restrictions of access to natural resources</b>	Not Required. But it is good practice to consult with Affected Communities for most projects	Not Required	Not Required
<b>Projects with limited restrictions of unsustainable activities with no direct impacts on Indigenous Peoples and local communities</b>	Yes. But could be limited to a sample of representatives of Affected Communities	No. Project full proposal should describe the limited restrictions and the results of the impact assessment and consultations. It may also include measures to ensure that project will not adversely affect Indigenous Peoples and local men's and women's livelihoods or customary rights	Yes. To assess and monitor any impacts; should these occur, the Executing Entity is required to address the impacts and may be required to prepare a Resettlement Action Plan or Process Framework
<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>	Yes. Level of detail and scope is proportional to project activities and their impacts on Affected Communities. Participatory consultation processes to obtain the affected communities' free, prior and informed	Yes. Level of detail and scope is proportional to project activities and their impacts on Affected Communities	Yes, including implementation of the Plan

	consent are documented, including how vulnerable populations (such as women) are consulted.		
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### **CI Policy Requirements**

8. CI’s Project Agency has adopted a policy on involuntary resettlement and restrictions of access to natural resources to ensure that involuntary resettlement is avoided and to avoid or minimize impacts from restrictions of access to natural resources.
9. 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, GEF funding cannot be used to finance the cost of the physical relocation or displacement of people
10. 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 (Minimum Standard 3: Involuntary Resettlement).
11. In line with the GEF Minimum Standards and procedures outlined by the IFC, projects that trigger the Involuntary Resettlement Safeguard (can include physical and non-physical displacement) will need to complete a V-RAP before approval.
12. The ultimate goal of a V-RAP 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>13</sup>. The V-RAP must identify all people affected by the project and all adverse impacts on their livelihoods associated with the project’s activities.
13. 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. 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. In line with the GEF Minimum Standards for projects that involve involuntary restriction of access to legally designated parks and protected areas, the Project Agency requires the Executing Entity to design, document, and disclose, before approval, a participatory process for development of a Process Framework for Restrictions to Access to Natural Resources developed during project preparation, the participatory processes by which:
  - a) Components of the project are being prepared and will be implemented;
  - b) The criteria for eligibility of affected persons will be determined;

<sup>13</sup> IFC, Handbook for Preparing a Resettlement Action Plan

- c) Measures will be identified to assist the affected persons in their efforts to improve or restore their livelihoods, in real terms, to pre-displacement levels, while maintaining the sustainability of the project objectives; and
  - d) Potential conflicts involving affected persons will be resolved. The Framework also provides a description of the arrangements for implementing and monitoring these processes.
15. A key element of the policy requirements is the informed participation of affected communities in developing and implementing measures to address resource use restrictions. 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. They should actively participate in implementation of relevant safeguard measures.

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

16. During project preparation, the Executing Entity will prepare a V-RAP with informed participation of affected communities. The V-RAP will specify the procedures that the Executing Entity will follow and the actions that will be taken to properly resettle and compensate affected people and communities.
17. The scope and level of detail of resettlement planning will vary with circumstances, depending on the project's complexity and the magnitude of its effects. As a minimum requirement,<sup>14</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, CI's Project Agency seeks to promote the improvement of the living standards of people affected by the project. Thus, resettlement activities should result in measurable improvements in the economic conditions and social well-being of affected people and communities. 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

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<sup>14</sup> IFC, Handbook for Preparing a Resettlement Action Plan



resettlement is often poorly defined, if not altogether lacking. CI requires the Executing Entity 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. 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 sponsor 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.
- d) **A description of resettlement assistance and restoration of livelihood activities:** CI policy states that the Executing Entity should avoid or minimize the displacement of people by exploring alternative project designs. Where displacement is unavoidable, the Executing Entity (after receiving free, prior informed consent) 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 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 synchronizing 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 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—that will be responsible for resettlement activities. It is the responsibility of the Executing Entity to assess the capacity of these organizations to carry out their responsibilities and to provide the results of any assessments to the Project Agency.

- h) **A framework for public consultation, participation and development planning:** Effective resettlement planning requires regular consultation with a wide range of project stakeholders. Broadly defined, stakeholders include any individual or group affected by, or that believes it is 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. Subsequent consultations provide opportunities 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. Project consultation with people affected by resettlement is mandatory.
- i) **A description of provisions for redress of grievances:** The grievance mechanism needs to take into account local dispute resolution practices. CI's Accountability and Grievance Mechanism states that that local communities and other stakeholders may raise a grievance at all times to the Executing Entity, CI or the GEF about any issues covered in the ESMF (including issues related to Involuntary Resettlement). The executing entity must ensure that procedures are in place to allow affected people to lodge a complaint or a claim (including claims that derive from customary law and usage) without cost and with the assurance of a timely and satisfactory resolution of that complaint or claim. Specifically for the Involuntary Resettlement safeguard, as a GEF Project Agency, CI recommends that the project 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.
- j) **A framework for monitoring, evaluation and reporting:** CI's Project Agency requires that Executing Entities 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.

### **Preparation and Content of a Process Framework**

18. During project preparation the Executing Entity prepares a Process Framework with the informed participation of affected communities. The Executing Entity screens for possible affected communities/social groups and scopes for issues that may affect project implementation and Indigenous Peoples and local communities. Social analysis is included to assess the local context, particularly the circumstances of Indigenous Peoples and local communities and their land and natural resource use and management systems and the impacts project activities may have on them, disaggregated by men and women. As appropriate the Executing Entity will draw on social, legal, and other technical expertise when preparing the Framework.
19. 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's Project

Agency. Typically, the Executing 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's Project Agency may provide guidance on development of the Framework and will review and approve the final Framework along with the full project proposal.

20. 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 a process to determine and develop these during project implementation (these will then be described in the Plan of Action; see below). 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 if appropriate) will be determined with the participation of affected communities. It will 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.
21. Decisions concerning restrictions of resources 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.
22. Participatory social, biological, and ecological assessment should be conducted during project implementation to inform the decision-making process. Such an assessment would help develop an understanding of:
  - a) The cultural, social, economic and geographic setting of the communities in the project areas;
  - b) 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;
  - c) Identification of village territories and customary use rights;
  - d) Local and indigenous knowledge of biodiversity and natural resource use;

- e) 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);
  - f) The potential livelihood impacts on men and women of new or more strictly enforced restrictions on use of resources in the area;
  - g) Communities' suggestions and/or views on possible mitigation measures to such impacts;
  - h) Potential conflicts over the use of natural resources, and methods for solving such conflicts; and
  - i) Strategies for community participation and consultation (and ensuring that marginalized/vulnerable groups such as women are participating) during project implementation, including implementation of a plan of action and monitoring and evaluation.
23. 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 are 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.

#### **Criteria for eligibility of affected persons**

24. 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.
25. The eligibility criteria would determine which groups and persons are eligible for assistance and mitigation measures. 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.
26. 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.

### **Measures to assist the affected persons**

27. 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 restrictions. 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:

- a) Special measures for recognition and support of customary rights to land and natural resources;
- b) Transparent, equitable, and fair ways of more sustainable sharing of the resources;
- c) Access to alternative resources or functional substitutes;
- d) Alternative livelihood and income-generating activities;
- e) Health and education benefits;
- f) Obtaining employment, for example as park rangers or eco-tourist guides; and
- g) Technical assistance to improve land and natural resource use, and marketing of sustainable products and commodities.

28. These measures 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 measures directly respond to the specific needs and interests of those affected.

### **Conflict resolution and complaint mechanism**

29. 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.

30. Roles and responsibilities concerning conflict resolution and grievances of stakeholders, including Executing 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 the Safeguard Policies and Processes section of this ESMF shall apply.

### **Implementation Arrangements**

31. The Framework should describe the implementation arrangements, including the roles and responsibilities concerning project implementation of different stakeholders, such as the Executing Entity, affected communities and relevant government agencies. 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.

32. Monitoring and evaluation arrangements will also be described in the Framework, and should include a budget and financing plan for its implementation.

## APPENDIX V: Indigenous Peoples Safeguard Implementation

1. This section provides guidance for applying the minimum standards for Policy 4 on Indigenous Peoples.
2. Throughout this section, CI 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 Labor 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 local communities and Affected 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 obtaining 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, CI 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 ESMF policies concerning Indigenous Peoples recognize the distinct circumstances that expose Indigenous Peoples to different types of risks and 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 benefit Indigenous Peoples, thereby ensuring long-term sustainable management of critical ecosystems and protected areas.
7. The purpose of CI-GEF Policy 4 is to avoid adverse impacts on Indigenous Peoples and to provide them with culturally appropriate social and economic benefits. To meet these objectives, the Indigenous Peoples Plan describes planning procedures that Executing Entities will follow during the preparation and implementation of GEF 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. In this way CI-GEF projects can provide valuable long-term opportunities for sustainable development for Indigenous

Peoples and other local communities. On the other hand, projects supported by GEF 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. 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) 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 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. The costs (e.g., in time and resources) of participating in project activities may also outweigh the benefits to Indigenous Peoples. Participation 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 projects are required to screen for the presence of Indigenous Peoples early during project preparation.
10. 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



- e. Self-identification and identification by others as members of a distinct cultural group.
11. The safeguard screening process can be based on a literature review and secondary sources, but would usually also include consulting experts 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, CI's Project Agency may seek guidance from the GEF.
12. Once it has been determined that Indigenous Peoples are present in the project area, the Executing Entity utilizes the ESIA to assess the particular circumstances of the affected communities and assesses the project's positive and adverse impacts on them. The ESIA is also used to identify means to avoid or mitigate adverse impacts and ensure that project activities are culturally appropriate, will enhance benefits to target groups, and 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, if warranted, 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 groups, 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 process (see below).
14. For larger or more complex projects with potential adverse impacts, the Executing Entity contracts outside independent experts to conduct the ESIA. An ESIA is prepared and summarized in the Project Proposal. The ESIA must document participatory discussions with Indigenous Peoples and local communities. 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 (and may draw also from World Bank OP 4.10 Annex A, July 2005):
  - 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 obtaining the 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, and risks to, 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.

15. 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 start of any activity while also respecting 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; *Consent*: right to say yes or no as a result of consultation and participation in good faith.
16. The Executing Entity undertakes a process of consultations with the Indigenous Peoples during project preparation: to inform them about the project, fully identify their views, inform/adapt the project design, and to obtain their free, prior and informed consent to project activities affecting them and, if its development is required, the IPP. 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.
17. For projects affecting indigenous communities, whether positively or adversely, a more elaborate consultation process is required. This may include, as appropriate:
  - a) Inform affected indigenous communities about proposed project objectives and activities prior to project approval so that their concerns can be addressed in project development;
  - b) Discuss and assess possible adverse impacts and ways to avoid or mitigate them;
  - c) Discuss and assess potential project benefits and how these can be enhanced;
  - d) Discuss and assess land and natural resource use and how management of natural resources may be enhanced;
  - e) Identify customary rights to land and natural resource use and identify possible ways of enhancing these or at least safeguarding them;
  - f) Identify and discuss (potential) conflicts with other communities and how these might be avoided;
  - g) Discuss and assess community well-being and food security and how this might be affected or enhanced through project interventions;
  - h) Elicit and incorporate indigenous knowledge into project design, as appropriate;
  - i) Ascertain the affected communities' consent to project activities affecting them; and
  - j) Develop a strategy and process in conjunction with the community for Indigenous Peoples' participation and consultation during project implementation, including for participatory monitoring and evaluation, and through which consent can be obtained at multiple stages throughout the life of the project.
18. The extent of consultations depends on the project activities, their impacts on Indigenous Peoples and the circumstances of the communities. As a minimum (e.g. 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. For projects affecting indigenous communities, whether positively or adversely, a more elaborate consultation process is required. This may include, as appropriate:

- a) The consultations 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 usually 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 to project activities.
  - b) When seeking affected Indigenous Peoples consent for the project, it should be ensured that all relevant social groups within the community have been adequately consulted (e.g., women, elders). 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.
19. The Executing Entity is responsible for the oversight of the implementation of a consultation process. 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.
20. The consultations will be documented and agreements or special design features providing the basis for the affected Indigenous Peoples' consent to the proposed project 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.
21. **Indigenous Peoples Plan:** 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 Project Agency in consultation with the Executing Entity.
22. If a project also involves involuntary restrictions on access to natural resources, a 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.
23. The following elements and principles may be included in the IPP, as appropriate:
- a) Specific measures for implementation, along with clear timetables of action, budget and financing sources. The IPP measures should also be incorporated into the general project design as appropriate. Emphasis should be on enhancing participation and culturally appropriate benefits. Adverse impacts should only be contemplated when absolutely necessary and when agreed to by the affected communities;
  - b) Description and documentation of the free, prior and informed consent reached during the project preparation consultation process;
  - c) Clear output and outcome indicators developed with the affected Indigenous Peoples;

- d) Project design drawing upon the strengths of Indigenous Peoples communities and their local institutions, and should take into account their languages, cultural and livelihood practices, social organization and religious beliefs;
- e) Use of indigenous and traditional knowledge and local resource management arrangements in project design as appropriate and with the community's consent;
- f) Special measures for the recognition and support of customary rights to land and natural resources [This is particularly the case for projects that support the development of management plans and other forms of land and natural resource use planning. Projects that support policy development may also affect Indigenous Peoples' customary rights.];
- 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;
- i) Capacity building of the Executing Entity (and any other implementing agency) concerning Indigenous Peoples' issues;
- j) If the Executing Entity does not possess the necessary technical capacities concerning working with Indigenous Peoples, the involvement of experienced local community organizations and CSOs acceptable to the affected Indigenous Peoples;
- k) Grievance mechanism taking into account local dispute resolution practices; and
- l) Monitoring 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.

24. **Institutional arrangements, monitoring and disclosure:** The Executing Entity is responsible for incorporating the policy requirements of the GEF Minimum Standards and CI policies into project design and executing the project in conformity with them. This includes defining monitoring indicators and reporting on progress of their achievement.

25. Project Agency will monitor implementation of the Project level ESMP and any IPP. The Project Agency will review and approve the TOR for ESIA and the ESIA report. In addition, the Project Agency will review and approve the elements of project-specific IPPs and other measures concerning Indigenous Peoples in GEF-funded projects and will monitor the implementation of these plans. During project preparation and implementation, the 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.

26. 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 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.

### **Standard Outline for an Indigenous Peoples Plan**

27. The Indigenous Peoples Plan (IPP), while adhering the policies and practices described herein, is prepared in a flexible and pragmatic manner, and its level of detail varies depending on the specific project and the nature of effects to be addressed.

28. The IPP includes the following elements, as needed:

- a) A summary of the legal and institutional framework applicable to Indigenous Peoples in the area and a brief description of the demographic, 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) A summary of the ESIA, if one was already conducted;
- c) A detailed description of the participation and consultation process during implementation;
- d) A summary of results of the participatory consultation with the affected Indigenous Peoples' communities that was carried out during project preparation and that led to their free, prior and informed consent to the project;
- e) A framework for ensuring FPIC with the affected Indigenous Peoples' communities during project implementation;
- f) An action plan of measures to ensure that the Indigenous Peoples receive social and economic benefits that are culturally appropriate, including, if necessary, measures to enhance the capacity of the project executing entities to ensure that they are delivered and/or sustained;
- g) When potential adverse project effects on Indigenous Peoples are identified, an appropriate action plan of measures to avoid, minimize, mitigate or compensate for these adverse effects;
- h) The cost estimates and financing plan for the IPP coordinated to ensure consistency with the overall project budget;
- i) Accessible procedures appropriate to the project to address grievances by the affected Indigenous Peoples' communities arising from project implementation. When designing the grievance procedures, the Executing Entity takes into account the availability of judicial recourse and customary dispute settlement mechanisms among the Indigenous Peoples; and
- j) Mechanisms and benchmarks appropriate to the project for monitoring, evaluating and reporting on the implementation of the IPP. These monitoring and evaluation mechanisms should include arrangements for consultation with and the free, prior, and informed consent of the affected Indigenous Peoples' communities with respect to monitoring and evaluation.

## APPENDIX VI: Pest Management Planning and Implementation

1. As a result of considerable work on removal of alien and invasive species (AIS), CI has developed guidelines for the use of chemical products and a format for a PMP.
2. A Pest Management Plan (PMP) is prepared by the Executing Entity when required by the CI-GEF 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 GEF Environmental and Social Safeguards.
3. 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 Entities in the preparation and implementation of CI-GEF projects to control AIS as well as the role of the Project Agency in ensuring compliance with the GEF minimum standards and CI’s own policies in this area.
4. Any CI-GEF project that proposes to use chemical pesticides must include a PMP with the following sections:

### A. Project Summary

- i. Executing Agency
- ii. Project title
- iii. Grant amount (US dollars)
- iv. Proposed dates of grant
- v. Countries or territories where pesticides will be applied
- vi. Full name, title, telephone numbers, and electronic mail address of Executing Agency personnel responsible for the pest management plan
- vii. Brief summary of the project
- viii. Date of preparation of the pest management plan

### B. Pest Management Approach: This section should describe the applicant’s understanding of the problem, their experience with pest management issues, and their proposed actions during the project. Specifically, what do you intend to do and how will you 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, efforts made to assess and mitigate risk, and remaining risk(s) that the selected pesticide will have to 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).
  - 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 neighboring countries that could apply, and international good practice. The proponent 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 grantee 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 grants to which these guidelines apply include, but are not limited to:
- i. A grant that involves the employ of labor and application of herbicide to restore a degraded landscape and allow endemic vegetation and animals to return;
  - ii. A grant 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 grant 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 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 minimum standards. CI-GEF projects will not, however, finance the use of any pesticides categorized IA, IB or II by the WHO (e.g., brodifacoum, paraquat), if (a) the country lacks restrictions on their distribution and use; or (b) they are likely to be used by, or be accessible to, lay personnel, farmers, or others without training, equipment, and facilities to handle, store, and apply these products properly.
- 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.gisinetnetwork.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 PMP and/or the documents required in countries where adequate policies exist are public documents. The Executing Entity must make draft and final plans (at the preparation stage and before approval) available to affected parties and to the public (final approved documents). CI will place final approved plans on its website, [www.conservation.org/gef](http://www.conservation.org/gef).

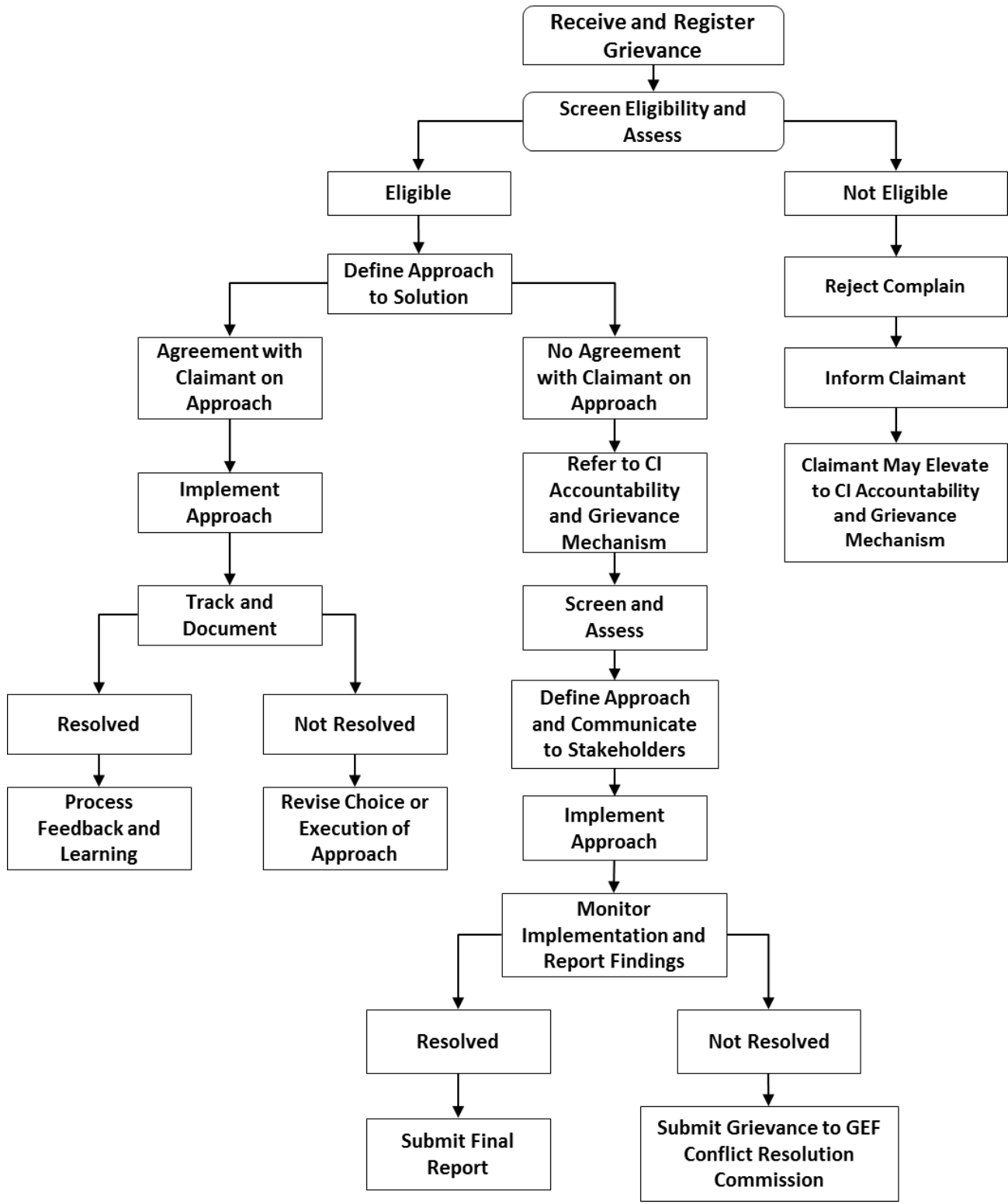
## **APPENDIX VII: Accountability and Grievance Mechanisms**

### **Context**

1. Based on the requirements of accreditation as a Project Agency of the GEF, CI must have a system of accountability to ensure enforcement of its environmental and social safeguard policies and related systems. In addition, CI is required to have measures for the receipt of and timely response to complaints' from parties affected by the implementation of GEF-funded project and which seek resolution of complaints.
2. CI as a Project Agency has devised Accountability and Grievance Mechanisms so that local communities and other stakeholders may raise a grievance at all times to the Executing Entity, CI or the GEF about any issues covered in 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.

### **CI Organizational Structure and Staffing**

3. Recognizing that the accountability and grievance system needs to be separate from all divisions in CI that (potentially) implement and/or execute GEF funding, the Accountability and Grievance Mechanisms sit within the General Counsel's Office. The Senior Director of Compliance and Risk Management manages all activities and processes related to the Accountability and Grievance Mechanisms. To implement the Accountability and Grievance Mechanism, CI uses an Ethics Hotline, managed by Navex's Ethicspoint. Ethics Hotline is Safe Harbor Certified through the United States Department of Commerce and is available worldwide.



**Figure 2:** Overview of Grievance Mechanism

### **Conflict Resolution on a Project-by-Project basis**

4. The Executing Entity should be the first point of contact in the Grievance Mechanism. The Executing Entity will be responsible for informing Affected Communities about the project commitments and ESMF provisions. Contact information of the Executing Entity, CI and the GEF will be made publicly available to all involved stakeholders. Complaints to the Executing Agency can be made through many different channels including, but not limited to face-to-face meetings, written complaints, telephone conversations or e-mail.
5. A Grievance Mechanism should be put in place by the Executing Entity as early as possible – ideally at the project design phase – and may be modified for later project phases as necessary. Problems are often resolved more easily, cheaply and efficiently when they are dealt with early and locally. The project design must include a process for hearing, responding to and resolving community and other stakeholder grievances within a reasonable time period. This grievance process must be publicized to communities and other stakeholders and may be managed by a third party or mediator to prevent any conflict of interest. Executing Entities must attempt to resolve all reasonable grievances raised, and provide a written response to grievances within 30 days. Grievances and Executing Entity responses must be well documented.
6. If this process does not result in resolution of the grievance, the grievant may file a claim through CI’s EthicsPoint Hotline at <https://secure.ethicspoint.com>
7. Through EthicsPoint, CI will respond within 15 calendar days of receipt, and claims will be filed and included in project monitoring processes.
8. 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:

<b>Mailing address:</b>	Director of Compliance Conservation International 2011 Crystal Drive, Suite 500 Arlington, VA 22202, USA.
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9. CI as a Project Agency must ensure that project design, implementation and learning mechanisms are continuously strengthened to prevent problems and ensure compliance from the onset and to deal with the legitimate concerns of project affected people at the project and operational levels wherever possible. It is the responsibility of CI’s Project Agency to monitor any mitigating measures noted from the implementation of the GEF Environmental and Social Safeguards.
10. **Specific activities in grievance review process.** Upon receiving complaints, the Senior Director of Compliance and Risk Management will determine eligibility of requests. Eligibility requirements for complaints will include that the complaint:
  - a) Relates to a project or program in which CI is implementing or executing;
  - b) Complainant has informed the Executing Entity of complaint and has worked with the Executing Entity towards identifying a solution by following the conflict resolution framework;
  - c) Is submitted by or on behalf of a person or people affected by the project or program; and

- d) Raises potential issues relating to compliance with the GEF's Minimum Standards on Environmental and Social Safeguards and Gender Policy.
11. Based on determination, the Senior Director of Compliance and Risk Management will either follow up on complaint or designate a person or panel to conduct, as needed, a thorough and objective review of grievance. Any designated person or panel will report to the Senior Director of Compliance and Risk Management. This review can include in-country inspections, interviews of project-affected people, and comprehensive information gathering to allow a factual determination of the issues raised and a reliable basis for any recommendations made.
  12. The Senior Director of Compliance and Risk Management will issue reports with findings to requesters and all stakeholders involved.
  13. Based on reports, the Senior Director of Compliance and Risk Management or designated Person/Panel will assist parties to engage in resolving the problem. This may include: facilitating a consultative dialogue, promoting information sharing, undertaking joint fact-finding, facilitating establishment of a mediation mechanism, and/or using other approaches to problem solving. Remedial actions involving a change in the project require approval from the Project Agency who will then inform the GEF Secretariat.
  14. Upon completion of step 4 (with or without agreement), the Senior Director of Compliance and Risk Management or designated person/panel creates a report summarizing the complaint, steps to resolve the issues, the parties' decisions, and the parties' agreement, if any. This report will be made available to all parties involved.
  15. The Senior Director of Compliance and Risk Management will monitor implementation of decisions. As part of the monitoring process all parties involved will be consulted and the Senior Director of Compliance and Risk Management will prepare monitoring reports on implementation of remedial actions and submit them to the involved parties.
  16. Conclusion of the process occurs after monitoring of remedial actions is completed. The person/panel prepares a final report and submits report to all parties involved.
  17. If the claimant is not satisfied with the response from CI, the grievance may be submitted to the GEF Conflict Resolution Commissioner.

**Accountability Mechanism for Non-Compliance with CI-GEF Safeguards and Gender Policy by CI/ CI-GEF Project Agency**

18. For cases related to non-compliance on the part of the CI-GEF Project Agency in the implementation of environmental and social safeguards, the Senior Director of Compliance and Risk Management does an initial determination of the eligibility of requests based on the Exclusion Criteria as described below.
19. Based on determination, the Senior Director of Compliance and Risk Management will either follow up on complaint (reject complaint based on exclusion criteria) or designate a panel to conduct as needed a thorough and objective review of the grievance. The panel should consist of 2-5 members with technical expertise in environmental and social safeguards and should have at least one member with knowledge and experience of working in the country where the grievance took place.
20. The panel will review the case looking at eligibility criteria, etc. Based on the initial review, the panel will send the results to the Senior Director of Compliance and Risk Management.

21. If the case is not eligible for the grievance review process, the panel will notify the Senior Director of Compliance and Risk Management.
22. If the panel determines that the case warrants further review through the grievance process, the Senior Director of Compliance and Risk Management will notify the Project Agency and the CI Leadership Group of the results. The Senior Director of Compliance and Risk Management will also convene a meeting of the CI Leadership Group to discuss the panel review results with the head of the GEF Project Agency. The purpose of this meeting is two-fold: 1) the head of the CI-GEF Project Agency Team will explain the actions of the team in relation to the complaint and 2) can serve as a mitigation measure.
23. The CI Leadership Group, including the head of the CI-GEF Project Agency Team, will draft a management response to the complaint which the Senior Director of Compliance and Risk Management will provide to the panel.
24. The Panel will notify all parties involved and will draft a TOR for a full review of the complaint and provide to all parties for comments. The Senior Director of Compliance and Risk Management will authorize the TOR for the review.
25. The Panel will conduct the full review based on the approved TOR. The review can include desk reviews, meetings, discussions and site visits.
26. The Panel will provide a draft report to the complainants and the Senior Director of Compliance and Risk Management for comments. The Senior Director of Compliance and Risk Management will ensure that CI's Leadership Group provides comments to the report.
27. The Panel issues the final report based on comments received from complainants and the CI Leadership Group (including the CI-GEF Project Agency Team).
28. If the report concludes that the Project Agency noncompliance caused direct and material harm, the CI Leadership Group will propose remedial actions.
29. The Senior Director of Compliance and Risk Management will communicate remedial actions to the Panel who will then communicate these actions along with the final report to the complainants involved.
30. The Senior Director of Compliance and Risk Management will monitor implementation of remedial actions and will prepare annual monitoring reports for submission to the CI Leadership Group.
31. Monitoring and final reports will be included in the Complaints Registry (available online) and will be available to all parties involved.
32. The compliance review will not investigate the country or executing entities. The conduct of these parties will be considered only when relevant to the assessment of CI as the Project Agency's compliance with all policies related to the GEF process, including Environmental and Social Safeguards. The compliance review does not provide judicial-type remedies such as injunctions or monetary damages.

### **Who can submit?**

33. Any group of two or more people (such as an organization, association, society or other grouping of individuals) residing in the country where the GEF funded project is located.

### **To start the accountability review process**

34. Complainants must submit the following information:

- a) Names, designations, addresses and contact information of the complainants and their representative(s);
- b) If a complaint is made through a representative, identification of the project-affected people on whose behalf the complaint is made and evidence of the authority to represent them;
- c) Whether the complainants choose to keep their identities confidential;
- d) A brief description of the GEF funded project with the project name and location;
- e) An explanation of the complainants' claim that the alleged direct and material harm is, or will be, caused by CI-GEF Project Agency Team alleged failure to follow its operational policies and procedures during the formulating, processing or implementing the GEF funded project;
- f) A description of the operational policies and procedures that have not been complied with by the CI-GEF Project Agency Team during the formulating, processing or implementing of the GEF funded project;
- g) A description of the complainants' good faith efforts to address the problems first with the operations department concerned, and the results of these efforts; and
- h) A description of the complainants' efforts to address the problems with the project-level grievance redress mechanisms concerned, and the results of these.

### **Exclusions**

35. Complaints will be excluded from accountability, problem solving and compliance review functions if:

- a) It is not related to the Project Agency's actions or omissions during formulating, processing, or implementing the GEF funded projects;
- b) Complainants have not made good faith efforts to address the problem with the Executing Entity or Project Agency;
- c) Two or more years have passed since the grant closing date of the CI-GEF project;
- d) It is frivolous, malicious, trivial or generated to gain competitive advantage;
- e) It is about the procurement of goods and services, including consulting services;
- f) It is about fraud or corruption in GEF funded projects or by CI staff;
- g) It is about the adequacy or suitability of CI's existing policies and procedures;
- h) It is within the jurisdiction of CI's Accountability and Grievance Mechanisms, or related to CI personnel matters; and/or
- i) It is about CI non-operational housekeeping matters, such as finance and administration.

36. The grievance review function also excludes complaints that:
- a) Are the responsibility of other parties such as the National Government or Executing Entity, unless the conduct of these other parties is directly relevant to the assessment of the CI-GEF Project Agency Team compliance with its operational policies and procedures;
  - b) Do not involve CI's noncompliance with its operational policies and procedures;
  - c) Relate to the laws, policies and regulations of the country, unless this directly relates to Project Agency compliance with its operational policies and procedures; and/or
  - d) Are about matters already considered by the Compliance Team unless new evidence is presented and unless the subsequent complaint can be readily consolidated with the earlier complaint.

#### **Remedial actions to mitigate the non-compliance**

37. Recognizing that each situation regarding non-compliance will be project specific, the following actions are proposed steps to mitigate the lack of compliance. The Senior Director of Compliance and Risk Management (with direction from the General Counsel) will conduct the following actions:
- a) Work with the CI-GEF Project Agency Team to understand any deviations from the CI-GEF Operations Manual and the ESMF;
  - b) Propose corrective actions (adaptive management) with a corresponding timeline;
  - c) Ensure that compliance issues are included in the CI Financial Management and Control Framework (related to managing institutional risk).
38. **In cases of non-compliance on GEF funded projects**, the head of the CI-GEF Project Agency Team will be accountable to the Chief Operating Officer and the General Counsel at Conservation International. The role of the head of the CI-GEF Project Agency Team is to ensure that all CI-GEF policies and procedures were followed in the implementation of GEF funded projects.
39. **In case of continuous non-compliance actions to be taken by CI**. As outlined in CI's Criteria for Cancellation, Suspension or Termination of Projects, if the Compliance Review process determines that the Project Agency is in continuous non-compliance, the Office of the General Counsel will have the authority to cancel, suspend or terminate the project, and will notify the GEF Secretariat and the GEF Trustee.
40. **Information disclosure**: Printed materials about the accountability and grievance review process will be distributed as widely as possible, specifically at the field program where the project is being implemented and/or executed. The stakeholder consultation process is one of the mechanisms that can be used to resolve conflicts. The CI/GEF Operations Manual details the ESMF that includes the Accountability and Grievance Mechanism as part of the implementation of safeguards:
- a) Basic information about the complaint review procedures;
  - b) Instructions for how to file a complaint;
  - c) Detailed rules of procedure;
  - d) A registry of complaints, including basic information about the complaint and the complaint's status;
  - e) Draft and final terms of reference and investigation reports as discussed above; and



f) Annual reports describing the compliance review activities.

## APPENDIX VIII: Developing a Gender Mainstreaming Plan (GMP)

1. The Project Agency will oversee the Executing Entity in mainstreaming gender considerations into the entirety of the project to ensure men and women have the ability to equally benefit from, and participate in, project activities. While specific gender-related requirements are necessary, much of the process can be viewed as 'best practices' in participatory stakeholder engagement which should already be in place. The Executing Entity is responsible for drafting and executing the GMP; the Project Agency will review the plan and oversee execution.
2. Gender is a critical component in GEF-funded projects as it underlies many inequalities around power over, access to, control of, and decision-making around natural resources which may be affected by the project. Understanding who uses which natural resources, and how his/her livelihood will be impacted, is critical in ensuring project activities do not cause undue harm to anyone, and at the same time, guides the development of socially sustainable conservation initiatives.
3. Why did your project trigger a Gender Mainstreaming Plan? In some projects it may be obvious, while in others more difficult to clearly see the connections. In general, if your project will impact people – either directly or indirectly – there will very likely be gender implications. This is because gender underpins societies, often determining one's access to, power over and control of resources; in conservation projects, this can lead to inequitable decision-making, benefit sharing, and burdens. Gender refers to the economic, social, political and cultural attributes and opportunities of being a man or a woman in society; how these manifest themselves differs greatly between societies and change over time.

### Policy requirements

4. The GEF's Policy on Gender Mainstreaming<sup>15</sup> was adopted in 2011 and aims to promote the goal of gender equality through GEF operations. It commits the GEF to addressing the links between gender equality and environmental sustainability and moving towards gender mainstreaming in its policies, programs, and operations.
5. The CI-GEF Project Agency's Gender Mainstreaming Policy speaks to this policy and mitigates potentially adverse effects on men and women, and promotes equality in participation and decision-making in consultative processes, access to natural resources and services, and project benefits. The Policy requires Executing Entities to design and implement projects in such a way that both women and men:
  - a) Receive culturally compatible social and economic benefits;
  - b) Do not suffer adverse effects during the development process;
  - c) Fosters full respect for their dignity and human rights.
6. Exactly how the project plans to achieve this is explained in the Gender Mainstreaming Plan (GMP), a document that must be developed within the PPG stage and becomes an appendix to the Project Document, like other safeguard plans. The GMP identifies the main gender-related issues that impact (or are impacted by) the project, develops culturally-appropriate solutions to address those issues, and explains how those actions will be monitored. The strategy is designed to ensure that gender-related adverse impacts are avoided, minimized and/or mitigated.

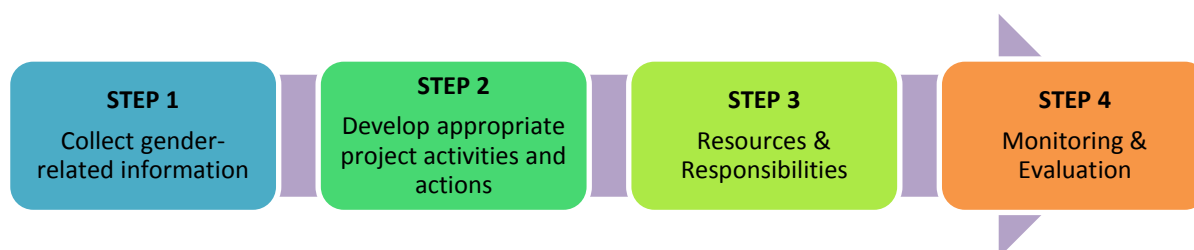
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<sup>15</sup> [https://www.thegef.org/gef/sites/thegef.org/files/Gender\\_Mainstreaming\\_Policy.pdf](https://www.thegef.org/gef/sites/thegef.org/files/Gender_Mainstreaming_Policy.pdf)

7. While the GMP is the main piece outlining how gender will be addressed within the project, **it is also critical to mainstream or weave gender throughout the ProDoc itself.** This is important for two reasons: first, it demonstrates how gender connects to other areas of the project and how fundamental it can be to successful project outcomes; second, once implementation is underway, it is easy to forget or ignore annexes, so weaving gender throughout the document helps keep it at the forefront of project managers' minds.
8. GEF funded projects are diverse, from local-level activities to national or international policy-level initiatives; many projects may even touch on several at once. At all levels, gender is a factor. These guidelines should help project managers think through what those impacts are and how best to address them.

### **Developing the Gender Mainstreaming Plan**

9. Gender is one component of society, and developing a Gender Mainstreaming Plan may be likened to a more detailed social assessment or stakeholder engagement plan – it just looks more deeply at men and women as separate entities with different roles, responsibilities, norms, livelihood needs, etc. There are several steps to developing and articulating the GMP which are detailed below, and which apply to any level of project – from local to policy level:



#### **STEP 1: Collect gender-related information**

10. Gender-related information must be gathered about the potential roles, benefits, impacts and risks for men and women of different ages, ethnicities, and social structures and status and how they may be impacted by the project (both positively and negatively).
11. For a local-level project, this information is best collected through focus groups and interviews with key informants (e.g., community leaders/elders, women's group leaders, local government representatives, partner organization staff members), or even through a survey (although this can be more onerous). Information gathered should be done in a gender-sensitive manner<sup>16</sup>. The number of focus groups and interviews, or the size of the survey, will depend on how many communities the project covers, and is a decision to be made based on time, money and geographical project scope.
12. For a policy-level project, information is may be gathered from published resources by reputable sources (e.g. World Bank, UN agencies, USAID, etc.) and interviews with key informants (e.g. policy makers, NGOs). The following can provide national-level gender-related statistics:

<sup>16</sup> For detailed information on conducting gender-sensitive focus groups and interviews, see the following:

- The IFC's [Stakeholder Consultation Guidelines: Gender considerations in consultation](#)
- Biodiversity International: [Practical Tips for conducting gender-responsive data collection](#)
- Duke University: [Guidelines for Conducting a Focus Group](#)

- World Bank gender statistics: <http://datatopics.worldbank.org/gender/>
- The Environment-Gender Index: <http://genderandenvironment.org/egi/>
- Demographic & Healthy Surveys: <https://www.dhsprogram.com/topics/gender-Corner/country-profiles.cfm>

13. Gathering this information will necessitate staff time, and likely some travel. This effort should be adequately budgeted and staffed. With enough support, this information can be collected by someone who is familiar with the region/community, although some projects may choose to hire an outside gender consultant or partner with an organization with experience with gender. Time and cost will depend on the size and scope of the project, but must be enough to provide a sufficient amount of information to really understand the project’s ‘gender environment’.

14. Below is a list of sample questions that can help guide the focus groups, interviews, and gathering of information from other resources for local-level projects. Remember that these are only guiding questions; it is up to the project staff to determine what is most appropriate given the project focus, scope and cultural context.

Purpose	Sample questions for local-level projects
<b>Practices and participation:</b> <i>peoples’ behaviors and actions in life and how they vary by gender</i>	<ul style="list-style-type: none"> <li>• What work do men and women do?</li> <li>• When do men and women do work? (per day, month, season) How might that impact how the project involves men and women?</li> </ul>
<b>Access to resources:</b> <i>one’s ability to access and use resources or assets.</i>	<ul style="list-style-type: none"> <li>• What natural resources (impacted by the project) do men and women have access to and use?</li> <li>• Do men and women have equal access to other resources such as credit or technical support?</li> </ul>
<b>Control:</b> <i>the capacity to control resources and to make autonomous and independent decisions free of coercion.</i>	<ul style="list-style-type: none"> <li>• Who has the power to make general decisions at the household and community level?</li> <li>• Who has the power to make decisions about natural resource use and management (particularly those implicated by the project)?</li> </ul>
<b>Knowledge, beliefs and perceptions:</b> <i>social norms of, and about, women, men, girls and boys</i>	<ul style="list-style-type: none"> <li>• How do men and women receive and share information in a community?</li> <li>• What barriers exist for men or women to attend meetings/trainings or to participate in decision making?</li> <li>• Do women tend to voice their opinions during community decision making? Why or why not?</li> <li>• Do men and women share information they’ve gathered at a meeting/training with the household? Do they consult others in the household before making community-level decisions?</li> <li>• Who might have useful knowledge pertaining to the project?</li> </ul>

Purpose	Sample questions for local-level projects
<b>Legal rights and status:</b> <i>how men and women are regarded and treated by the customary and formal legal codes and judicial systems.</i>	<ul style="list-style-type: none"> <li>• What do formal codes say about men’s and women’s rights? Do the formal codes differ from customary codes? For example, <ul style="list-style-type: none"> <li>– Who can own land or other property?</li> <li>– Who can enter into legal agreements or contracts?</li> <li>– Who can inherit property?</li> </ul> </li> </ul>
<b>Impact:</b> <i>How might the project impact men and women differently?</i>	<ul style="list-style-type: none"> <li>• How might the project affect the daily lives of men and women? Will one be more impacted than the other by project activities?</li> <li>• What benefits stem from this project? How are those benefits distributed or shared?</li> <li>• What short and long-term costs (e.g. time commitments, labor, or restricted access to resources) does the community experience from this project? Are the costs equally shared between men and women, or will one experience a heavier burden?</li> <li>• Are there equal opportunities for men and women to participate in the project decisions and activities (trainings, workshops, etc.)?</li> </ul>

15. Policy or national-level projects will want to gather much of the same information, but at a higher level. Below are sample questions that can help guide information gathering from key informants and other resources. Remember that these are only guiding questions; it is up to the project staff to determine what is most appropriate given the project focus, scope and cultural context.

Purpose	Sample questions for policy or national-level projects
<b>Practices and participation:</b> <i>peoples’ behaviors and actions in life and how they vary by gender</i>	<ul style="list-style-type: none"> <li>• What work do men and women generally do within the region, particularly related to the natural resources that the project impacts?</li> <li>• Will any gender-focused organizations be involved in designing this policy or national-level project?</li> </ul>
<b>Access to resources:</b> <i>one’s ability to access and use resources or assets.</i>	<ul style="list-style-type: none"> <li>• Are there any general barriers in men’s or women’s access to resources or assets related to the project (e.g., literacy levels may be a barrier to information, inability to own land may be a barrier to participating in a REDD+ project)?</li> </ul>
<b>Control:</b> <i>the capacity to control resources and to make autonomous and independent decisions free of coercion.</i>	<ul style="list-style-type: none"> <li>• Are women proportionately represented in decision-making structures nationally (e.g., in parliament)?</li> <li>• What barriers exist for men or women to participate in decision making at different levels?</li> <li>• Are women proportionately involved in environment or conservation-related bodies (parties to UN convention meetings, in relevant government ministries, etc.)?</li> </ul>
<b>Legal rights and status:</b> <i>how men and women are regarded and treated by the customary and formal legal codes and</i>	<ul style="list-style-type: none"> <li>• What do formal codes say about men’s and women’s rights? Do the formal codes differ from customary codes?</li> <li>• Do environmental or conservation-related policies consider gender implications?</li> </ul>

Purpose	Sample questions for policy or national-level projects
<i>judicial systems.</i>	
<b>Impact:</b> <i>How might the project impact men and women differently?</i>	<ul style="list-style-type: none"> <li>• How might the policy or national-level project affect the daily lives of men and women? Will one be more impacted than the other by project activities?</li> <li>• What benefits stem from this project? How might those benefits be distributed or shared?</li> <li>• What costs (e.g., time commitments, labor, or restricted access to resources) might men and women experience from this project? Would the costs be equally shared?</li> </ul>

## **STEP 2: Identify and develop project activities and actions**

16. Now that the information has been collected, it is important to assess the information and make meaning of it all in relation to the project:

- a) Are there negative or unequal outcomes for men or women specifically? Would this policy have different impacts on men's or women's livelihoods?
- b) Do men and women have equal opportunities to benefit (real or perceived) within this project or policy?
- c) What are some of the main barriers (e.g., cultural, social and political) identified that may limit men's or women's participation, benefit sharing and/or decision-making influence?
- d) Are particular sub-groups of men or women (e.g., young men, widows) at even greater risk of not being able to participate in, or benefit from, the project?

17. Once the barriers to equal participation and benefit and any adverse impacts have been identified, think about specific adjustments or additions to the project or policy that can both improve project outcomes and lead to better equality between men and women. These adjustments and additions will depend on local culture, the nature of the project, budget and staff availability. In local-level projects, it is important that these solutions are developed by and with the community when possible, so that they are culturally appropriate and feasible. At the policy or national-level, consultation with gender-focused organizations and government officials will ensure that strategies are ideal. Some examples of actions include, but are not limited to:

- a) Provide a basic gender training/workshop for all project members to explore the gender dimensions of the project. Budget an amount in the project allocated for gender activities and/or training.
- b) Consult with local women's organizations, gender-focused governmental entities, or gender consultants to provide input to project and policy decisions.
- c) Develop new activities or new areas of work to cater to both men's and women's needs (e.g., livelihood activities that specifically include activities that men or women typically engage in).
- d) Particularly for local-level projects, understand the temporal work of men and women and plan activities for periods of day, month or year when men and women might have more free-time.
- e) For local-level projects, make activities accessible. Women are generally less mobile than

men because of household duties, childcare and lack of transportation options, and it may be difficult for them to leave their homes for longer periods, as such, consider providing childcare during meetings or trainings.

- f) Consider that local language may differ between age groups or genders, and create communication materials in languages that everyone can understand in order to access the information.
- g) Tailor messages for men and women through different channels (radio, written, etc.) depending on how each gets their information.
- h) Ensure that information about community meetings, project activities or policy implications is provided to both men and women.
- i) Hold separate meetings or activities with women to allow them to become familiar with the issues.

### **STEP 3: Resources & Responsibilities**

18. Understanding the gender dynamics within the project's geographical scope and developing methods to address inequalities are important for project design. It is also important to think through how those gender actions and activities will be carried out throughout the implementation of the project. Who will be responsible? Does that person have the expertise needed? Is there adequate budget and staff time dedicated to those actually responsible for implementing these actions and activities? How will the project adaptively respond if gender issues arise?

### **STEP 4: Monitoring & Evaluation**

19. Regular monitoring is needed to ensure that gender integration strategies are pertinent and achieving the desired outcome; it also enables responsive action when needed. Effective monitoring of progress towards gender equality in projects involves identifying the gender-based targets or goals, developing relevant gender-sensitive indicators to measure progress towards those goals, and collecting and strategically using sex-disaggregated qualitative and quantitative data.

20. It is important to recognize that quantitative indicators have their limits. For example, an indicator may ask how many men and women participated in a project, but will not necessarily give information about the nature, degree or effects of their participation.

21. Examples of gender indicators include:

- a) **Gender sensitive indicators** measure gender-related change over time, and can be quantitative (number of men/women) or qualitative (people's judgments or perceptions).
- b) **Sex-disaggregated data** is individually-collected and presented separately on men and women (e.g., 50% of attendees were men; 50% were women).

22. Your project may set gender targets (e.g., at least 40% of participants will be women). While targets can be a good way to identify specific gender goals, be sure that the target number is sensible: given the baseline, what can the project realistically expect to achieve? Also, be sure you have methods of actually achieving that number. And remember that an indicator like this is only "counting heads" and not actually capturing the level of contribution or participation of participants.

23. The CI-GEF Gender Policy specifies that all project matrices should specify gender-sensitive indicators for M&E and collect sex-disaggregated data on the number of men/women who attend trainings/activities. This may include adapting other indicators to be sex-disaggregated (i.e., from “community members” to “men and women”), or adding additional indicators.
24. The CI-GEF Project Agency has a suggested set of indicators for mainstreaming gender, found at the end of this Guideline.

### **Standard outline for a Gender Mainstreaming Plan**

25. The Strategy should contain the following sections, based on the information and assessments above:
  - a) **Introduction/background:** Basic information on gender within the project area (national, sub-national, regional) – whatever is available and most relevant. Online datasets can be a good source.
  - b) **Gender dynamics within the project:** Discussion about main gender considerations within the natural resources implicated within this project. This can come from published sources and, (if at the local-level, focus groups and interviews. Be sure to highlight the main findings you came across (How do men and women use the resources implicated in the project? How are decisions made about natural resources? How will men and women be impacted by the project?).
  - c) **Strategies to avoid gender inequality within the project:** Describe what actions or activities the project will put into place to respond to the potential gender inequalities outlined above.
  - d) **Monitoring and evaluation of gender:** Describe how you will track and evaluate gender within the project. What indicators will you use?

### **Weaving gender into the Project Document**

26. As explained above, the Gender Mainstreaming Plan is one component to ensure that gender is adequately addressed in CI-GEF funded projects. It is equally important to ensure that components from the Strategy are also woven throughout the Project Document itself and linked to other project components.
27. While each project is different, there are several sections within a GEF Project Document outline where gender should usually be included:
  - A. Project Context:
    - i. Gender considerations within this section may include *Socio-economic and Cultural Context* information about the roles and responsibilities of men and women within the communities or region of the project.
    - ii. Likewise, specific information about *Relevant Policies, Laws, Regulations, Rules, and Standards* pertaining to men’s and women’s ability to own, control or use resources that are implicated within the project may be relevant.
  - B. Project Justification:



- i. Gender considerations within this section may include discussion around *Root Causes of Environmental Problems*. For example, if men or women tend to play a bigger role in environmentally-destructive practices that the project is seeking to minimize.
  - ii. Another area is *Alignment with CI Institutional Priorities*, where it is important to highlight CI's Rights-based Approach and that we are committed as an institution to ensuring that men and women have equal rights within our work.
  - iii. Likewise, the *Expected Human Well-being Benefits* should explain how men and women may benefit differently, given their different roles and responsibilities within society.
  - iv. Within the *Project Stakeholders* section, specify whether any relevant groups or entities may become partners (e.g. women's groups, other NGOs with strong gender focus)
  - v. Within *Project Communications, Public Education and Awareness*, specify how the project will reach both men and women (especially, if in the gender assessment, you found that men and women get their information in different ways).
  - vi. Within *Safeguards Policies Recommendations and Compliance with Safeguard Recommendations*, be sure to reference the Gender Mainstreaming Strategy that has been developed to meet the CI-GEF Gender Mainstreaming Policy requirements.
- C. Monitoring and Evaluation Plan
- i. Where relevant, outline the indicators the project will use to track progress on gender.
- D. Project Budget and Financing
- i. While this does not need to be specified at this point, be sure that you have accounted for staffing and funding needed to implement the Gender Mainstreaming Strategy.

**CHECKLIST FOR MAINSTREAMING GENDER INTO THE PROJECT DOCUMENT**

- Has enough information been collected to understand how gender will play a role in the project?
- Does each section of the Project Document (as appropriate) contain relevant information about how gender may play a role?
- Have all potential negative impacts of the project on men and women been considered (e.g., increased burden)? Have appropriate measures to respond been clearly explained?
- Don't make generalizations about community members – be as specific as possible about how men and women will be involved, impacted, affected, benefit, etc.
- Are gender-specific activities and actions (as outlined in the GMP) included in the timeline?

- Is there adequate funding and staff time built into the budget to ensure the GMP activities and actions can be fully implemented?
- Does the project staff have the skills needed to implement the GMP? If not, how will you fill that gap?

### **Examples of Indicators for Mainstreaming Gender in CI-GEF Funded Projects**

28. The following are suggested indicators for mainstreaming gender in CI-GEF funded projects. Depending on Project design, please see the World Bank website on gender indicators <http://data.worldbank.org/indicator>.

#### **Input indicators: assessing equal opportunities**

- a) Number of men and women participating in activity and percentage of total of their population;
- b) Number of hours of training or number of activities provided to male/female participants;
- c) Percent of project inputs contributed to project activities (labor, tools, money, time, in-kind contributions, etc.) (male : female);
- d) Was a gender expert, women's group or gender-focused CSO consulted in the project development phase? (Y/N); and
- e) Is access to resources through the project (land, technical assistance, etc.) equal between men and women? (Y/N).

#### **Output indicators: assessing participation**

- a) Number/percentage of women/men *attending* activities, trainings and meetings;
- b) Number/percentage of women/men *actively participating* in activities, trainings and meetings;
- c) Number of men/women benefitting from the project; and
- d) Number of men/women demonstrating leadership in project implementation.

#### **Organizational-level indicators**

- a) Is a gender mainstreaming policy in place within the partner organization? (Y/N);
- b) Number/percentage of men/women working in leadership positions within the institution (CI and/or partner organization); and
- c) Percent of project budget dedicated to gender analysis and M&E for project.

### Summary of Roles and Responsibilities by Project Phase for Gender Mainstreaming

PROJECT CYCLE STAGE	CI-GEF PROJECT AGENCY	EXECUTING ENTITY
<b>Identification, Preparation and Development</b>	<ul style="list-style-type: none"> <li>• Providing guidance on incorporating gender sensitive indicators in project design and implementation</li> <li>• Ensuring that the project level log frame includes explicit gender results (outputs and outcomes) and indicators.</li> <li>• Reviewing ESIA TORs to ensure that gender issues are incorporated</li> <li>• Providing guidance to Executing Entities on measures to avoid, minimize and/or mitigate gender-related adverse impacts</li> </ul>	<ul style="list-style-type: none"> <li>• Undertaking social assessments to analyze the social and gender context in country/project area.</li> <li>• During stakeholder consultations, the guideline provided in this Appendix should be used as a guidance tool to ensure that gender issues are fully incorporated into project design</li> <li>• Depending on the project, build in gender-sensitive indicators (disaggregated data)</li> <li>• Based on social analysis, prepare a project-specific gender plan, as appropriate, using qualified professionals based on-site, studies, and meetings.</li> </ul>
<b>Implementation</b>	<ul style="list-style-type: none"> <li>• Ensuring reports and monitoring plans report on results relating to gender</li> <li>• Report to the GEF on results and impacts of gender considerations on the project level</li> <li>• (in line with CI Evaluation Policy) Liaising with the Chief Operating Office to ensure that the TORs for project evaluations include whether gender issues have been taken into account during project design and implementation</li> </ul>	<ul style="list-style-type: none"> <li>• Including results on gender-sensitive indicators</li> <li>• Gender indicators and assessments are incorporated in mid-term reviews</li> </ul>

#### Definitions

- **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.
- **Gender analysis** examines the differences in women’s and men’s lives, including those which lead to inequity, and applies this understanding to policies and programs.
- **Gender aware** refers to the explicit recognition of local gender differences, norms, and relations and their importance to outcomes in program and policy design, implementation and evaluation. This

recognition derives from analysis or assessment of gender differences, norms and relations in order to address gender equity in outcomes.

- **Gender equity** is 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.
- **Gender equality** is the state or condition that affords women and men equal enjoyment of human rights, socially valued goods, opportunities and resources.
- **Gender integration** refers to strategies applied in program assessment, design, implementation and evaluation to take gender norms into account and to compensate for gender-based inequalities.
- **Gender sensitive** is recognizing the differences, inequalities and specific needs of women and men, and acting on this awareness.
- **Gender role** refers to a set of social and behavioral norms that are considered to be socially appropriate for individuals of a specific sex.
- **Gender mainstreaming** is the process of incorporating gender into policies, strategies, programs, activities and administrative functions, as well as the institutional culture of an organization.

## APPENDIX IX: Stakeholder Engagement Plan (SEP)

1. The Project Agency will oversee the Executing Entity involving all 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 account. At the beginning of the GEF Project Preparation Grant phase (PPG), the Executing Entity will be required to document any stakeholders that will be consulted during the design phase (guidelines to be provided by the CI-GEF Project Agency). The Project Agency will monitor the progress made of consulting stakeholders during the PPG phase. At the end of the project preparation phase, the Executing Entity will prepare and submit a full Stakeholder Engagement Plan that will be approved by the CI-GEF Project Agency. The CI-GEF Project Agency Team will also ensure that the Executing Entity will continue to hold consultations throughout project implementation as deemed necessary to address ESIA -related issues that affect them. The Executing Entity is responsible for executing the SEP. The Project Agency will oversee execution of the SEP.
2. Benefits of Stakeholder Engagement include:
  - a) Letting interested and affected parties participate in decision-making to give them more control and security;
  - 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.
3. A SEP should:
  - a) Describe CI-GEF requirements for consultation and disclosure;
  - b) Identify and prioritize key stakeholder groups;
  - c) Provide a strategy and timetable for sharing information and consulting with each of these groups;
  - d) Describe resources and responsibilities for implementing stakeholder engagement activities;
  - e) Describe how stakeholder engagement activities will be incorporated into a company's management system; and
  - f) The scope and level of detail of the plan should be scaled to fit the needs of the project.

### **Contents of a SEP**

4. A SEP should contain the following sections:

- a) **Introduction:** Briefly describe the project including design elements and potential social and environmental issues. Where possible, include maps of the project site and surrounding area.
- b) **Policies and Requirements:** Summarize any requirements by CI or the GEF pertaining to stakeholder engagement applicable to the project. This may involve public consultation and disclosure requirements related to the social and environmental assessment process.
- c) **Summary of any Previous Stakeholder Engagement Activities:** If the Executing Entity has undertaken any activities to date, including information disclosure and/or consultation, provide the following details:
- Type of information disclosed, in what forms (e.g., oral, brochure, reports, posters, radio), and how it was disseminated;
  - The locations and dates of any meetings undertaken to date;
  - Individuals, groups and/or organizations that have been consulted;
  - Key issues discussed and key concerns raised;
  - Executing Entity responses to issues raised, including any commitments or follow-up actions; and
  - Process undertaken for documenting these activities and reporting back to stakeholders.
- d) **Project Stakeholders:** List the key stakeholder groups who will be informed and consulted about the project. These should include persons or groups who:
- Are directly and/or indirectly affected by the project or have “interests” in the project that determine them as stakeholders; and
  - Have the potential to influence project outcomes (examples of potential stakeholders are affected communities, local organizations, CSOs and government authorities. Stakeholders can also include politicians, companies, labor unions, academics, religious groups, national social and environmental public sector agencies, and the media.)
- e) **Stakeholder Engagement Plan:** Summarize the purpose and goals of the plan. Briefly describe what information will be disclosed, in what formats, and the types of methods that will be used to communicate this information to each of the stakeholder groups identified in section 4 above. Methods used may vary according to target audience. For example:
- Newspapers, posters, radio and television;
  - Information centers and exhibitions or other visual displays; and
  - Brochures, leaflets, posters, non-technical summary documents and reports.
- f) **Description of the methods that will be used to consult with each of the stakeholder groups identified in previous sections.** Methods used may vary according to target audience. For example:
- Interviews with stakeholder representatives and key informants;
  - Surveys, polls, and questionnaires;
  - Public meetings, workshops, and/or focus groups with a specific group;

- Participatory methods; and
  - Other traditional mechanisms for consultation and decision-making.
- g) Description of any other engagement activities that will be undertaken, including participatory processes, joint decision-making, and/or partnerships undertaken with local communities, CSOs, or other project stakeholders. Examples include benefit-sharing programs, community development initiatives, resettlement and development programs, and/or training and micro-finance programs.
- h) **Timetable:** Provide a schedule outlining dates and locations when various stakeholder engagement activities, including consultation, disclosure and partnerships will take place and the date by which such activities will be incorporated into the project management system.
- i) **Resources and Responsibilities:** Indicate what staff and resources will be devoted to managing and implementing the company's Stakeholder Engagement Plan. Who within the Executing Entity will be responsible for carrying out these activities? What budget has been allocated toward these activities?
- j) **Grievance Mechanism:** Describe the process by which people affected by the project can bring their grievances to the Executing Entity for consideration and redress. Who will receive public grievances, how and by whom will they be resolved, and how will the response be communicated back to the complainant? See CI-GEF Accountability and Grievance Mechanism.
- k) **Monitoring and Reporting:** Describe any plans to involve project stakeholders (including affected communities) or third-party monitors in the monitoring of project impacts and mitigation programs. Describe how and when the results of stakeholder engagement activities will be reported back to affected stakeholders as well as broader stakeholder groups.

## APPENDIX X: Terms of Reference for Environmental and Social Management Plan (ESMP)

### **Background**

1. To facilitate the review process, and ensure the project has fully considered all relevant safeguards policies and processes, the Executing 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 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 funded project. Based on the results of the project screening process and the results of the ESIA, the CI-GEF Project Agency Team 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 physical cultural resources 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 physical cultural 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);
  - b) ESMP to address Protection of Natural Habitats and Physical Cultural Resources;
  - c) Indigenous Peoples: an IPP to address any effects on Indigenous Peoples;



- d) Involuntary resettlement: a 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 analyzing 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;
  - b) Description of relevant socio-cultural (including gender), institutional, historical, legal and political context;
  - c) Description of the biophysical context, including detailed accounts of the species, habitats, ecosystems and ecosystem services found in the project area;
  - d) Description of existing physical, cultural resources 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 physical cultural resources, to acceptable levels. Whenever mitigation measures are not feasible, cost-effective or sufficient, the ESMP must include measures to restore, offset and/or compensate environmental and social impacts. More specifically, the ESMP must include:
  - a. Identification and summary of all anticipated significant positive and negative environmental and social impacts that the project may cause to critical natural habitats and physical cultural resources;
  - b. 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;
  - c. 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 (i.e., continuously or in the event of contingencies), together with designs, equipment descriptions, and operating procedures, as appropriate;
  - d. Provisions for managing “chance finds” in the case of physical cultural resources<sup>17</sup>;
  - e. A description of who will be responsible for implementing and monitoring the mitigation measures, including their capacity and experience;
  - f. Cost-benefit estimates of proposed mitigation measures (the costs for environmental and social management will be included in the budget of the project proposal).
  - g. Estimation of any potential environmental and social impacts of the proposed measures; and
  - h. 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.
8. 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**

9. Monitoring activities during the implementation phase provides crucial information about the environmental and social impacts of the project and the effectiveness of mitigation measures.

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<sup>17</sup> In accordance with the guidelines provided in Annex III (Chance Find Procedures) of CI’s Environmental and Social Management Framework (ESMF)

Accurate and timely information from monitoring activities will enable the 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:

- a. 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
- b. 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**

10. 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**

11. The development and implementation of ESMPs are expected to fully adhere to the "Stakeholder Engagement" process and guidelines described in of CI's ESMF.

### **Expected outputs**

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

### **Schedule and budget**

13. For components B, C, and D (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.
14. CI's 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. It must also 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.