

# Report of the Inception Workshop of the GEF-Satoyama Project

Held at the United Nations University  
Headquarters, Tokyo, Japan

August 31<sup>st</sup> to September 1<sup>st</sup>, 2015



Conservation International Japan

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## **LIST OF ABBREVIATIONS**

CI – Conservation International

EA – Executive Agency

ET – Executive Team

EU – Executive Unit

ESMF - Environmental and Social Management Framework

GEF – Global Environmental Facility

IGES - Institute for Global Environmental Strategies

ISAP - International Forum for Sustainable Asia and the Pacific

M&E - Monitoring and Evaluation

MOEJ - Ministry of the Environment of Japan

OFP - Operational Focal Point

PA – CI-GEF Project Agency

PIR - Project Implementation Report

POM - Project Operations Manual

SDM - Satoyama Development Mechanism

TK - traditional knowledge

UNU-IAS - United Nations University Institute for the Advanced Study of Sustainability

WU – Working Unit

## INTRODUCTION

While protecting pristine natural areas and other high conservation value areas continue to be important for conservation of biodiversity, global conservation of biodiversity will not be achieved without the sustainable management of areas in which people and nature interact. Production landscapes and seascapes refer to the space in which primary industry activities (agriculture, forestry and fisheries) take place in general. Among the production landscapes and seascapes, those that integrate the values of biodiversity and social aspects harmoniously with production activities, such that production activities support biodiversity and vice versa, are termed “socio-ecological production landscapes and seascapes” (SEPLS), the focus of this project. Production landscapes and seascapes are important as buffers and provide vital connection between protected areas. They are also important for the conservation and sustainable use of biodiversity in their own right.

In this background, the “GEF-Satoyama Project” was developed and approved by the Global Environment Facility (GEF). “GEF-Satoyama Project” is a shorthand name for the formal project name, “Mainstreaming Biodiversity Conservation and Sustainable Management in Priority Socio-Ecological Production Landscapes and Seascapes.” It aims to achieve societies in harmony with nature, with sustainable primary production sector based on traditional and modern wisdom, and making significant contributions to global targets for conservation of biological diversity.

The GEF is an international partnership of 183 countries, international institutions, civil society organizations, and private sector to address global environmental issues, and serves as financial mechanism for several international environmental conventions, including the Convention on Biological Diversity. The GEF funds are made available through the CI-GEF Project Agency, a team established in Conservation International (CI) Headquarters in the United States of America. CI Japan is the Executing Agency of the GEF-Satoyama Project, and it has formed the “Executive Team” with the United Nations University Institute for the Advanced Study of Sustainability (UNU-IAS) and the Institute for Global Environmental Strategies (IGES). The Executing Agency chairs the Executive Team and serves as the Secretariat of the GEF-Satoyama Project; thus, it issues this Call for Proposals. The GEF-Satoyama Project will be conducted in partnership with many other organizations.

In the GEF-Satoyama Project, three main components were developed that emphasize: a) field-level demonstration of sustainable management of biodiversity and ecosystems services in production landscapes and seascapes through subgrants; b) knowledge generation and management for SEPLS and developing analytical and training content for a range of stakeholders; and c) capacity building and inter-sectoral collaboration for ensuring social and ecological values in priority SEPLS. These components are inter-related sets of activities that inform each other.

According to CI-GEF policy, the project inception workshop needed to be held within the first three months of project start with the project stakeholders. An overarching objective of the inception workshop was to assist the project team in understanding and taking ownership of the project’s objectives and outcomes. The inception workshop was used to detail the roles, support services and complementary responsibilities of the CI-GEF Project Agency and the Executing Agency.

## VENUE

Committee Room 2, United Nations University Headquarters, Tokyo, Japan

## DATES

August 31 and September 1, 2015

## OBJECTIVES

The objectives of the Inception Workshop include:

- For the team (CI-GEF Project Agency, CI Japan, UNU-IAS and IGES) to understand, discuss and take ownership of the project.
- To approve Yr1 Annual Workplan and Budget
- To make good progress in the production of Operations Manual

## PARTICIPANTS

### *Executive Unit Members*

**Kazuhiko Takemoto**, Director, the International Satoyama Initiative Project,  
United Nations University Institute for the Advanced Study of  
Sustainability

**Keiji Nakajima**, Director, Tokyo Office, Institute for Global Environmental  
Strategies

**Yasushi Hibi**, Managing Director, Conservation International Japan

### *Working Unit Members and Members from Executive Team Organizations* (Alphabetical order by the last name)

**Yohsuke Amano**, United Nations University Institute for the Advanced  
Study of Sustainability

**Devon Dublin**, Conservation International Japan

**William Dunbar**, United Nations University Institute for the Advanced Study  
of Sustainability

**Federico Lopez-Casero**, Institute for Global Environmental Strategies

**Caecilia Manago**, United Nations University Institute for the Advanced  
Study of Sustainability

**Yoji Natori**, Conservation International Japan

**Kazuhiko Seriu**, United Nations University Institute for the Advanced Study  
of Sustainability

**Wataru Suzuki**, United Nations University Institute for the Advanced Study  
of Sustainability

**Ayumi Takahashi**, United Nations University Institute for the Advanced Study of Sustainability

**Yasuo Takahashi**, Institute for Global Environmental Strategies

### **CI-GEF Project Agency**

**Kelly Polk**, Conservation International

**Orissa Samaroo**, Conservation International

### **Observers**

**Fumiko Nakao**, Ministry of the Environment of Japan

**Akiko Tabata**, Ministry of the Environment of Japan

## **WORKSHOP PROGRAM**

**Day 1: August 31, 2015** (MC/Moderator / AM: Yasushi Hibi; PM: Yoji Natori)

10:00 – 10:15	<b>1. Welcoming and opening remarks, introductions</b> ( <i>Orissa Samaroo, Yasushi Hibi</i> )
10:15 – 10:30	<b>2. Overview of the Workshop</b> ( <i>Orissa Samaroo, Yoji Natori</i> )
10:30 – 11:30	<b>3. Introduction/overview of the Project &amp; communications</b> ( <i>Yoji Natori, Orissa Samaroo</i> )
11:30 – 12:30	<b>4. Roles and Responsibilities</b> ( <i>Orissa Samaroo &amp; Yoji Natori</i> ) <ul style="list-style-type: none"><li>• Discuss the roles, functions, and responsibilities within the project's decision-making structures</li><li>• Executive Team and CI-GEF Project Agency</li><li>• Roles of all implementing partner organizations should be clarified.</li></ul>
12:30 – 14:00	<b>LUNCH</b>
14:00 – 15:00	<b>5. M&amp;E Reporting Requirements</b> ( <i>Orissa Samaroo &amp; Kelly Polk</i> ) <ul style="list-style-type: none"><li>• Provide a detailed overview of reporting, monitoring and evaluation (M&amp;E) requirements.</li><li>• The Monitoring and Evaluation work plan and budget should be agreed and scheduled.</li></ul>
15:00 – 15:30	<b>6. Country ownership &amp; engagement with Operational Focal Points</b> ( <i>Orissa Samaroo</i> )
15:30 – 16:30	<b>7. Safeguards</b> ( <i>Orissa Samaroo</i> )
16:30 – 18:00	<b>8. Subgrant project selection criteria</b> ( <i>Devon Dublin</i> )

**Day 2: September 1, 2015** (MC/Moderator: Yasushi Hibi)

9:30 – 12:00	<b>9. Results Framework / Annual Work Plan / Annual Budget</b> ( <i>Yoji Natori, Orissa Samaroo</i> ) Based on the project results framework and the relevant GEF Tracking Tool if appropriate: <ul style="list-style-type: none"><li>• What are the project components and main activities / implementation schedule?</li><li>• Review and agree on the indicators, targets and their means of verification, and recheck assumptions and risks.</li><li>• Develop the annual work plan and budget</li></ul>
12:10 – 13:00**	<b>Signing of the Memorandum of Understanding</b> (Executive Unit members and observers) (in Committee Room 1) <b>First Meeting of the Executive Unit</b> (Chaired by the Managing Director of CI Japan) Approval of Annual Workplan and Budget

<b>13:00 – 14:00</b>	<b>LUNCH</b>
<b>14:00 – 18:00</b>	<b>10. Operations Manual</b> (Kelly Polk, Devon Dublin, Yoji Natori, Orissa Samaroo) <ul style="list-style-type: none"> <li>Investment Strategy for subgrant projects &amp; criteria for selection</li> </ul> <hr/> (May be conducted for CI Japan staff only) <ul style="list-style-type: none"> <li>Procurement</li> <li>Grants Management</li> </ul>

\*\* After the morning session of the second day, the Memorandum of Understanding was signed, which formally established the Executive Team of the project, consisted of CI Japan, UNU-IAS and IGES. The signing was witnessed by the CI-GEF Project Agency and the Ministry of the Environment of Japan. The first meeting of the Executive Unit of the Executing Team was held to approve the annual workplan and budget of Year 1.

## OPENING

Mr. Yasushi Hibi, Managing Director of CIJ gave introductory statements and declared the workshop open by giving a warm welcome to participants. He spoke about the uniqueness of the project.

Ms. Orissa Samaroo explained about the roles and responsibilities of the CI-GEF Project Agency and pointed out that the GEF Satoyama project was its first experience of that magnitude and scope.

## OVERVIEW OF THE PROJECT

Dr. Natori presented the overview of the project (Appendix 1), including its components and expected outputs and outcomes. Ms. Samaroo gave an overview of the role of the CI-GEF Project Agency. Her presentation included an explanation of the GEF; how it functions and its governance structure. She explained that the GEF Secretariat approves and oversees the implementation of projects, the World Bank which acts as the GEF trustee disburses the funds, while the Executing Agency is responsible for the work on the ground.

## ROLES AND RESPONSIBILITIES

The main objective was to agree on the roles, functions, and responsibilities within the project's decision-making structures.

To set the stage for discussion, Dr. Natori presented the structure and responsibilities the ET and PA. The major discussion centered around the relationship between the CI-GEF Project Agency and the Executive Team and around the approval process. The participants discussed to clarify and define the roles and responsibilities of the Executing Agency, Executive Team (including its Executive and Working Units), advisors and CI-GEF Project Agency.

The participants concluded the roles and responsibilities of parties in the project implementation as follows<sup>1</sup>:

## **1. Conservation International-Global Environment Facility Project Agency (CI-GEF Project Agency)**

### **1.1 Members**

The representatives from the CI-GEF Project Agency include:

1. Designated Project Manager from the CI-GEF Project Agency
2. Designated Senior Grants Manager from the CI-GEF Project Agency

### **1.2 Roles and Responsibilities**

The CI-GEF Project Agency has the following roles and responsibilities:

- a. Makes the funding available on behalf of the GEF and is accountable to the GEF Council/GEF CEO on project implementation
- b. Provides oversight, project monitoring, supervision and guidance on the implementation of the project
- c. Ensures implementation of fiduciary standards
- d. Provides approval according to the processes outlined in Section B below
- e. Develops the Project's Operations Manual with the Executive Team, through the Executing Agency

## **2. Executing Agency**

CI Japan is the Executing Agency of the Project, whose roles and responsibilities are:

- a. To provide oversight for sub-grantees, including ensuring compliance with all CI-GEF technical, financial and operational policies.
- b. To chair the Executive Unit and represent the Executive Team;
- c. To chair the Working Unit
- d. To liaise with the CI-GEF Project Agency

## **3. Executive Team:**

The Memorandum of Understanding between CI Japan as the Executing Agency, the UNU-IAS and the IGES establishes the Executive Team for the Project, which consists of two units: Executive Unit and Working Unit.

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<sup>1</sup> This arrangement was adopted by the Executive Unit adopted at its first meeting.



### **3.1 Executive Unit**

#### **3.1.1 Members**

1. Managing Director, Conservation International Japan (CI Japan; Chair)
2. Director, Tokyo Office, the Institute for Global Environmental Strategies (IGES)
3. Director, the International Satoyama Initiative Project, the United Nations University Institute for the Advanced Study of Sustainability (UNU-IAS)

#### **2.1.2 Roles and Responsibilities**

The Executive Unit:

- a. Shall be the unit with decision-making authority;
- b. Shall be chaired by the Managing Director of CI Japan, who shall represent the Executive Team as a whole;
- c. May delegate some operational decision-making authority to the Chair of the Working Unit;
- d. Shall approve the annual work plan and budget at the beginning of each Project year;
- e. Can have observers through the invitation of its Chair;
- f. Shall approve criteria and guidelines for the selection the subgrantees; and
- g. Shall approve the selection of the subgrant projects based on the call for proposals.

### **2.2 Working Unit**

#### **2.2.1 Members**

1. Designated staff Member(s) of CI Japan (Chair)
2. Designated staff Member(s) of the Natural Resources and Ecosystem Services Area, IGES
3. Designated staff Member(s) of the International Satoyama Initiative Project, UNU-IAS

#### **2.2.2 Roles and Responsibilities**

The Working Unit:

- e. Shall be chaired by a representative of CI Japan;
- f. Shall prepare the draft annual work plan at the beginning of each Project Year for approval by the Executive Unit;
- g. Shall be responsible for conducting the tasks directed by the Executive Unit and for the implementation of the activities included in the annual working plan to be agreed at the beginning of each Project year in conformity with the guidelines and procedures of the CI-GEF Project Agency;

- h. Shall designate the person in charge of each Component or sub-Component;
- i. Shall serve as the secretariat of the Project;
- j. Shall liaises with the CI-GEF Project Agency at the operational level;
- k. Can have observers through the invitation of its Chair; and

## **2.3 Meetings**

The meetings of the Executive Unit and/or Working Unit may be convened at the request of their respective Chairs. The meetings can be conducted in-person or virtually using electronic means, as needed. The observers may include advisors, representatives of implementing partners, and persons in charge of each Component or sub-Component, as necessary.

## **2.4 Advisors**

The Chair of the Executive Unit may seek the cooperation of experts in the relevant fields as advisors to the Executive Team, who shall participate in their personal capacity, to obtain inputs on critical issues.

## **2.5 Component Leads**

Component 1: On-the-ground demonstration: CI Japan

Component 2: Knowledge Generation: IGES

Component 3: Capacity-building workshops and training: UNU-IAS

The participants concluded the approval protocol on major project decisions as follows<sup>2</sup>:

1. Working Unit drafts all work plans, calls for proposals, project selections and other key project documents to be approved by the Executive Unit (referred to as “materials”).
2. The Chair of the Working Unit provides materials to CI-GEF Project Agency for approval.
3. The CI-GEF Project Agency may approve, or send the materials back to the Working Unit with comments/recommendations. Steps 2 and 3 shall be repeated until the CI-GEF Project Agency approval.

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<sup>2</sup> This arrangement was adopted by the Executive Unit adopted at its first meeting.

4. The materials are presented by the Chair of the Working Unit to the Executive Unit for approval.
5. The Executive Unit may approve, or may return the materials to Working Unit with its comments/recommendations.

## **MONITORING AND EVALUATION (M&E) REPORTING REQUIREMENTS**

This session dealt with the type of M&E, Reporting Frequency, and the Responsible parties, so as to ensure that all organizations in the ET are aware of the M&E requirements.

A detailed overview of reporting, M&E requirements was provided by Ms. Samaroo and Ms. Polk (Appendix 2). It included the types of reports, the frequency in which they need to be done, and the responsible parties. The presentation also included the role of the GEF focal area tracking tool (GEF5) which has to be reviewed at mid-term and finally at project completion. This tool allows for the GEF Secretariat to determine that the goals/targets are being met. Project Implementation Reports, Midterm Project Review and Final Evaluation, which goes to the GEF Secretariat, were explained.

It was made clear that the three months before the project completion date, the subgrantees must complete their activities, so that the final three months can be dedicated to the evaluation process. Opportunities were brainstormed to make the best use of supervision missions by the PA, when and where to hold.

## **COUNTRY OWNERSHIP & ENGAGEMENT WITH OFPS**

This presentation was done with the intention of making all organizations in the ET aware of the importance of the country ownership, and of the needs (and know-hows) to engage the OFPs.

Ms. Samaroo explained that it is the responsibility of the EA to ensure that meaningful consultation is done in each country, and should include country representatives and other stakeholders. It was made clear that before the subgrant projects can start, OFP endorsements are necessary. In recognition of the difficulty of informing and involving the OFPs from all the countries under the project due to its regional/global nature, it was raised that GEF Counsel Meetings could be ideal forums since OFPs attend them. Site visits during the selection of subgrant projects should be used to interact with OFPs, as well.

At the end of the discussion, participants understood what is needed to ensure that country ownership is realized.

## **SAFEGUARDS**

The intended output of this session was to ensure that all organizations in the ET are exposed and sensitized to the safeguards issues, as stipulated by the CI-GEF Project Agency's Environmental and Social Management Framework (ESMF).

Ms. Samaroo's presentation outlined the nine policies of the CI-GEF's ESMF and how they can be achieved and evaluated (Appendix 3). They are: 1) environmental and social impact assessment, 2) involuntary resettlement, 3) protection of natural habitats, 4) indigenous peoples, 5) physical cultural resource, 6) pest management, 7) accountability and grievance, 8) gender mainstreaming, and 9) stakeholder engagement. The ESMF was created to deal with the safeguards with its objective being to avoid, minimize, mitigate or compensate for environmental issues.

Most of the discussion was based on the gender related safeguards, because the project has specific targets for gender mainstreaming, and the strategies that could be employed to ensure that the target for women participation of 50% is achieved. It was agreed that a gender specialist can be employed as a part of co-financing and that workshop themes could be designed to target women. It was established that there is a need to work with the subgrantees and provide training where necessary to ensure gender balanced projects.

## **SUBGRANT PROJECT SELECTION CRITERIA**

Dr. Dublin presented the revised document which outlines the mechanism by which subgrantees would be selected under the GEF-Satoyama Project.

Subsequently a discussion was entertained which focused mainly on defining a competent applicant that can pass the safeguards and are eligible to receive GEF funding. It was agreed that the type of organizations that could apply be properly spelt out in the application phase but the general consensus was that it should include government entities of various levels, the private sector entities, among other stakeholders, as long as they can sign grant agreements with CI Japan. Applications will be allowed in French and Spanish for Madagascar and Tropical Andes, respectively. In Indo-Burma, the call will be made in English only.

Selection timeline was discussed and the following was generated as a general guide:

Call for proposals 45-60 days

Selection 30 days

- Listing and Screening for eligibility (all entries maintained until the final decision) (CIJ)—minimum completeness check as received
- (for Spanish and French, need En summaries/translation)
- Long list to Working Unit (documents 1 week prior to meeting)—all will evaluate. -> Working Unit meeting
- PA upstream review (2 weeks) simultaneous with CEPF RIT comments
- Working Unit meeting to digest comments from PA and CEPF RIT
- Executive Unit

Communication with proponents to develop workplan 30-45 days

Grant agreement-- 1 month

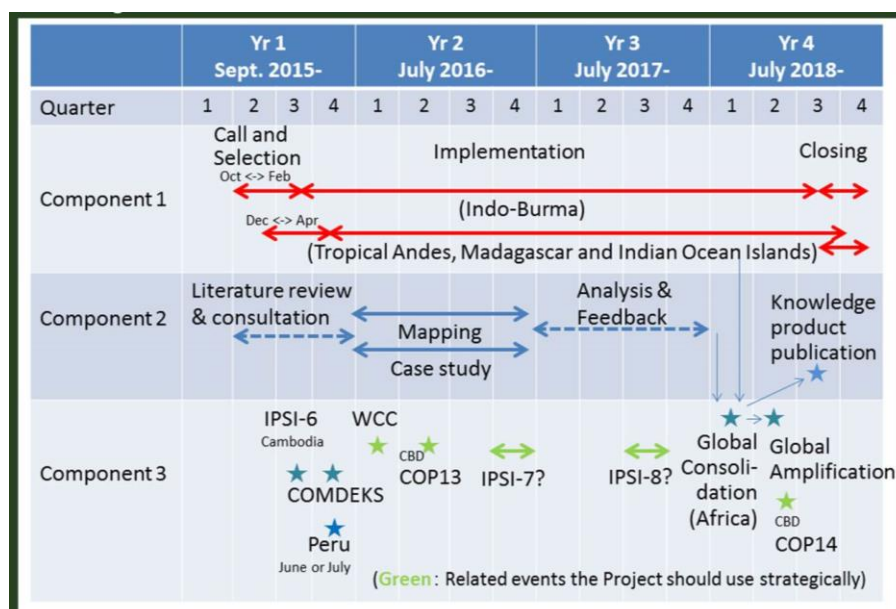
Public disclosure of those selected (after signing grant agreement), before the workshop

It was proposed and accepted that a draft of selection criteria and application materials would be developed further and circulated to the WU for feedback prior to the first WU meeting on September 8<sup>th</sup>.

## RESULTS FRAMEWORK / ANNUAL WORK PLAN / ANNUAL

The purpose of this session was to understand the Results Framework, and develop the annual workplan and budget. The expected output was that the annual workplan and budget were agreed to.

Ms. Samaroo spoke about the expected outcomes and indicators which allows for monitoring and verifying. The annual work plan and budget were presented by Dr. Natori who outlined the timeline of the overall project (Figure 1), as well as the outcomes, outputs, indicators, and then the planned activities.



**Figure 1. Overall project schedule**

The workplan was analyzed output by output. Various suggestions were made to make amendments of varied degrees of significance. At the conclusion of the discussions the documents were recommended to be presented to the Executive Unit for approval. The Executive Unit approved the annual workplan and budget as presented at its first meeting.

## PROJECT OPERATIONS MANUAL (POM)

The POM which has as its objective to guide all stakeholders for the effective implementation of the GEF-Satoyama Project was presented to the participants. It provides a detailed description of procedures. Discussion during the Inception Workshop will be part of the POM.

Discussion of procurement policy and grant management was held on September 2 between PA and EA only.

[Procurement] Ms. Polk outlined the CI-GEF requirements and stipulations according to the monetary ranges of goods and services. It was emphasized that the same regulations are to be applied to the subgrantees and there needs to be a mechanism in place. Records will be kept in Agresso.

[Reporting] Quarterly financial and technical progress reports, project implementation reports and annual workplan and budget were discussed:

- (1) Quarterly Financial and Technical Progress Reports. Executing Agency shall submit Quarterly Progress Reports including financial and technical sections within thirty (30) days following the end of each calendar quarter. These reports shall include an update on progress made against objectives and the utilization of funds and shall be submitted in the format specified by the CI-GEF Project Agency. The last quarterly report of the calendar year will include a section on the actual co-financing materialized versus committed at the time of Project approval by the GEF.
- (2) Project Implementation Report (PIR). Executing Agency shall submit on an annual basis a PIR covering the GEF Fiscal Year (July 1-June 30) by July 31st. The first PIR is due within thirty (30) days of the end of the first full Fiscal Year and will cover all activities as of the Performance Start Date. The PIR shall provide a status update on implementation progress and progress toward achieving global environmental benefits. This report shall be submitted in the format specified by the CI-GEF Project Agency.
- (3) Annual Workplan and Budget. The Executing Agency shall submit on an annual basis by April 30th Annual Work Plan for the next GEF Fiscal Year and an updated Budget in the format specified by the CI-GEF Project Agency.

[Audit] Annual audit requirement was discussed. The Executing Agency is subject to an independent Project Audit on an annual basis to be coordinated by the CI Grants Policy & Management Department ('GPM').

[Independent Evaluation Requirements] It was discussed that there will be a mid-term review and final evaluation.

## **NEXT STEPS AND WORKSHOP CLOSURE**

The press release was then discussed and it was agreed that all efforts would be made to have it done to coincide with the call for proposals possibly followed by another one to coincide with the UNU 40<sup>th</sup> anniversary celebrations. The press release would be done in English and Japanese. It was concluded to have an announcement on the CI Japan website to which other organizations would link from their website. It will be followed by a press release to coincide with the opening of the call for proposals for the Indo-Burma Biodiversity Hotspot.

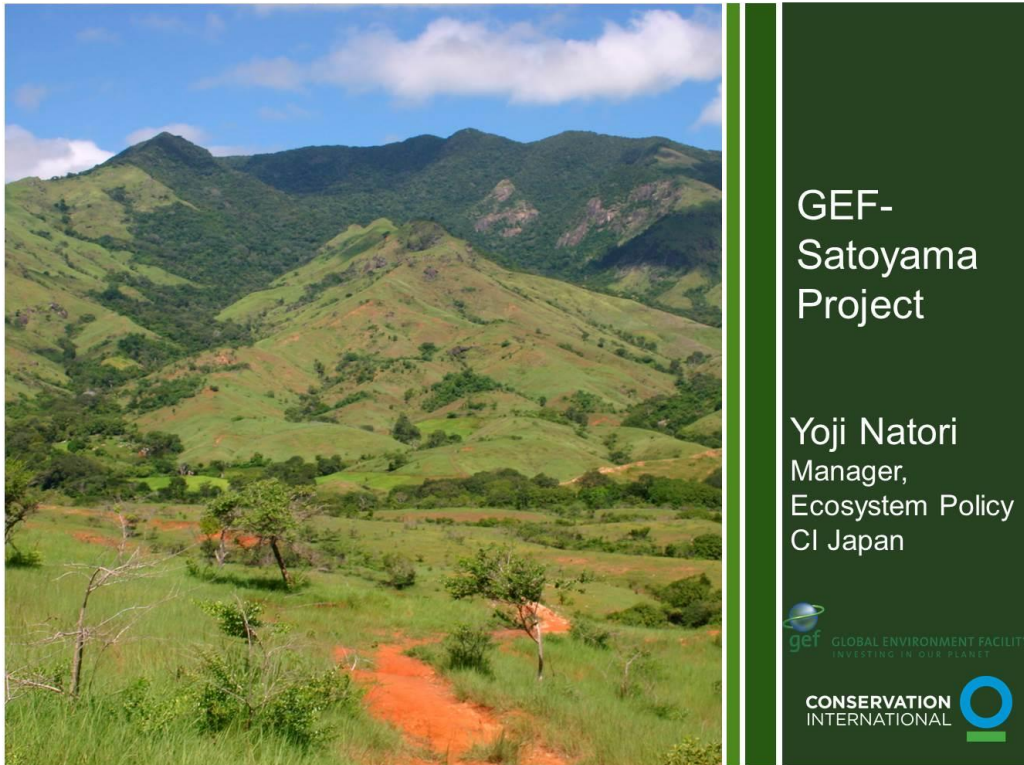
Having no other business the workshop was concluded and considered a success.



## APPENDICES

### Appendix 1.

#### Project Overview Presentation



## Background

1. Socio-Ecological Production Landscapes and Seascapes (SEPLS): Production landscapes and seascapes that integrate the values of biodiversity and social aspects harmoniously with production activities
2. SEPLS exists throughout the world in different forms
3. SEPLS are increasingly threatened
4. Underlying causes include poverty, rapidly expanding human population, and lack of appreciation of their values

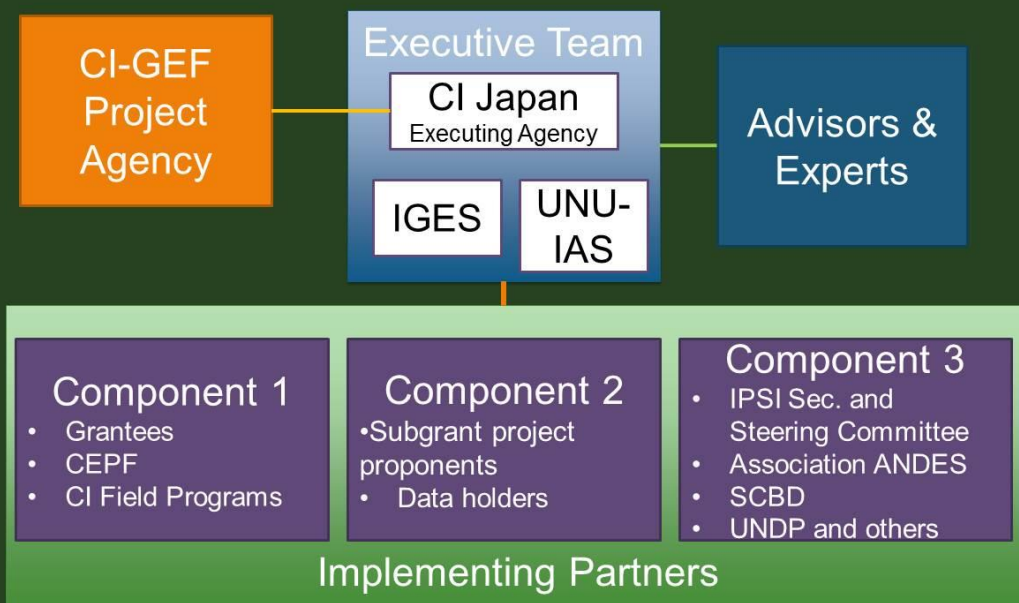
# GEF-Satoyama Project

Mainstreaming biodiversity conservation and sustainable management in priority Socio-ecological Production Landscapes and Seascapes

❑ **Project Vision:** Society in harmony with nature, with sustainable primary production sector based on traditional and modern wisdom, and making significant contributions to global targets for conservation of biological diversity

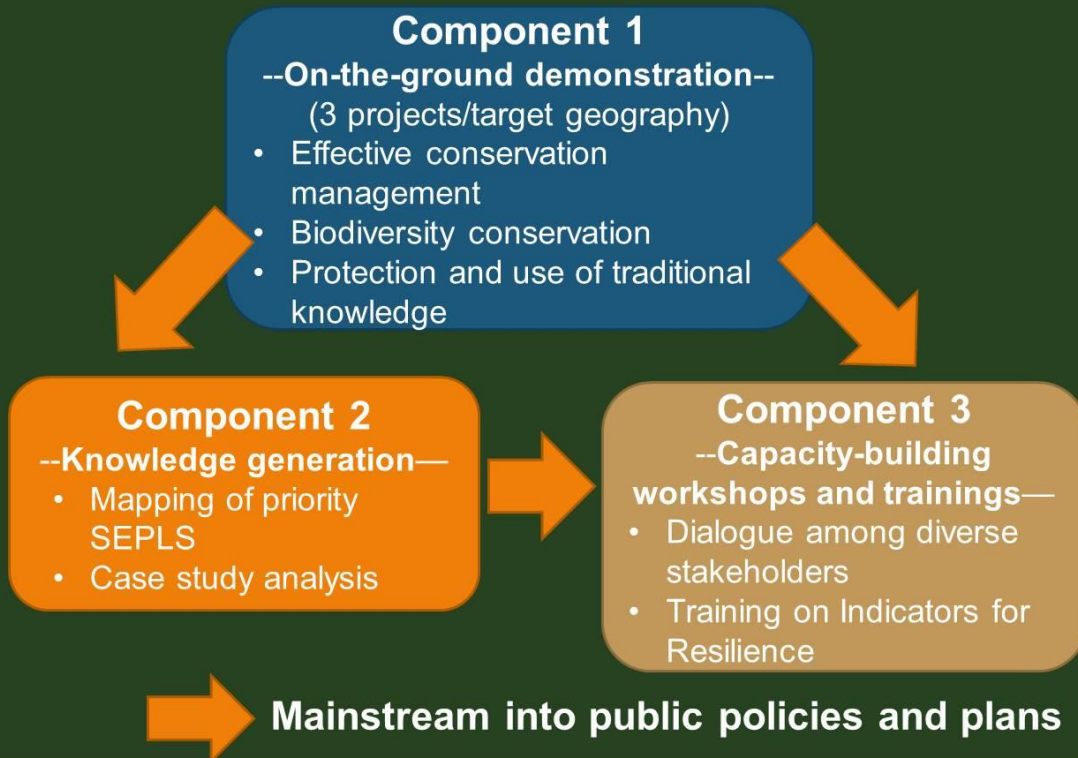
❑ **Project Objective:** To mainstream conservation and sustainable use of biodiversity and ecosystem services, while improving human well-being in priority Socio-Ecological Production Landscapes and Seascapes

## Institutional Arrangement for Project Implementation

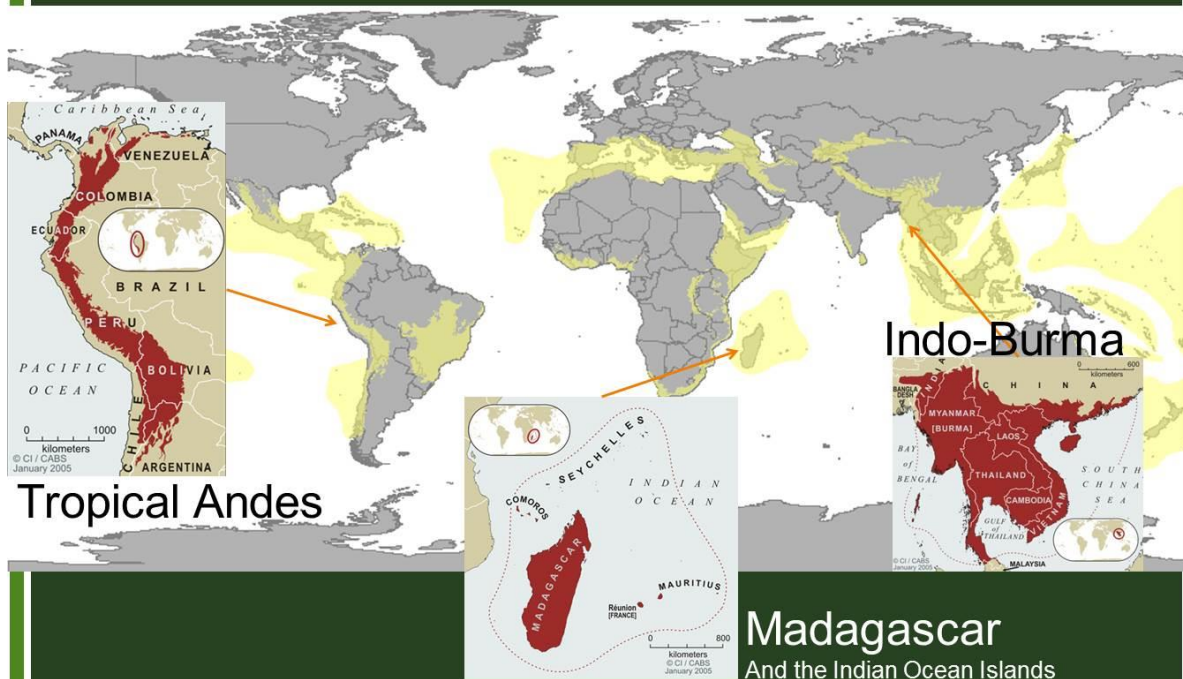




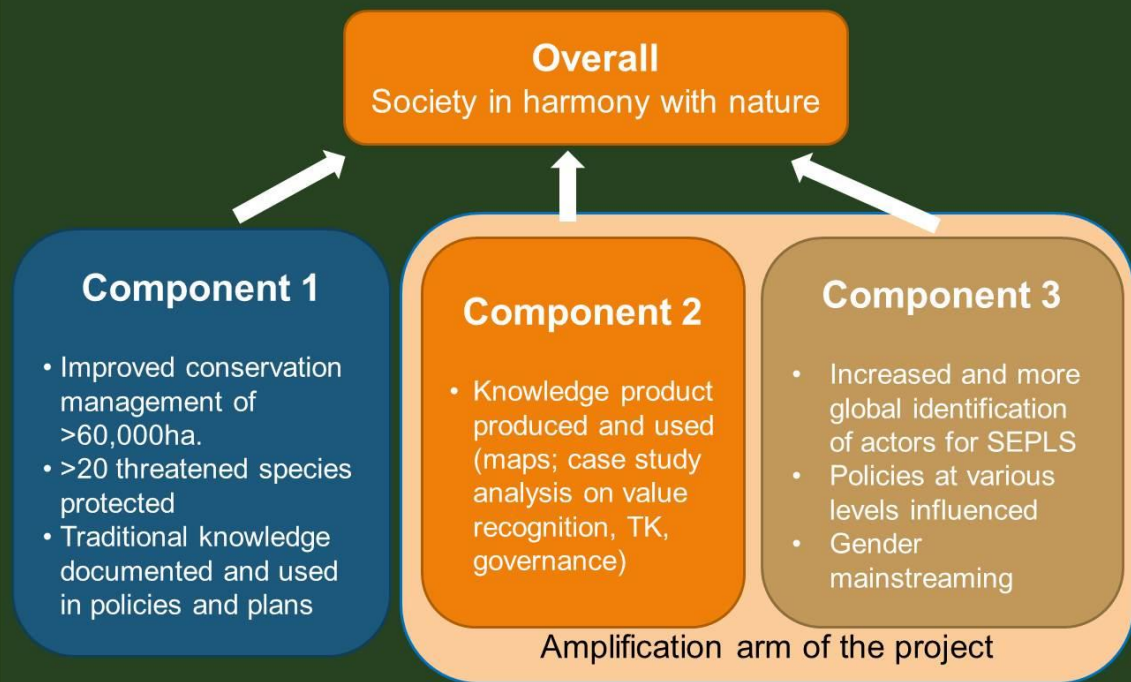
# Project Components



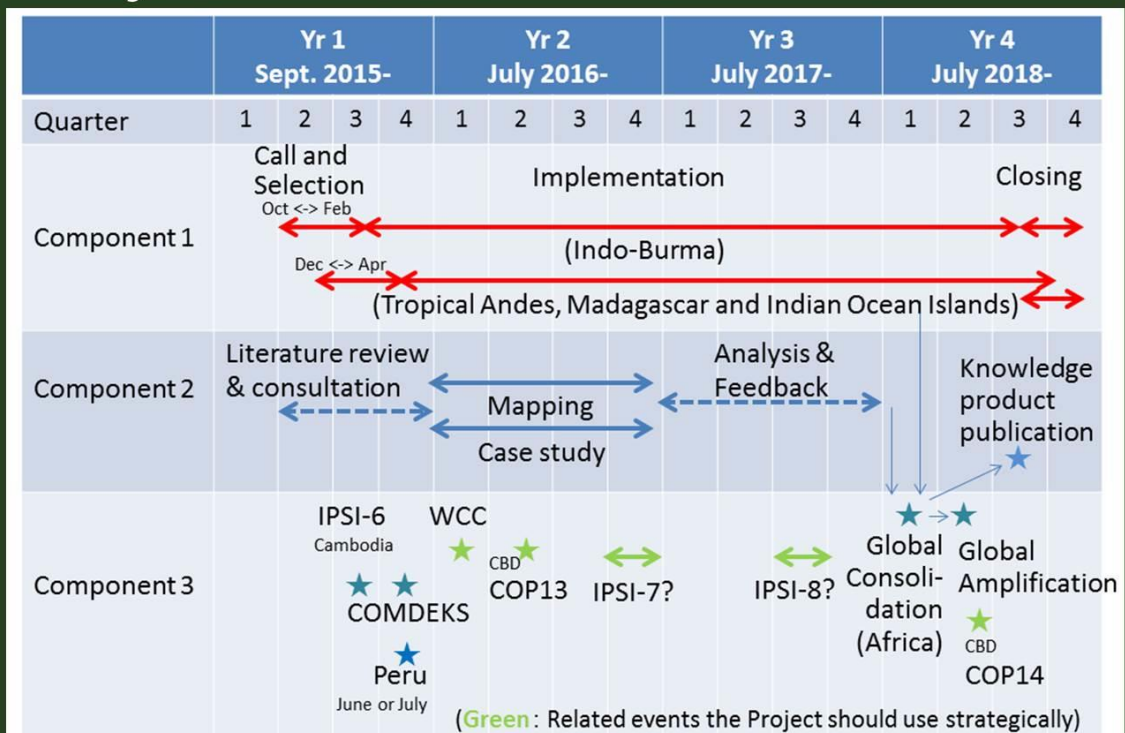
## Target Geographies (Component 1)



# Expected Outcomes



# Project Timeline







## Beyond the Project

- Project to produce successful cases and knowledge products that others can follow
- Scaling up at local and global level
- Stimulating the mobilization of resources to SEPLS



Thank you very much!



## Appendix 2. Monitoring and Reporting Presentation

Roles and Responsibilities

# MONITORING AND EVALUATION

## Project Implementation

Objective: Successful Implementation of Project



Type of M&E	Reporting Frequency	Responsible Parties
<b><i>Inception workshop and Report</i></b>	Within three months of signing of CI Grant Agreement for GEF Projects	<ul style="list-style-type: none"> <li>• Project Team</li> <li>• Executing Agency</li> <li>• CI-GEF PA</li> </ul>
<b><i>Inception workshop Report</i></b>	Within one month of inception workshop	<ul style="list-style-type: none"> <li>• Project Team</li> <li>• CI-GEF PA</li> </ul>
<b><i>Project Results Monitoring Plan (Objective, Outcomes and Outputs)</i></b>	Annually (data on indicators will be gathered according to monitoring plan schedule)	<ul style="list-style-type: none"> <li>• Project Team</li> <li>• CI-GEF PA</li> </ul>
<b><i>GEF Focal Area Tracking Tools</i></b>	i) Project development phase; ii) prior to project mid-term evaluation; and iii) project completion	<ul style="list-style-type: none"> <li>• Project Team</li> <li>• Executing Agency</li> <li>• CI-GEF PA</li> </ul>
<b><i>Project Steering Committee Meetings</i></b>	Annually	<ul style="list-style-type: none"> <li>• Project Team</li> <li>• Executing Agency</li> <li>• CI-GEF PA</li> </ul>
<b><i>CI-GEF Project Agency Field Supervision Missions</i></b>	Approximately annual visits	<ul style="list-style-type: none"> <li>• CI-GEF PA</li> </ul>
<b><i>Quarterly Progress Reporting</i></b> (financial and technical)	Quarterly	<ul style="list-style-type: none"> <li>• Project Team</li> <li>• Executing Agency</li> </ul>

Type of M&E	Reporting Frequency	Responsible Parties
<b><i>Annual Project Implementation Report (PIR)</i></b>	Annually for year ending June 30	<ul style="list-style-type: none"> <li>• Project Team</li> <li>• Executing Agency</li> <li>• CI-GEF PA</li> </ul>
<b><i>Annual Financial Report with co financing</i></b>	Annually for year ending June 30	<ul style="list-style-type: none"> <li>• Project team</li> <li>• Executing Agency</li> <li>• CI-GEF PA</li> </ul>
<b><i>Project Completion Report</i></b>	Upon project operational closure	<ul style="list-style-type: none"> <li>• Project Team</li> <li>• Executing Agency</li> </ul>
<b><i>Independent External Mid-term Review</i></b>	Approximate mid-point of project implementation period	<ul style="list-style-type: none"> <li>• CI Evaluation Office Project Team</li> <li>• CI-GEF PA</li> </ul>
<b><i>Independent Terminal Evaluation</i></b>	Evaluation field mission within three months prior to project completion.	<ul style="list-style-type: none"> <li>• CI Evaluation Office Project Team</li> <li>• CI-GEF PA</li> </ul>
<b><i>Lessons Learned and Knowledge Generation</i></b>	At least annually	<ul style="list-style-type: none"> <li>• Project Team</li> <li>• Executing Agency</li> <li>• CI-GEF PA</li> </ul>
<b><i>Annual Project Audit</i></b>	Annually	<ul style="list-style-type: none"> <li>• Executing Agency</li> <li>• CI-GEF PA</li> </ul>



## Appendix 3. Safeguards Presentation

### CI-GEF PROJECT AGENCY



### Purpose of the EMSF

1. Ensure that potential project adverse environmental and social impacts are:
  - Avoided,
  - Minimized,
  - Mitigated, and/or
  - Compensated
2. Provide safeguard recommendations and measures, and
3. Monitor and evaluate safeguards implementation throughout the project cycle

## Roles & Responsibilities

### CI-GEF Agency

- Overseeing application of the ESMF
- Screening projects to determine category and providing safeguard recommendations
- Reviewing and approving TORs, reports and plans
- Disclosing of ESIA and project-level plans through CI's website
- Monitoring & evaluating compliance with ESMF requirements

### Executing Agency

- Providing accurate, reliable and timely information for screening
- Overseeing the ESIA process and preparing project safeguard plans
- Conducting all required consultations with project stakeholders
- Executing all approved safeguard plans
- Applying rectification and adaptive management measures as necessary

## ESMF Policies







## Policy 1: Environmental and Social Impact Assessment (ESIA)

### Purpose

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

### Requirements

- Conduct a *Safeguard Screening* process for all GEF funded projects for categorization:
  - **Category A:** significant adverse impacts that are sensitive, diverse, and/or unprecedented
  - **Category B:** adverse impacts are localized, reversible, and mitigation measures available
  - **Category C:** minimal or no adverse impacts

## Policy 2: Protection of Natural Habitats

### Purpose

- To avoid significant loss/degradation of *critical natural habitats* including their biodiversity and ecosystem services
- To promote projects that restore/enhance *critical natural habitats*

**Critical natural habitats:** essential habitats for biodiversity conservation, provision of ecosystem services and well-being of people. Includes:

- Current/proposed protected areas
- Indigenous and community conserved areas
- Key Biodiversity Areas (KBAs)
- Alliance for Zero Extinction (AZE) Sites
- Important areas for carbon storage, freshwater provision and regulation, etc.





## Exclusions

- CI will not finance projects in *critical natural habitats* that propose to:
  - Create significant degradation/conversion
  - Carry out unsustainable harvesting of natural resources and/or establishment of forest plantations
  - Introduce species that may become invasive and harmful to the environment
  - Contravene major international/regional conventions on environmental issues
- CI endorses/applies the *precautionary approach* for its projects and programs



## Requirements

- Projects must consider direct/indirect impacts on biodiversity and ecosystems services, and identify significant cumulative/residual impacts
- Projects must consider values assigned to biodiversity/ecosystem services by key stakeholders
- In *critical natural habitats*, mitigation measures must be designed to:
  - Avoid significant habitat loss/degradation
  - Minimize habitat loss/degradation when adverse impacts cannot be avoided
  - Restore natural habitats when adverse impacts can neither be avoided nor minimized
  - Offset when residual impacts remain after all reasonable attempts to avoid, minimize and mitigate impacts



## Requirements *(continued)*

- CI will only finance:
  - Restoration projects that can reliably demonstrate positive impacts on biodiversity and ecosystem services
  - Forest plantation projects that are environmentally appropriate, socially beneficial and economically viable
- Project activities must be consistent with existing protected area/natural resources management plans
- Projects that trigger this policy, Executing Entities will develop and implement an *Environmental Management Plan (EMP)*



## Policy 3: involuntary resettlement

### Purpose

- To avoid the negative impacts of *involuntary resettlement* and *involuntary restrictions of access to natural resources* that might lead directly or indirectly to the loss of traditional and subsistence livelihoods
- This policy also applies to customary rights over access and use of natural resources

### Exclusions

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





## Requirements

- CI may support *voluntary resettlement* only when community consent has been obtained and documented
- For projects involving *voluntary resettlement*, Executing Entities must design, document and disclose a *Voluntary Resettlement Action Plan (V-RAP)*
- CI may support projects *involving voluntary restrictions* only when community consent has been obtained and documented
- For projects involving involuntary restrictions, Executing Entities must prepare a *Process Framework for Restriction of Access to Natural Resources*

## Policy 4: Indigenous Peoples

### Purpose

To ensure that:

- Projects respect Indigenous Peoples' rights, including their rights to *Free, Prior, and Informed Consent (FPIC)*
- Indigenous Peoples are involved in the design of the project and receive culturally appropriate benefits that are negotiated and agreed upon
- Potential adverse impacts are avoided or adequately addressed through a participatory and consultative approach; and
- The implementation of the project, required plans/frameworks, and project benefits are monitored by experienced social scientists



## Requirements

- Screen for Indigenous Peoples as early as possible during the project preparation phase
- Ensure effective participation of Indigenous Peoples in project design and preparation of safeguard plans, including ESIs
- Conduct effective consultation processes to fully identify Indigenous Peoples views and to obtain their FPIC
- Ensure that community level decisions are representative of all community members
- Develop an *Indigenous Peoples Plan (IPP)* describing measures to avoid adverse impacts and enhance culturally appropriate benefits in each project.



## Policy 5: Pest Management

### Purpose

- To avoid, minimize and manage the environmental and health risks associated with pesticide use
- To promote/support safe, effective, and environmentally sound pest management





## Exclusions

- CI does not allow the use of pesticides that are unlawful under national or international laws
- CI does not allow the procurement or use of:
  - Pesticides/chemicals specified as Persistent Organic Pollutants (POPs) under the Stockholm Convention
- Procurement/use of products in World Health Organization (WHO) Classes IA and IB or Class II, if:
  - The country lacks restrictions on their distribution and use; or
  - They are likely to be handled by people without training, equipment, and facilities to handle, store, and apply these products properly



## Requirements

- Ensure that eligible pesticides are procured contingent on an assessment of the nature and degree of associated risks
- For projects that trigger this policy, Executing Entities must be required to develop a *Pest Management Plan (PMP)*

## Policy 6: Physical Cultural Resources

### Purpose

- To prevent, minimize and/or compensate for project potential adverse impacts and enhance positive impacts on physical cultural resources

*Physical cultural resources* 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.

### Exclusion

- CI will not fund projects involving the removal, alteration or disturbance of any physical cultural resources

### Requirements

- Measures must be put in place to ensure that physical cultural resources are identified and potential adverse effects are avoided
- Qualified specialists may be required to conduct field-based surveys, if necessary.
- For projects that trigger this policy, Executing Entities must develop an *Environmental Management Plan (EMP)*







## Policy 7: Accountability and Grievance Mechanisms

### Purpose

- To ensure timely response/resolution of complaints from parties affected by CI-GEF projects
- The Accountability and Grievance Mechanisms are designed to:
  - Address potential breaches of CI's policies and procedures
  - Be independent, transparent, and effective
  - Be accessible to project-affected people
  - Keep complainants abreast of progress with cases brought forward
  - Maintain records on all cases and issues brought forward for review

### Requirements

- The Executing Entity must inform project-affected parties about the Accountability and Grievance Mechanisms
- Affected communities and other stakeholders may raise a grievance at any time to the Executing Entity, CI, or the GEF
- Contact information of the Executing Entity, CI's Project Agency, and the GEF must be made publicly available in a culturally sensitive manner
- Executing Entities must respond to project-related grievances in writing within 15 calendar days of receipt
- If this process does not result in resolution of the grievance, the grievant may file a claim directly to CI

## Requirements

- Executing Entities must mainstream gender in all project phases, thus ensuring that both women and men:
  - Receive culturally compatible social and economic benefits
  - Do not suffer adverse effects during the development process; and
  - Receive full respect for their dignity and human rights
- For all GEF funded projects, Executing Entities will develop a *Gender Mainstreaming Plan (GMP)*



## Policy 9: Stakeholder Engagement

### Purpose

- To ensure that projects effectively:
  - Involve/consult key stakeholders in all project phases
  - Incorporate stakeholders views and concerns; and
  - Continue stakeholders consultations throughout project implementation, monitoring and evaluation





## Requirements

- Executing Entities must identify and involve key stakeholders in the design/preparation process
- Ensure that stakeholder groups of historically vulnerable or marginalized people fully participate in consultation/engagement processes
- Stakeholders must be informed and provided with information regarding project activities throughout the life of the project
- For all GEF funded project, Executing Entities must develop and implement a *Stakeholder Engagement Plan (SEP)*
- For Category A projects, stakeholder engagement through consultations must occur twice, at the scoping stage and before implementation begins
- All project documents must be disclosed to stakeholders timely and in manners that are culturally/socially sensitive

#### Appendix 4. Photos



Photo showing participants of the workshop.



Photo showing members of the ET and the CI-GEF Project Agency.