Inclusive Conservation Initiative

Environmental and Social Management Framework for Component 1:

"Local IPLC Action to Deliver Global Environmental Benefits (GEB): Established on the-ground projects led by IPLC organizations"

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Acronyms

ACA	Annapurna Conservation Area
APR	Annual Performance Report
BMP	Biodiversity Management Plan
CBD	Convention on Biological Diversity
CHMP	Cultural Heritage Management Plan
CI	Conservation International
CITES	Convention on International Trade in Endangered Species or Wild Fauna and Flora
CSO	Civil Society Organization
EA	Executing Agency
EEZ	Exclusive Economic Zone
ESIA	Environmental and Social Impact Assessment
ESMF	Environmental and Social Management Framework
ESMP	Environmental and Social Management Plan
ESMS	Environmental and Social Management System
EoI	Expression of Interest
ESS	Environmental and Social Standard
FPIC	Free, Prior and Informed Consent
GEB	Global Environmental Benefits
GEF	Global Environment Fund
GMP	Gender Mainstreaming Plan
ICI	Inclusive Conservation Initiative
ICLA	Inclusive Conservation Learning Academy
ICPG	Inclusive Conservation Priority Geographies
ILO	International Labour Organization
iNDC	Intended Nationally Determined Contribution
IPAG	GEF's Indigenous Peoples Advisory Group
IPLCs	Indigenous Peoples and Local Communities
IPO	Indigenous Peoples Organization
IPP	Indigenous Peoples Plan
ISC	Interim Steering Committee
IUCN	International Union for Conservation of Nature and Natural Resources

KBAs	Key Biodiversity Areas
LEDS	Low Emissions Development Strategy
NAP	National Adaptation Plan
NBSAP	National Biodiversity Strategies and Action Plan
NCCAP	National Climate Change Action Plan
NDC	Nationally Determined Contribution
NIPT	Network of Indigenous Peoples in Thailand
NTFPs	Non-timber forest products
OHS	Occupational Health and Safety
PCBs	Polychlorinated biphenyls
PIF	Project Identification Form
PIR	Annual Project Implementation Report
PMP	Pest Management Plan
PMU	Project Management Unit
PPG	Project Preparation Grant
PSS	Project Safeguard System
RBA	Rights-Based Approach
SC	Steering Committee
SDGs	Sustainable Development Goals
SEP	Stakeholder Engagement Plan
UDHR	Universal Declaration of Human Rights
UNCCD	United Nations Convention to Combat Desertification
UNDRIP	United Nations Declaration on the Rights of Indigenous Peoples
UNFCCC	United Nations Framework Convention on Climate Change
V-RAP	Voluntary Resettlement Action Plan

Executive summary

The Inclusive Conservation Initiative, approved as part of the GEF-7 Programming Directions, is designed to enhance Indigenous Peoples and Local Communities (IPLCs) efforts to steward lands, waters and natural resources that deliver global environmental benefits and address the growing drivers of global environmental degradation.

The four components, with interconnected outputs that mutually support outcomes from local to global levels, are:

- Component 1: **Local IPLC Action to Deliver Global Environmental Benefits (GEB)**
- Component 2: **Global IPLC Capacity Building**
- Component 3: **IPLC Leadership in International Environmental Policy**
- Component 4: **ICI Knowledge to Action**

The present Environmental and Social Management Framework (ESMF) has been prepared specifically for **Component 1**, which aims to provide direct financial support to IPLC-led initiatives in priority areas that achieve global environmental benefits through improved large-scale management of IPLC lands, territories, and resources. Its expected outcomes are:

- ✓ **Outcome 1.1:** Inclusive Conservation Initiative (ICI) subprojects are led by IPLC organizations.
- ✓ **Outcome 1.2:** Project implementation capacity of IPLC partner organizations in subproject geographies substantially increased.

Component 1 will be implemented in 9 selected subprojects that are located in territories within 12 countries in America, Africa and Asia where Indigenous Peoples and local communities hold large areas of high-biodiversity land under traditional governance systems.

The **objective** of the ESMF is to ensure that implementation of the planned projects adhere to applicable social and environmental safeguards, by establishing measures and procedures to help avoid, or where this is impossible, minimize and manage potential social and environmental risks and further promote social and environmental benefits.

The present ESMF has been produced with a high-level scope since each subproject will need to develop its own ESMP based on the Project Safeguards System. In the next stage, the subprojects will have to be analyzed in greater detail in order to obtain a more accurate identification of environmental and social risks, a more precise level of probability and intensity of these risks and to be able to design mitigation measures more appropriate to the specific reality of each site.

This ESMF is guided by the CI-GEF Project Agency's and IUCN's Policies on Environmental and Social Safeguard Standards, which forms part of the Agencies' Environmental and Social Management Frameworks (ESMF) and are referred to as **Project Safeguard System**.

The Project Safeguard System consists of 10 Environmental and Social Standards (ESS), which describe the minimum standards that each funded project must meet or exceed. The table below indicates the safeguards triggered by the ICI Component 1.

Safeguard Triggered	Yes	No	TBD	Disclosure
ESS1: Environmental and Social Impact Assessment			X	ESMPs
ESS 2: Protection of Natural Habitats and Biodiversity Conservation			X	ESMPs
ESS 3: Resettlement, Physical and Economic Displacement		X		ESMPs
ESS 4: Indigenous Peoples	X			ESMPs

ESS 5: Resource Efficiency and Pollution Prevention			X	ESMPs
ESS 6: Cultural Heritage	X			ESMPs
ESS 7: Labor and Working Conditions	X			ESMPs
ESS 8: Community Health, Safety and Security	X			ESMPs
ESS 9: Private Sector Direct Investments and Financial Intermediaries		X		ESMPs
ESS 10: Climate Risk and Related Disasters		X		ESMPs

The initial screening states that Component 1 activities will not cause significant negative environmental and social impacts. However, there is uncertainty on the possibility of some project activities to eventually cause impacts that are site-specific; few if any of them are irreversible; and mitigation measures can be designed to face them. Based on this conclusion, and applying the precautionary principle, Component 1 of the ICI is considered as **Category B** risk. For Category B projects, either a targeted risk assessment or an ESIA is required, depending on the type, degree, and extent of the impacts in each of the subproject sites. For the subprojects under Component 1 of the ICI, it is likely that a targeted risk assessment will be sufficient, however, this is pending confirmation.

After a brief introduction (section 1), this document introduces to the project (section 2) and the applicable social and environmental standards (section 3). Section 4 summarizes the status of each of the participant countries with regards to the international law and commitments relevant to the applicable safeguards. Section 5 introduces to high-level risks that were identified based on the available information. Section 6 looks at expectations and challenges for meeting the safeguards, complemented by section 7 on the safeguard-related characteristics of the 9 geographies of the subprojects. Section 8 details the high-level mitigation measures for the identified risks. Subsequent sections then include further detail on standard elements of Environmental and Social Management Plans, including accountability and grievances, stakeholder engagement, institutional capacities, gender mainstreaming as well as monitoring and evaluation. Finally, the document indicates the next steps towards detailed ESMPs, which include information for a procedure to conduct a more detailed environmental and social assessment leading to the identification of site-specific risks and to the development of site-specific mitigation measures. Topical management plans may also need to be produced, depending on site-specific risks.

Annex 1 includes the Terms of Reference of the Steering Committee that will be set up for the project; Annex 2 includes an equivalence table between the CI-GEF Project Agency's Environmental and Social Management Framework (ESMF), and IUCN's Environmental and Social Management System. Annex 3 contains the Environmental and Social Safeguards Screening. ESMPs will have to follow the guidelines of the methodology for conducting ESIAs (Annex 4), the Stakeholder Engagement Framework (Annex 5), the Framework for Natural Habitats and Biodiversity Conservation (Annex 6), and the Indigenous Peoples Framework (Annex 7).

1. Introduction

1.1. Project objectives and components

The Inclusive Conservation Initiative is designed to enhance Indigenous Peoples and Local Communities (IPLCs) efforts to steward lands, waters and natural resources that deliver global environmental benefits and address the growing drivers of global environmental degradation. While other initiatives exist to assist IPLCs, they tend to be small and of limited scope. Inclusive Conservation Initiative, approved as part of the GEF-7 Programming Directions, will empower IPLCs to deliver global environmental benefits through access to larger volumes of resources required for larger-scale biodiversity conservation and natural resource management activities. Please see Section 2 “Project information” for further details.

The four components, with interconnected outputs that mutually support outcomes from local to global levels, are:

Component 1: **Local IPLC Action to Deliver Global Environmental Benefits (GEB):** This component will provide direct financial support to IPLC-led initiatives in priority areas that achieve global environmental benefits through improved large-scale management of IPLC lands, territories and resources.

Component 2: **Global IPLC Capacity Building**: This component will establish the platforms, peer learning networks and knowledge resources for enhanced IPLC capacity, focusing on project and financial management skills and design of sustainable financing mechanisms.

Component 3: **IPLC Leadership in International Environmental Policy**: This component will enable IPLC representatives (women, men and youth) to amplify their voices and influence in the international policy decisions that create either enabling or constraining conditions for on-ground inclusive conservation efforts.

Component 4: **ICI Knowledge to Action**: This component will support IPLC organizations to distil and share knowledge regarding inclusive conservation models to demonstrate large-scale impact and generate support for IPLC-led conservation.

1.2. Project sites

The Inclusive Conservation Initiative (ICI) project will support IPLCs to secure and enhance their stewardship over an estimated area of 7,615,066 hectares of landscapes and seascapes with high biodiversity and irreplaceable ecosystems. Opportunities to advance IPLC-led conservation are present across a wide range of regions and ecosystems. Subproject geographies in which to demonstrate the potential of IPLC-led conservation are those where indigenous peoples and local communities hold large areas of high-biodiversity land under traditional governance systems (which may or may not have formal legal recognition). These include large areas of tropical forest as well as mountain, temperate and boreal forest, drylands and grasslands, and coastal and marine ecosystems. Subproject geographies are Mesoamerica, Amazon/Andes, Himalayas, Mainland Southeast Asia, the Pacific, East Africa Drylands, Southern Cone, and Congo Basin.

The selected subprojects are listed below; additional detail is provided in Section 2 of the ProDoc.

- Fvta Mawiza Biocultural Territory (Argentina): in the province of Neuquén.
- Fvta Mawiza Biocultural Territory (Chile): between the regions of Araucanía and Los Ríos.

- Southwest Amazon (Peru): Southwest Amazon. This area is located in the Southwest of the Amazon in Peru and corresponds to the Madre de Dios river basin (departments of Madre de Dios and Cusco).
- Indigenous Territories Ru K'ux Abya Yala (Guatemala, Panama): Includes the Zunil, Atitlán and Balam Juyu Biocultural Corridor, the Lachuá, Q'eqchi territory, the Río Dulce region, and the Guna Yala region.
- Annapurna Conservation Area (Nepal).
- Ewaso Ng'iro River Basin (Kenya): The Ewaso Ng'iro River Basin that begins on the slopes of Mount Kenya, then progresses towards the semiarid Laikipia Plateau and the arid northern rangelands.
- Northern Tanzania (Tanzania): The Northern Tanzania rangelands. The project area extends across critical areas of rangeland connectivity south and east of the greater Serengeti – Ngorongoro and make up the northern and southern most extents of the Tarangire – Manyara ecosystems.
- DR Congo (DRC).
- Fiji Lau Seascape and Cook Islands (Fiji, Cook Islands).
- Thailand (Thailand): The area of the subproject covers 5 principal watersheds, 21 sub-watersheds, and 2 broad regions, north and south.

1.3. Objective and scope of the ESMF

The main objective of the ESMF, including its Annexes, is **to ensure that implementation of the Local IPLC Action to Deliver Global Environmental Benefits supported by component 1 of the project adheres to applicable social and environmental safeguards, by establishing measures and procedures to help avoid, or where this is impossible, minimize and manage potential social and environmental risks and further promote social and environmental benefits.**

This objective is achieved by:

a) Presenting initial mitigation measures for high-level risks that can already be identified at this stage, and
b) Providing procedures that need to be taken into account in the preparation of Environmental and Social Management Plans as and when more detailed planning at local level begins.

Before identified risks and mitigation measures are presented, the document introduces to the project (section 2) and the applicable social and environmental standards (section 3). Section 4 summarizes the status of each of the participant countries with regards to the international law and commitments relevant to the applicable safeguards. Section 5 introduces to high-level risks that were identified based on the available information. Section 6 looks at expectations and challenges for meeting the safeguards, complemented by section 7 on the safeguard-related characteristics of the sites of the subproject geographies. Section 8 details the high-level mitigation measures for the identified risks. Subsequent sections then include further detail on standard elements of Environmental and Social Management Plans, including accountability and grievances, stakeholder engagement, institutional capacities, as well as monitoring and evaluation. Finally, the document indicates the next steps towards detailed ESMPs. Next steps include information for a procedure to conduct a more detailed environmental and social assessment leading to the identification of site-specific risks and to the development of site-specific mitigation measures. Topical management plans may also need to be produced, depending on site-specific risks. The annexed frameworks also include draft outlines of such management plans.

2. Project information

The following sections provide a more detailed introduction into the Inclusive Conservation Initiative.

2.1. Objective

The objective of the Inclusive Conservation Initiative is designed to enhance Indigenous Peoples and Local Communities (IPLCs) efforts to steward lands, waters and natural resources that deliver global environmental benefits and address the growing drivers of global environmental degradation. While other initiatives exist to assist IPLCs, they tend to be small and of limited scope. Inclusive Conservation Initiative, approved as part of the GEF-7 Programming Directions, will empower IPLCs to deliver global environmental benefits through access to larger volumes of resources required for larger-scale biodiversity conservation and natural resource management activities.

2.2. Description and scope

The ICI on-the-ground IPLC-led project portfolios have the potential to improve the management of 19,351,000 ha of landscapes and seascapes in biodiversity hotspots where indigenous peoples and local communities hold areas of high biodiversity under customary or statutory tenure rights. ICI Impact Strategies will expand on contributions to several of the Sustainable Development Goals (SDGs), particularly Goal 15, which focuses on conservation of biodiversity and critical ecosystems underpinning the Post-2020 Biodiversity Framework and Sustainable Development Goals, mitigating at least 12 million metrics tons of CO_2 (carbon dioxide) and directly benefiting at least 90,000 people from on-the-ground project activities as well as 10,000 beneficiaries from capacity building and global component project activities.

The ICI will increase the volume of investment available to assist IPLCs and will invest directly in IPLCs, enabling them to address the growing drivers of environmental degradation impacting their lands and resources. By combining substantial investments in specific locations with support to magnify local results through global capacity-building, policy influence and demonstration of large-scale impacts, the ICI will catalyze the transformational changes needed to secure and enhance support for the contributions of IPLCs to biodiversity and other global environmental benefits.

The four components, with interconnected outputs that mutually support outcomes from local to global levels, are:

Component 1: **Local IPLC Action to Deliver Global Environmental Benefits (GEB):** This component will provide direct financial support to IPLC-led initiatives in priority areas that achieve global environmental benefits through improved large-scale management of IPLC lands, territories and resources.

Component 2: **Global IPLC Capacity Building**: This component will establish the platforms, peer learning networks and knowledge resources for enhanced IPLC capacity, focusing on project and financial management skills and design of sustainable financing mechanisms.

Component 3: **IPLC Leadership in International Environmental Policy**: This component will enable IPLC representatives (women, men and youth) to amplify their voices and influence in the international policy decisions that create either enabling or constraining conditions for on-ground inclusive conservation efforts.

Component 4: **ICI Knowledge to Action**: This component will support IPLC organizations to distil and share knowledge regarding inclusive conservation models to demonstrate large-scale impact and generate support for IPLC-led conservation.

The expected Outcomes and Outputs of these four components are presented in the table below.

Table 1: Project components, and expected Outcomes and Outputs

Components	Expected Outcomes	Expected Outputs
Component 1: Local IPLC Action to Deliver Global Environmental Benefits (GEB): Established on-the-ground projects led by IPLC organizations.	Outcome 1.1.: Inclusive Conservation Initiative (ICI) subprojects are led by IPLC organizations.	Output 1.1.1.: IPLC organizations in ICI Subproject Geographies contracted to lead subprojects. Output 1.1.2.: Subproject Impact Strategies finalized to guide project implementation. Output 1.1.3: Activities implemented for enhancing IPLC rights and governance of natural resources. Output 1.1.4: Activities implemented for improving management of natural and cultural resources in IPLC Lands and Territories. Output 1.1.5: Activities implemented for addressing the drivers of environmental degradation affecting IPLC sustainable development. Output 1.1.6: Activities implemented to support the economic and financial sustainability of IPLC-led conservation. Output 1.1.7: ICI subproject governance structures designated and supported.
	Outcome 1.2: Project implementation capacity of IPLC partner organizations in subproject geographies substantially increased.	Output 1.2.1: Capacity assessments and capacity building plans of ICI subproject lead organizations in subproject geographies prepared. Output 1.2.2: Capacity-building activities delivered to ICI subproject lead organizations in subproject geographies.
Component 2: Global IPLC Capacity Building: IPLC capacity strengthened to improve management of lands, territories, waters and natural resources and increase	Outcome 2.1: IPLC capacity substantially strengthened within and beyond ICI subproject geographies.	Output 2.1.1.: ICI Learning Academy Curricula designed. Output 2.1.2.: IPLC Inclusive Conservation Learning Academy established.

Components	Expected Outcomes	Expected Outputs
access to public and long-term sustainable financing mechanisms.		Output 2.1.3.: Organizational Development and Capacity Building of IPLC organizations delivered through the ICLA. Output 2.1.4: Learning Evaluation completed of IPLC Inclusive Conservation Learning Academy.
	Outcome 2.2: Cross-regional IPLC organization partnerships and networks strengthened through ICI Learning Exchanges.	Output 2.2.1: IPLC organizations mapped to strengthen collaboration within and beyond subproject geographies. Output 2.2.2: Inclusive Conservation Learning Exchanges delivered.
	Outcome 2.3: IPLC organizational capacity increased to formulate sustainable financing strategies.	Output 2.3.1: Financial Opportunity Analysis completed. Output 2.3.2: Capacity Building in Sustainable Financing delivered.
Component 3: IPLC Leadership in International Environmental Policy: Building the pathway from local action to global impact through targeted engagement in international environmental policy and relevant international platforms.	Outcome 3.1: Strengthened influence of IPLCs in relevant regional and international decision-making processes.	Output 3.1.1: ICI Policy Coordination Mechanisms developed to support IPLC engagement across Rio Conventions and other fora. Output 3.1.2: ICI International Environmental Policy Negotiations Curricula developed and delivered. Output 3.1.3: ICI International Environmental Policy Fellows Program established and supported. Output 3.1.4: IPLC representation and recognition increased at the Rio Conventions and other relevant international conventions and platforms.
Component 4: ICI Knowledge to Action: Transforming Inclusive Conservation Knowledge and Lessons Learned into demonstration models that expand support and advance field of IPLC-led conservation.	Outcome 4.1: The field of IPLC-led conservation advanced with improved knowledge management.	Output 4.1.1: ICI Knowledge Management Platform established. Output 4.1.2: ICI Knowledge Products developed with IPLC organizations. Output 4.1.3: ICI Community of Practice established and supported.

Components	Expected Outcomes	Expected Outputs
	Outcome 4.2: Expanded audience engaged in IPLC-led conservation.	Output 4.2.1: ICI communications strategy developed based on needs assessment. Output 4.2.2: ICI Communications Program executed. Output 4.2.3: ICI communications training provided to project partners, reflecting gender mainstreaming.

2.3. Description of Component 1

Component 1 will establish on-the-ground projects in 9 Inclusive Conservation Priority Geographies (ICPG), representing a diverse range of contexts and ecosystems (landscapes and seascapes) with high biodiversity value and potential to deliver GEBs. At least 80% of ICI project component funds will support IPLC organizations under Component 1. All ICI project grants will integrate gender responsive strategies. Funds will flow to IPLC-led activities through a three-tiered flexible and adaptable granting portfolio.

Opportunities to advance IPLC-led conservation are present across a wide range of regions and ecosystems. Subproject geographies in which to demonstrate the potential of IPLC-led conservation are those where indigenous peoples and local communities hold large areas of high-biodiversity land under traditional governance systems (which may or may not have formal legal recognition). These include large areas of tropical forest as well as mountain, temperate and boreal forest, drylands and grasslands, and coastal and marine ecosystems.

A brief description of the outputs under Component 1 are listed below.

Table 2: Description of Outputs in Component 1

Outputs	Description
Outcome 1.1.: Inclusive Conservation Initiative (ICI) subprojects are led by IPLC organizations.	
Output 1.1.1.: IPLC organizations in ICI Subproject Geographies contracted to lead subprojects.	Building on the EOI and subproject selection processes conducted during the PPG phase, the ICI will finalize contracting arrangements with ICI subproject lead organizations. Doing so will involve verifying shared understanding of the ICI and subproject objectives and targets; execution arrangements and reporting requirements; and roles and responsibilities within the overall ICI framework. It also will involve clear definition of the subproject-specific process for developing the ICPG Impact Strategy (Output 1.1.2), including stakeholder identification and consultation and participatory planning.
Output 1.1.2.: Subproject Impact Strategies finalized to guide project implementation.	The IPO Executing Agencies will work with IPLC and other partners in each subproject to further develop their expressions of interest into an Impact Strategy for ICI subproject investments. The Impact Strategy will ensure that investments achieve transformational

Outputs	Description
	impact that contributes to the global environmental benefits sought by the project. Strategies will be highly adapted to each context and shaped to add value to other relevant interventions. As already articulated in each Expressions of Interest, strategies will address the main categories of strategic action described in Output 1.1.3-1.1.6 (enhancing IPLC rights and governance of natural resources; improving management of natural and cultural resources in IPLC Lands and Territories; addressing the drivers of environmental degradation affecting IPLC sustainable development; and support the economic and financial sustainability of IPLC-led conservation). Strategies will emphasize transformative impact through interventions such as strengthening land and natural resource management systems (including sustainable forest and wildlife management); addressing barriers to recognition of land and resource tenure and equitable access; establishing new indigenous and community conserved areas; improving equitable benefit sharing; enhancing women's economic empowerment, leadership and access to productive resources; and promoting intergenerational knowledge transfer and social inclusion. Strategies will also identify partnership opportunities and long-term financial mechanisms as defined through an Opportunities Analysis. Each Impact Strategy will be reviewed and approved by the ICI Steering Committee and evaluated and adapted as part of annual work planning processes. Impact Strategies will be gender inclusive, and will include monitoring and evaluation (M&E) plans to track the achievement of results through grant activities
Output 1.1.3: Activities implemented for enhancing IPLC rights and governance of natural resources.	In line with the Impact Strategies for each subproject, ICI grants will invest in measures to enhance the security of IPLC land and natural resource tenure, and respect for traditional governance and knowledge systems. These measures may focus on actions to address national policy and institutional enabling conditions for increased security and site-based measures such as mapping. Indicative activities include support for policy and legal services to address rights issues, strengthening collaboration with local and national governments to enhance IPLC rights and governance of natural resources, or support to implement the procedures required for recognition of land, territorial or resource rights under national legislation. Ensuring the equitable rights and access of IPLC women to resources will be an integral part of these activities.
Output 1.1.4: Activities implemented for improving management of natural and cultural resources in IPLC Lands and Territories.	Depending on needs defined through Impact Strategies for each ICPG, transformative impact activities may include the community-based management of natural resources including wildlife, transfer and application of traditional knowledge systems relevant for environmental stewardship, spatial and land use or

Outputs	Description
	territorial planning (including social and natural resource mapping), development of "life plans" and other community visions for sustainable development, technical support for sustainable productive activities, and conservation measures such as forest restoration, and monitoring and enforcement measures. Recognition and support for indigenous and local knowledge and practices for conservation and sustainable use will be a key focus across these activities, along with inclusion of indigenous women in leadership and decision-making regarding land and natural resources.
Output 1.1.5: Activities implemented for addressing the drivers of environmental degradation affecting IPLC sustainable development.	ICI sub-grants will support IPLC initiatives to address emergent issues driving environmental degradation in subproject geographies, such as potential impacts of infrastructure development, primary resource extraction, and large-scale agriculture investment. Focal sectors and approaches will be identified through the Impact Strategies but may include support for increased IPLC presence and influence in national policy and planning for large-scale development, measures to strengthen consultation and Free, Prior and Informed Consent (FPIC) processes, or precedent-setting benefit-sharing agreements. The project will seek to support innovative approaches that enable IPLC land holders to engage in dialogue and decision-making with national governments on development agendas relevant to their lands, territories, resources and waters.
Output 1.1.6: Activities implemented to support the economic and financial sustainability of IPLC-led conservation.	ICI grants will support activities that unlock or generate the financial resources IPLCs need to sustain their livelihoods and roles as environmental stewards. This may include income-generating sustainable production activities or innovative and culturally appropriate financing mechanisms such as IPLC trust funds and payments for ecosystem services. Other illustrative measures include business incubators for small and medium IPLC enterprises that support enterprise development and connect owners to mainstream financing. Activities will include a focus on women's economic empowerment. Activities will be informed by an Opportunities Analysis and oriented to benefit IPLC women and men through long-term approaches that enable self-determined land and resource governance and help reduce dependence on external donor support (See Gender equality and Women's empowerment section).
Output 1.1.7: ICI subproject governance structures designated and supported.	As part of the enabling conditions for Impact Strategy implementation, the ICI will support each subproject to ensure there are designated IPLC-led governance structures to take responsibility for implementation
Outcome 1.2.: Inclusive Conservation Initiative (ICI) subprojects are led by IPLC organizations.	
Output 1.2.1: Capacity assessments and capacity building plans of ICI subproject lead organizations in subproject geographies prepared.	A capacity building plan will be customized for each IPLC grantee, based on an assessment, addressing needs ranging from technical competencies to project and funds management. Plans will focus on building

Outputs	Description
	long-term capacity and will include a gender analysis and gender mainstreaming. Where lead IPLC organizations in subproject geographies do not yet have capacity for the financial management required of GEF Executing Agencies, capacity building plans will include a particular focus on building this capacity. For this work, IPLC Executing Agencies and partners will be able to draw on assessment tools, action plan design tools, and support from the IPLC Inclusive Conservation Learning Academy (ICLA; see Output 2.1.2).
Output 1.2.2: Capacity-building activities delivered to ICI subproject lead organizations in subproject geographies	The ICI will support or facilitate implementation of customized capacity building plans designed through Output 1.2.1. Experiential learning will link hands-on experience to capacity building topics, significantly increasing IPLCs opportunities to build skills in project management and implementation and in technical topics related to their grant's focus. IPLC partners will have access to curricula and support from the ICLA, for capacity building using methods best suited to the context and organization, including through online courses, learning exchanges, or sessions conducted by local experts. ICI will develop, adapt and test, with IPLC partners, a modified Management Effectiveness Tracking Tool (METT) as well as governance scorecards to measure improved management capacity and results.

2.4. Sites for implementation of Component 1

Subproject geographies for the ICI project have been identified during the PPG phase through an inclusive consultation process with IPLC organizations, grounded in and guided by a clear and transparent set of selection criteria. At the PIF stage, a set of Candidate Geographical Regions were identified based on broad, initial criteria and consultations with the GEF's Indigenous Peoples Advisory Group (IPAG) and GEF Secretariat. These Candidate Geographical Regions provided the basis for the Expression Process using progressively more refined criteria and broader consultations. CI and IUCN issued a call for Expressions of Interest and had over 400 responses from IPLCs around the world. The further definition and refinement of project sites will happen in year 1 with the subproject proposal development.

The following criteria was used in the evaluation of the expressions of interest (EoI):

I. Experience & strengths relevant to the proposed Indigenous territory, landscape/seascape **(30 points)**;

   In the following areas:

   a. Importance of the Indigenous territory, landscape/seascape for biodiversity, with additional consideration to climate benefits.

   b. Geographical focus in an area managed by IPLCs under traditional governance systems.

   c. Vulnerability of the proposed IPLC lands/waters/natural resources to threats.

d. Opportunities for ICI results – including enabling policy conditions, positive government support and presence of successful IPLC-led conservation initiatives that could be scaled up.

e. Co-finance and synergies with existing investments.

f. Long term sustainability of proposed approach.

Note: Consideration were also be given to including a diversity of regions, ecosystems, cultures, and ways of life across the portfolio as a whole.

II. Quality and ability of the proposed approach and interventions to achieve transformational impact that generate the global environmental benefits **(40 points)**,

In the following areas:

a. Quality of proposed approach and ability to support traditional structures, knowledge and community practices in the delivery of global environmental benefits.

b. Potential of the proposed activities to achieve IPLC-led transformational impact that generate global environmental benefits.

c. IPLC-led conservation that advances national and global environmental priorities.

d. Demonstrated gender mainstreaming in all activities.

e. Innovation and Potential to scale up.

III. Qualifications and experience of the Organization **(30 points)**, In the following areas:

a. Indigenous Peoples or Local Community organization legally recognized under national laws.

b. Demonstrated on the ground leadership related to Indigenous Peoples and/or Local Community Conservation.

c. Proven relevant experience in working with IPLC' networks, alliances and organizations/ strength of partnerships on the ground.

d. Technical expertise and capacity to address environmental problems, root causes and barriers.

e. Project Management capacity.

f. Past project performance

The 10 selected landscapes are described below:

- **Fvta Mawiza Biocultural Territory (Argentina):**
  - *Environmental context and global significance:* the Fvta Mawiza Biocultural Territory contains glaciers, river sources and a complex network of basins, lakes and lagoons next to the Andean Patagonian forests or the so-called "cold forest" where the mountain forests predominate. The territory is also located in the Valdiviana ecoregion, which is characterized by evergreen forests of multiple strata and for being the only temperate rainforest in South America. Due to its geographical isolation, it stands out for its high number of endemic species and for being a refuge for the flora Antarctica Antigua.

- *Socio-economic and cultural context:* The Mapuche people, before the arrival of the Spanish and the creation of the states, developed their own socio-political organization and a complete and complex territorial structure, inserted in a "universal whole", with divinities and powers that morally sanctioned the right over which one should live in harmony with nature, animal, mineral, vegetable and human. At present, many of these practices have become less regular, but the central elements of the az mapun (Mapuche normative system) still remain within the lof, now called communities. The Mapuche culture has resisted consecutive efforts to eradicate, dominate and later - through various public policies - to assimilate and integrate the Mapuche people into the nation states of Chile and Argentina. Both states are superimposed on the so-called Wallmapu (land that surrounds us), where social and cultural knowledge and practices are kept alive, with an oral tradition maintained by generations. This is intimately linked to the Wallmapu, meaning mountains, forests, rivers, among many other forms of life. Protected areas were created in this area without the prior, free and informed consent of the Mapuche people and in some cases through military force and eviction. The Mapuche people are looking to move towards full or shared governance of these areas. The Mapuche concept of life is rooted in and guided by the communal, by the collective, since what happens to one of the newen (nature spirits) also has repercussions at the collective level, and therefore at the level of all the spatial dimensions of the territory.

❖ **Fvta Mawiza Biocultural Territory (Chile):**

- *Environmental context and global significance:* With the same environmental context described above for the Argentinean side of the territory, it can be added that Chile's extreme range from the northern Atacama Desert to southern Patagonia creates very varied landscapes, with recent analyses identifying 30 ecosystems. Ecosystems dominated by native vegetation cover 76 percent of the continent, with another 17 percent covered by desert ecosystems. The central and southern regions of the country are considered a biodiversity hotspot and are highly threatened.
- *Socio-economic and cultural context:* As described above.

❖ **Southwest Amazon (Peru):**

- *Environmental context and global significance:* This area is located in the Southwest of the Amazon in Peru and corresponds to the Madre de Dios river basin (departments of Madre de Dios and Cusco)The altitudinal gradient ranges from 250 meters to 4,000 meters above sea level, with precipitation ranges between 1,500 and 6,000 and mm/year, which gives it a high degree of ecological fragility. This implies the existence of a mosaic of extraordinarily rich tropical rainwater ecosystems. The protected areas included (Manu, Amarakaeri, Bahuaja-Sonene, Tambopata), are part of the Vilcabamba-Amboró Conservation Corridor, and are recognized as a hotspot among the most biologically rich on the planet. This area contains a high percentage of the biodiversity of Peru, including a high number of endemic species of flora and fauna. It is extraordinarily important for the maintenance of ecosystem services of enormous local, regional and global value, including provision of resources, carbon sequestration, and watershed regulation.

  Socio-economic and cultural context: The subproject proposes to strengthen four “Territories of Life”, conserved by 4 indigenous peoples groups in Peru, including groups in isolation and initial contact. On the Peruvian side of the Madre de Dios River basin, there is no legal recognition of the right to territory of indigenous peoples. This context

allows for the granting of rights to third parties, limiting the exercise of self-determination and self-management, and generating conflicts between communities and external actors. The subproject area includes part of the territory of the Mashco Piro people in isolation and contributes to the protection of a cross-border area in Peru and Brazil of more than 8 million hectares, known as the PIACI Pano Arawak Territorial Corridor. Conservation models focused on rights, identity and territorial claims have gained momentum as a result of the formation of four ethnic organizations, representative of the four peoples: the Ese Eja Nation (2013), the Harakbut Nation (2016), the Matsigenka People of Manu National Park (2017) and the Yine Nation (2018). These new organizational forms claim the ethnic identity of their members and seek to consolidate and formalize themselves as interlocutors with the Peruvian State in larger territories that include highly biodiverse protected areas (Manu, Amarakaeri, Bahuaja-Sonene, Tambopata) and actively participate in their conservation and governance.

- **Indigenous Territories Ru K'ux Abya Yala (Guatemala, Panama):**
  - *Environmental context and global significance:* The Central American (CA) region has 8% of the world's biological diversity, distributed in 206 ecosystems, 33 ecoregions, 20 life zones and 12% of the coasts of Latin America and the Caribbean, including 567,000 ha of mangroves and 1,600 km of coral reefs. The CVK and K'iche' are part of the broadleaf, cloud, pine and oak forests and grasslands that are part of the Zunil, Atitlán and Balam Juyu Biocultural Corridor, which are rich in endemic biodiversity of fauna in the North American region. Lachuá, Q'eqchi territory, is an ecoregion of broadleaf forests and a Ramsar site, of 100,000 hectares. It has connectivity with the Blue Mountains of Chiapas Mexico, is the second model forest of Guatemala and is part of the Ibero-American model forest network. It represents more than 50% of Guatemala's biodiversity, the majority of which are endangered species. The Río Dulce region has biological connectivity and is home to species of regional endemic importance. The Guna Yala region covers 751,300 hectares of continental and marine areas. It is a high priority ecoregion for the conservation of global diversity and functions as a biocultural corridor in the Isthmus, with about 70% forest coverage, 30 species of reptiles, 440 species of birds, and other tropical forest species. It also has coral reefs, mangrove ecosystems, extensive networks of reefs and shallow water seagrass beds of the continental platform, of importance in the biographical coast of the Northwest Atlantic and the central Caribbean bioregion.
  - *Socio-economic and cultural context:* The areas in this subproject are under different modalities of use, management and conservation of natural resources; in the case of the Mayan (Kaqchikel, K'iche', Q'eqchi') and Garifuna peoples they are under a system of collective indigenous management and shared management, and for the Guna case it is being managed by an indigenous system led by regional congresses. Central America has 948 terrestrial and marine protected areas, with an extension of 245,857 km2, of which approximately 39% is located in indigenous territories, such as the Mayan forest, parks municipal regions, Bosawas, Tawahka, Guna Yala and Darien biosphere reserves, resulting in a shared management and governance between protected area systems and indigenous territories. Indigenous governance in each region is based on their own traditional forms of organization and governance, local committees, ancestral brotherhoods, organization of spiritual guides, indigenous community, territorial councils, development councils or county congresses. Economic activities include agroforestry, annual and permanent rotating and intercropping agricultural crops,

collection of low-impact non-timber products, traditional fishing systems in medium deep and calm zones (near reef and mangrove areas specifically of the Guna people.

- **Annapurna Conservation Area (Nepal):**
    - *Environmental context and global significance:* The Annapurna Conservation Area (ACA) in Nepal holds extremely high biodiversity including 1,226 species of flowering plants, 105 mammals, 518 birds, 40 reptiles and 23 amphibians. Within a vertical north-south span of 150km, Nepal's altitudinal range varies from 60m-8,848m above sea level. This divides the country into 5 ecological zones, making it a country with a huge variation in physiographic and climatic conditions and one of the top-ten global biodiversity hotspots (NTNC, 2019). There are several features that make the Annapurna region a unique place in the world. It has the world's deepest river gorge—Kali Gandaki Gorge, which is 3 miles long and 1.5 miles wide, is a valley with fossils from the Tethys Sea dating 60 million years ago. The region contains the world's largest rhododendron forest in Ghorepani. Tilicho lake, located in Manang, north of Annapurna massif, is the world's highest altitude fresh water lake (NTNC, 2019).
    - *Socio-economic and cultural context:* The Annapurna Conservation Area is inhabited by a fairly large population density of indigenous peoples comprising of 120,000 residents of different cultural and linguistic groups. Gurung and Magar ethnicities are the dominant groups in the south, whereas Thakali, Manange and Baragungle are dominant in the north. The proposed territory of the Annapurna Conservation Area has been managed for nearly three and a half decades now under a community stewardship model by the National Trust for Nature Conservation (NTNC), a semi-government agency. The handover of the conservation area to communities was planned for 2012 and then again with the new constitution of Nepal which came into effect in 2015. Devolution of the governance system under the new constitution sparked another demand by the newly formed local rural municipalities to take over the management of the ACA in 2018. While disputes and discussions between NTNC, ACAP and the local government were settled, NTNC's mandate of managing ACA through ACAP was further extended for one more year (January 2021) by a decision of the cabinet. NTNC and its ACAP program also envisions that the ACA will be transferred to and managed by the indigenous peoples and local communities through a Council, and the ICI project will support the transfer process and the capacity of indigenous institutions to take on management of the conservation are.

- **Ewaso Ng'iro River Basin (Kenya):**
    - *Environmental context and global significance:* The Ewaso Ng'iro River Basin extends from the northwestern slopes of Mount Kenya across the Laikipia Plateau to the arid rangelands in the north and northeast. The River Basin crosses seven political counties in Kenya, including Meru, Laikipia, Samburu, Isiolo, Wajir, Marsabit, and Garissa. It extends between longitudes 36° 30' and 37° 45' east and latitude 0° 15' south and 1° 00 north and forms part of the larger Juba basin, which covers an area of 47,655km2 in Kenya, Ethiopia and Somalia. The Ewaso Ng'iro River Basin is characterized by several distinct ecological zones. The basin begins on the slopes of Mount Kenya, which are humid and forested. It then progresses towards the semiarid Laikipia Plateau and the arid northern rangelands. The basin consists of 92% dryland ecosystem (Silvestri et al. 2013). These drylands contain a variety of endemic animal, plant, and microbial species that have developed special strategies to cope with the low and sporadic rainfall and the extreme variability in temperatures that prevail in dryland ecosystems (IUCN 2011). The Ewaso Ng'iro River

Basin contains significant levels of biodiversity. By some estimates, there are over 95 species of mammals, 550 species of birds, 85 species of amphibians and reptiles, 1,000 species of invertebrates and 700 species of plants in the area (LWF 2012). The River Basin is a stronghold for several species of conservation interest. The slopes of Mount Kenya and Laikipia Plateau host 4 threatened bird species and 6 threatened mammal species, including the African elephant, black rhino, leopard, giant forest hog, bongo, and black-fronted duiker. Kenya's rarer northern species can be found in the lowlands, including the oryx, gerenuk, reticulated giraffe, Somali ostrich and Grevy's zebra. Both the Grevy's zebra and reticulated giraffe are listed as endangered on the IUCN Red List.

- *Socio-economic and cultural context:* Pastoralist groups place their ancestors in the Ewaso Ng'iro River Basin as early as the 1600s. Since this time, they have practiced a highly specialized form of transhumance pastoralism, which involves a high degree of mobility and little to no cultivation. Rather than combining animal husbandry and crop cultivation, pastoralist communities in this region have traditionally relied on constant movement, allowing access to different areas depending on rainfall and resource availability and preventing overuse of resources as well. Agreed upon land and resource governance systems are followed, such as restricting access to certain areas during the wet season so these resources would be available when drought set in. The territory itself, along with the management of natural resources, is governed by traditional authorities, which include elders, age-set leaders and spiritual leaders. Together, these authorities act as a community legislative mechanism or process that is responsible for advising on the use of natural resources, with each group charged with different responsibilities. Traditional IPLC governance systems exist in the region, but these systems have been weakened and supplanted over time by colonial and post-colonial government legislations and policies.

❖ **Northern Tanzania (Tanzania):**

- *Environmental context and global significance:* The Northern Tanzania rangelands represent a globally significant ecological system that supports a rich diversity of wildlife and people, including the Akie, Datoga, Hadzabe, Iraqw, and Maasai. This savanna landscape provides a vital function for wildlife, while remaining integral to the livelihoods and cultures of indigenous groups. Broadly speaking, the project area extends across critical areas of rangeland connectivity south and east of the greater Serengeti – Ngorongoro and make up the northern and southern most extents of the Tarangire – Manyara ecosystems. This area is most known for its extensive wildlife migrations including over 4,000 elephants and around 20,000 zebra and 20,000 wildebeest. The area maintains several diverse ecological features, including three large soda lakes, afro-montane forests atop Great Rift valley volcanic mountains, short grass plains and seasonal wetlands, dense woodlands and acacia forests, and riverine systems.
- *Socio-economic and cultural context:* Roughly 80 percent of all wildlife habitat in the Northern Tanzania landscape is held as community lands by indigenous people. Over the years, pastoralists and hunter-gatherers have lost their land due to immigration, agricultural expansion, and protected areas, such as national parks, and game reserves, that exclude or displace people. The remaining lands are therefore of utmost cultural importance. Indigenous livelihoods depend on healthy rangelands to support hunter-gatherer and pastoralist activities and Tanzania's tourism economy, a major economic driver in the region. Supporting indigenous livelihoods compatible with nature and maintaining traditional and culturally derived value means maintaining access to water,

wild fruits, tubers and roots, honey, and wildlife for the hunter-gatherers like the Hadzabe and Akie. For pastoralists such as the Maasai, Datoga, and Iraqw, this means pasture first and foremost, as well as salt licks, water, and forest products such as fuel wood and medicinal plants. Maasai pastoralists are the most widespread indigenous group on the landscape. Their traditional livelihoods are based on season movement of livestock across the rangelands in synchrony with rainfall. Separate from livelihoods, these lands hold deep cultural significant for people that, for centuries, have been tied to places, including sacred forests and mountains such as the Oldonyo lengai mountain of God. Tanzania's legal framework recognizes IPLC ownership and control over lands. Moreover, the law also enables the establishment of community forestry projects.

- **DR Congo (Democratic Republic of Congo):**
  - *Environmental context and global significance:* The DRC is one of the world's megadiverse countries, with high levels of endemism, freshwater, and forest resources. The project area in Eastern DRC falls within the Eastern Afromontane Biodiversity Hotspot, which is spread over a million square kilometers, and provides vast ecosystem services and a habitat to over 100 endemic mammal species, among others. Key Biodiversity Areas (KBAs) within the country are protected at a rate below the global average, 40.01 to 44 percent, respectively. There are several large KBAs outside of/or partially within Protected Areas (PAs) found in the East and Center of the country; and include: Kokolopori, Marungu highlands, Itombwe Mountains, and Lake Kivu catchment (DRC). The proposed project intersects with several of the KBAs that have been highlighted as top priorities in DRC based on relative biological importance.
  - *Socio-economic and cultural context*: Indigenous Peoples make up around 3% of DRC's population and range from nomadic or semi-nomadic hunter-gatherers, to those who have settled and are farming or engaged in other commercial activities. Forest-dwelling communities are heavily reliant on natural resources for survival, but growing pressure on fragile ecosystems is increasing food insecurity and deepening poverty amongst some of these most vulnerable communities on Earth. The DRC's legal framework currently provides limited grounds for the recognition of IPLC control over forests - through community protected areas and concessions, rather than through IPLC ownership of lands or other resources. However, reforms are underway to address this, and some sub-national initiatives are also advancing toward the recognition and formalization of customary land rights (RRI. 2020. Opportunity Framework). According to Landmark, 86% of customarily-administered lands have yet to be recognized. The national government has set a target of putting 2.4 million ha of forests under community management by 2023; as of 2020, it had reached half of its target. At the sub-national level, several provincial-level authorities have also expressed an interest in supporting the recognition of IPLC control over forest (RRI. 2020. Opportunity Framework).

- **Fiji Lau Seascape and Cook Islands (Fiji, Cook Islands):**
  - *Environmental context and global significance:* The Cook Islands consist of fifteen islands spread over roughly 1.9 million km2 of ocean. The marine biodiversity of the Cook Islands is globally exceptional, home to seabirds, coral reefs, coastal and lagoon habitats, and a range of migratory species including sharks and whales. With limited pressure on its marine resources, there is a positive trend in coral cover increase, despite documented incidence of bleaching events and ocean acidification (Cook Islands, 2018). To conserve

these remarkable resources, the Parliament of the Cook Islands passed the EEZ-scale Marae Moana Marine Park, created in 2017, with roughly 324,00 0 km2 earmarked for higher levels of protection, making it the largest multiple-use marine protected area in the world at the time of its passage. Fiji consists of more than 300 islands, most of which are volcanic, and about 100 of which are inhabited, covering a total land area of 18,376 km2 and an EEZ of 1.29 million km2 of ocean. The Lau Seascape estimated at 335,000 km2 is Fiji's most remote archipelago among its constellation of islands. Lau is renowned for its biodiversity significance and has been declared a significant Marine Ecoregion (Heaps, 2005). Global analyses of marine biodiversity consistently place the Lau archipelago among the highest priorities for conservation, as a hotspot for species richness (Selig et al. 2014; Trebilco et al. 2011; Tittensor, et al. 2010) and species endemism (Selig et al, 2014), housing species nesting and breeding for endemic birds, insects, snakes, green and hawksbill turtles as well as the endemic clam and migratory paths of mega cetaceans.

- *Socio-economic and cultural context:* In the Pacific, land and land-based resources belong to IPLC people - in Fiji, over 87% of land is owned and managed by indigenous peoples while in the Cook Islands, an estimated 20% of the land is customarily owned - while the ocean belongs to the State. Despite this legal designation of ocean rights, governments and other stakeholders recognize that customary stewardship of the ocean has existed for centuries, grounded in strong cultural links with the ocean including traditional ocean voyaging. In Fiji, traditional leadership in the Lau Seascape is arguably stronger than in other more accessible areas in the country and is maintained through the Bose Vanua and the Provincial Council. The geographic isolation of the Lau Seascape has enabled chiefly leadership to remain intact. The Cook Islands maintains intact traditional governance systems that are recognized by the formal government through the House of Ariki, which was formally established in 1966 with ten chiefs. The House of Ariki is a traditional hierarchically ranked leadership system characteristic of Polynesian culture. The House of Ariki (equivalent to the Great Council of Chiefs) is strongly supporting implementation of the Marae Moana Marine Park, and is one of nine members on the Marae Moana Council. Communities within both Lau and the Cook Islands have expressed an increasing need for cash income. With few economic opportunities, youth in these isolated islands now look to the mainland for their future, resulting in significant youth migration. The subproject will strengthen shared cultural traditions and stewardship approaches between Fiji and the Cook Islands, as well as Samoa, grounded in their shared ancestry as descendants of the Lapita people (ancestors of historic cultures in Polynesia, Micronesia, and some coastal areas of Melanesia).

- **Thailand (Thailand):**
  - *Environmental context and global significance:* The total landmass of Thailand is 51. 12 million hectares, it includes 25 principal watersheds and 16.347 million hectares of rain-fed forest, which amounts to 31.86% of the country's area. The area of the subproject covers 5 principal watersheds, 21 sub-watersheds, and 2 broad regions, north and south. The total project area is 429,667.34 hectares. These areas have significant importance with respect to biodiversity, reduction of greenhouse gas emission, and are rich in natural resources needed by the indigenous groups for their sustenance and livelihood. The geographical areas included in this project have a relatively healthy forest. In some places, the forests are 70% healthy with regard to forest cover and wildlife diversity, such as upper Mae Tae, Mae Pae, Mae Yod, Mae Lai, Huay Mae Lid and Mae Lan Kham

watersheds. Studies and surveys of biodiversity by IMPECT over 320 hectares during 2016 to 2019 in Mae Tae village, show that the conservation area remains biologically healthy. It also showed the appearance of the rare Rafflesia plant and more than 27 types of vines among 60 varieties of plants, and the tracks of 25 forest animal breeds and 20 insect species. The Pgakeunyaw Association for Sustainable Development [PASD] found more than 111 species in Mae Yod community.

- *Socio-economic and cultural context:* The subproject area encompasses 77 indigenous communities of 7 ethnic groups in Thailand, namely, Karen, Hmong, Lisu, Lahu, Iu Mien, Akha, and Mani. Thailand's legal framework allows for some recognition of IPLC use of lands (community title) and forests (community forests). According to Landmark, there is no data on the total area claimed by IPLCs. Many protected areas have been established despite the presence of indigenous communities within such areas. Indigenous peoples have not been recognized for many years in Thailand, they have been considered as "wards of the king" not as citizens. This is slowly changing with the government supporting cultural activities during International Day of IPs. The rotating agricultural practice of indigenous peoples has been used as a reason to evict indigenous communities from their territories, claiming that such a practice is destroying the forests and contributes to climate change. The area is an important resource base for community food production, for example, the collection of forest mushrooms, gardens and orchards, and wet and field rice cultivation, provides food and income to inhabitants. In the south, the 12 Mani communities are hunter-gatherers and their culture and lifestyle are different from other indigenous groups. The Mani communities do not accumulate food for future consumption and, thus, they are more mobile and use wider areas in comparison to the agriculture-based communities.

2.5. Institutional framework for implementation of Component 1 of the ICI

The Inclusive Conservation Initiative will be implemented and overseen through a set of institutional arrangements that maximize IPLC voices, authority and roles while also ensuring programmatic and financial management in accordance with GEF Implementing Agency requirements.

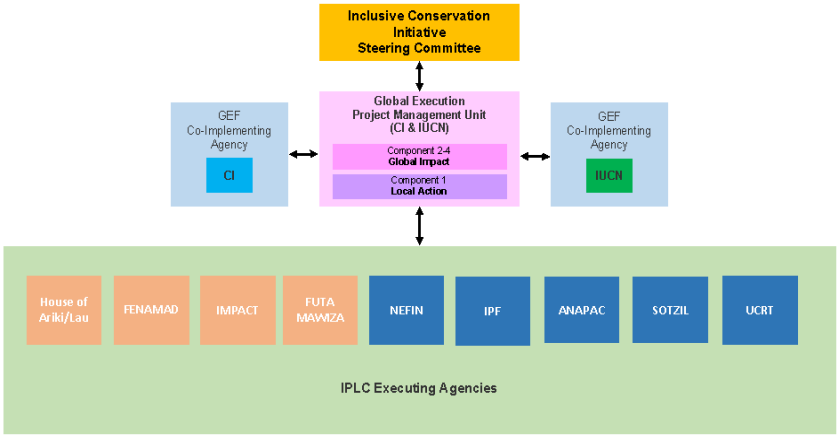
The primary focus of ICI delivery and financing is to nine ICI subprojects. IPLC Executing Agencies leading each of these nine ICI subprojects have been pre-selected as part of the project preparation process and will be contracted through sub-grants in the first phase of implementation (Output 1.1.1). The project will ensure that Executing Agencies meet the GEF Minimum Fiduciary Standard requirements as approved by the GEF Council as part of the contracting process and prior to disbursement of funds. In any case where a pre-selected IPLC organization may not have the necessary financial systems in place to act as an Executing Agency and manage the level of funding needed for project activities, another organization – agreed to by the IPLC Partner – may serve as Executing Agency (EA) to provide the required financial systems and support. In all cases, IPLC organizations will strengthen their organizational capacity (e.g., in terms of financial management structures) to serve as an EA. Project implementation will include measures to build that capacity (under Outcome 1.2 and 2.1). Execution of all project components will be done in collaboration with a range of local and global partners with specific areas of expertise needed for delivery of project outcomes.

Through the project, CI and IUCN will support IPLC organizations in building their execution capacity and will only take on limited roles in on-the-ground project execution, in consultation with the subproject

Executing Agencies and project Steering Committee, where IPLC limitations or EA minimum fiduciary standards and or efficiencies would necessitate such execution roles, while in tandem, capacities are further developed.

The institutional arrangements for the project are summarized in the following diagram and further described in the following text.

Diagram of Institutional Arrangements for the Project



*Orange denotes CI adminstrative oversight
* Blue denotes IUCN administrative oversight

- Steering Committee: A global Steering Committee (SC) will lead the governance of the ICI. As outlined in the Steering Committee ToR (see Annex 1), the SC will be composed of senior IPLC representatives, supported by a GEF Secretariat staff member and two representatives from the PMU. Key roles and responsibilities of the SC will be to provide strategic guidance on ICI approaches and partnership, review and provide inputs to project work planning, approve annual work plans and budgets, and provide guidance on the development and implementation of key project outputs. To facilitate successful project execution, SC members will also advise on and may support global, cross-cutting capacity and policy engagement activities in accordance with their interests and areas of expertise. It is further anticipated that the SC will serve as "ambassadors" for the ICI through outreach and communication to key audiences, such as global IPLC networks, funders and global institutions, to maintain and expand partnerships that support IPLC action in their lands and territories.

  The SC will assume authority at the inception of the project, replacing the Interim Steering Committee (ISC) that has operated for the project preparation phase. The ISC has included GEF IPAG members and other IPLC leaders as well as a representative from the GEF Secretariat, supported by Implementing Agency staff. This ISC has informed and advised on full project development, including design and implementation of the project development process and selection of geographies and

subprojects. The ISC has also advised on the Terms of Reference of the Steering Committee to oversee ICI implementation. Members of the project Steering Committee will be identified together with IPLC Executing Agencies/subproject leads prior to full project inception.

- Project Management Unit: The project will establish a Project Management Unit (PMU) across Implementing Agencies to serve a Global Executing Agency function. This PMU will have day-to-day responsibility for the global project, including oversight of sub-grants to the IPLC Executing Agencies and coordination of cross-cutting global project components. Coordination of the cross-cutting components will focus on creating and facilitating a platform for the IPLC Executing Agencies and other IPLC project partners to engage in global capacity-building, policy, communities of practice and knowledge development and communications. Delivery of cross-cutting component activities will also be undertaken with a range of IPLC and technical partners who bring skills, experience and expertise in areas such as policy negotiations, financing systems, research on IPLC-led conservation, capacity-building and communications.

  Linking management of sub-grants and facilitation of cross-cutting activities through the PMU will maximize synergies and efficiency in project management and delivery of project outcomes. Direct contacts and engagement with the Executing Agencies and other IPLC partners in subproject geographies will enable a consistent flow of information to shape cross-cutting capacity building activities under Component 2 and facilitate links to partners with relevant specialist expertise. PMU roll up of results and evidence of global environmental benefits from subprojects will link directly to cross-cutting efforts to document models and build the case for IPLC-led conservation approaches under Component 4. This work of the PMU will build on the experience of both IUCN and CI in facilitating responsive platforms to advance the rights, agendas and roles of indigenous peoples and local communities in conservation.

  The PMU will house core project functions supporting efficient and coordinated delivery of global project responsibilities. These functions include (see ToRs for further details):

  - Project management
  - Project technical guidance and support
  - Finance and grants management and administration
  - Monitoring and evaluation
  - Targeted technical expertise, including on gender and environmental and social management/safeguards

  To ensure efficiency, lead responsibilities for different areas of the project have been assigned respectively to CI and IUCN. In particular, as shown in the diagram, IUCN will provide administrative oversight and ensure related technical and capacity support to five of the ICI subprojects, while CI will provide administrative oversight and ensure related support to four subprojects. IUCN and CI PMU personnel will also play defined roles in facilitating delivery of specific outputs within Components 2-4. To ensure coordination, staff comprising the PMU from each organization will hold regular monthly meetings to ensure the progress of global activities in accordance with the SC-approved annual work plan (in addition to any meetings required for the ongoing delivery of activities). PMU personnel will also establish effective mechanisms to ensure communication and coordination of complementary activities (including co-finance) across respective programs within CI and IUCN.

- Executing Agencies (EAs): Subprojects under ICI Component 1 will be led by project Executing Agencies in each subproject geography (also referred to as ICI subproject lead organizations). For the

purposes of the ICI, an Executing Agency refers to an IPLC organization partner. The primary role of these IPLC Executing Agencies will be to manage and deliver results of the Component 1 subprojects. Organizations pre-selected as IPLC Executing Agencies in the project preparation phase are:

- Fundación Ambiente y Recursos Naturales (Argentina)- supporting the consortium of Mapuche organizations and communities
- El Observatorio Ciudadano (Chile)-supporting the consortium of Mapuche organizations and communities
- Sotz'il (Guatemala) – leading the regional consortium of organizations in Guatemala and Panama.
- FENAMAD (Peru) – leading the partnership for the Southern Amazon (Peru)
-
- ANAPAC (DRC)
- Ujamaa Community Resource Team (Tanzania)
- Indigenous Movement for Peace, Advancement & Conflict Transformation (IMPACT) (Kenya)
- Indigenous Peoples' Foundation for Education and Environment (Thailand) – leading a consortium of organizations in Thailand
- Nepal Federation of Indigenous Nationalities (NEFIN) (Nepal)
- House of Ariki/ Lau execution support through CI Fiji (Cooks-Fiji)

IPLC organizations leading work in each subproject geography have developed partnerships for delivery of project activities in those areas and will further define partnerships and wider stakeholder engagement as part of the development of their Impact Strategies. They have also identified and will continue to pursue sources of co-finance for project delivery. In some subproject geographies, IPLC organizations have already formed partnerships or consortia in order to effectively execute and manage their subprojects in accordance with GEF financial requirements. In such cases, governance arrangements to ensure IPLC leadership in subproject design and implementation have been established and will be further confirmed as part of subproject contracting and development of impact strategies (Outcome 1.1).

In addition to leading the executing of subprojects under Component 1, these organizations will play key roles in the design and implementation of Components 2-4 cross-cutting activities, such as on capacity-building, financial mechanisms, global policy engagement, IPLC communities of practice and communications. They will also act as key intermediaries between local IPLC organizations and wider regional and global networks in order to promote broader engagement and dissemination of results.

- Advisory Committee: ICI will establish an advisory committee to provide periodic advice and promote synergies with other complementary projects. A term of reference will be established for the advisory committee in year one of the project and it is envisioned that membership will include organizations and entities with whom synergies have been developed through co-financing and other collaborations. Members of the advisory committee may be invited to participate in steering committee meetings and other activities as observers or collaborators. Initial anticipated members include UNDP, National Geographic, the Tenure Facility, DOCIP, Nia Tero and Global Wildlife Conservation, among others throughout the life of the project.

- Implementing Agencies: The CI and IUCN GEF Project Agencies will provide project assurance, including supporting project implementation by maintaining oversight of all technical and financial management aspects, and providing other assistance upon request of the PMU and Executing

Agencies. They will also monitor the project's implementation and achievement of the project outputs, ensure the proper use of GEF funds, and review and approve any changes in budgets or workplans. The CI-IUCN GEF Project Agencies will arbitrate and ensure resolution of any execution conflicts should any issues arise during project implementation.

3. Applicable social and environmental standards

In order to comply with GEF's Policy on Environmental and Social Safeguards, including related guidelines, policies and principles such as: Policy and Guidelines on Stakeholder Engagement, Principles and Guidelines for Engagement with Indigenous Peoples, among others; the project will apply during the entire execution the CI-GEF Project Agency's Environmental and Social Management Framework (ESMF), which is equivalent to IUCN's Environmental and Social Management System (please see equivalence table in Annex 2). IUCN has specific environmental and social standards established and guided by eight overarching principles and four standards that reflect key environmental and social areas and issues that are at the heart of IUCN's conservation approach. They form the core of the ESMS Policy Framework, which governs the ESMS and determines the minimum environmental and social requirements for IUCN projects.

For this purpose, the ESMF will be referred to as Project Safeguard System (PSS). This Project Safeguard System fulfils the minimum Environmental and Social Safeguard (ESS) Standards requirements of the GEF in the process to screen projects for all such environmental and social risks and potential impacts as well as creating more effective, efficient, and equitable conservation outcomes, through enhancing project design and delivery while prioritizing the fulfilment of rights. This framework is informed by Conservation International's Rights-Based Approach (RBA) Policy Papers which include Gender, Indigenous Peoples, Involuntary Resettlement, Partnerships, Research Ethics and Vulnerable Populations.

The PSS consists of four distinct policies:

- Policy 1: Environmental and Social Safeguards;
- Policy 2: Gender Mainstreaming;
- Policy 3: Stakeholder Engagement; and,
- Policy 4: Accountability and Grievance Mechanisms.

The purpose of the PSS is to ensure that project-related adverse environmental and social risks and impacts are avoided or, when unavoidable, minimized and appropriately mitigated and/or offset (compensated).

The Policy on Environmental and Social Safeguards consist of 10 Standards (ESS), which describe the minimum standards that each funded project must meet or exceed. They are:

1. ESS 1: Environmental and Social Impact Assessment (ESIA)
2. ESS 2: Protection of Natural Habitats and Biodiversity Conservation
3. ESS 3: Resettlement and Physical and Economic Displacement
4. ESS 4: Indigenous Peoples
5. ESS 5: Resource Efficiency and Pollution Prevention
6. ESS 6: Cultural Heritage

7. ESS 7: Labor and Working Conditions
8. ESS 8: Community Health, Safety and Security
9. ESS 9: Private Sector Direct Investment and Financial Intermediaries
10. ESS 10: Climate Risk and Related Disasters

A brief summary of the 10 Safeguards Standards is presented in Table 1.

Through the implementation of Policy 2, CI and IUCN will require an approach that enhances gender equality and equity. CI and IUCN GEF Agencies will require adherence to the PSS, and its associated policies for all projects that are implemented through the funding of GEF.

A key principle of the PSS is to follow the mitigation hierarchy, i.e. avoid, minimize, mitigate or offset any harm to the environment and to men and women by incorporating environmental and social concerns as an intrinsic part throughout the project cycle. Any identified adverse environmental and social impacts and risks will be addressed and tracked throughout all stages of the project cycle to ensure that supported activities comply with the policies and practices laid out in this PSS. Another core component of this framework is the adoption of the Precautionary Principle, which states that when a project/programme activity raises potential threats to human health or the environment, precautionary measures should be taken even if some cause-and-effect relationships are not fully scientifically established.

In this sense, the objectives of this PSS are to:

i. Strengthen the quality of programming by ensuring a principled approach;
ii. Avoid adverse impacts to people and the environment;
iii. Minimize, mitigate, and manage adverse impacts where avoidance is not possible;
iv. Strengthen CI, IUCN and partner capacities for managing social and environmental risks; and
v. Ensure full and effective stakeholder engagement, including a mechanism to respond to complaints from project-affected people.

The CI and IUCN GEF Project Agencies have 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. For this purpose, there are different roles and responsibilities to apply this framework as it is presented in the figure below which describes the major functions of the CI and IUCN GEF Project Agencies and the Executing Agency in the safeguard process during project identification, preparation and implementation.

Figure 2. ICI Summary of Roles and Responsibilities by Project Phase for all four components

Identification, Preparation Development

CI and IUCN GEF Project Agencies

- Overseeing application of the ESMF/safeguards processes including gender mainstreaming.
- Analysing the completed Safeguard Screening Form to determine safeguards triggered, including whether a full or limited Environmental and Social Impact Assessment (ESIA) is required.
- Reviewing and assessing the ESIA TOR, the ESIA document/report and project-level plans, including the adequacy of the assessment of project impacts and the proposed measures to address issues to ensure they meet applicable safeguards standards, prior to project approval.
- Approving plans based on a determination that safeguards issues have been adequately addressed. If adverse environmental or social impacts outweigh the expected benefits, CI and IUCN cannot support the project.
- Disclosing of ESIA and project-level plans through CI-GEF website.

Indigenous Peoples' Organizations & IPLC Executing Agencies

- Providing accurate, reliable and timely information required in the Project Safeguard Screening Form.
- Designing, planning, and preparing project concepts and proposals according to the ESMF requirements. This includes the responsibility and requirement to adequately budget and staff the required safeguards focal point.
- Conducting the ESIA process, and preparing of mitigation plans resulting from application of the ESMF policies.
- Implementing all required consultations with project stakeholders, including informing affected communities and explaining the project to them; incorporating feedback from and changes agreed with them; and seeking and documenting their Free, Prior and Informed Consent (FPIC).

Implementation

CI and IUCN GEF Project Agencies

- Reviewing and monitoring of implementation of project-level plans, including through project kick-off/launch workshops, supervision missions, mid-term reviews, field visits, audits, and follow-up visits as appropriate to the scale, nature, and risks of the project.
- Working with the Executing Agency to identify and plan for corrective measures that achieve the results and uphold the safeguard standards expected under each project, in cases when a project review finds that the Executing Agency is not following project-levels plans (i.e. any of the safeguards-related plans required under CI and IUCN ESMF. If these measures do not succeed in correcting the deficiencies, CI-IUCN may withhold payment, or suspend or cancel the grant, as appropriate.
- Identifying the need for and approving third-party monitoring or independent audits as appropriate.
- Disclosing project monitoring reports that include safeguard/performance, and any corrective actions.
- Disclosing completed project evaluations and results through CI-GEF website (following donor acceptance, and subject to exclusion of proprietary, confidential and personal information).

Indigenous Peoples' Organizations & IPLC Executing Agencies

- Executing project-level 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.
- Informing project-affected, local authorities, other stakeholders and the CI and IUCN Project Agencies 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.
- Incorporating feedback from project-affected parties and providing and documenting the process to seek their FPIC to any changes in the project-level plans.
- Completing Annual Project Implementation Reports (PIRs) and Annual Performance Reports (APRs) to document safeguard monitoring.
- Ensuring effective operation of a project level grievance redress mechanism and immediately informing the CI and IUCN Project Agencies of complaints that carry reputational risks to CI, IUCN or GEF.

The PSS establishes an exclusion list, which defines that projects to which one or more of the following exclusion criteria applies will not be financed:

1. Contravene major international and regional conventions on environmental issues;
2. Propose to create or facilitate significant degradation and/or conversion of natural habitats of any type (forests, wetlands, grasslands, coastal/marine ecosystems, etc.) including those that are legally protected, officially proposed for protection, identified by authoritative sources for their high conservation value, recognized as protected by traditional local communities, or have significant negative socioeconomic and cultural impacts that cannot be cost-effectively avoided, minimized, mitigated and/or offset;
3. Involve adverse impacts on critical natural habitats, including forests that are critical natural habitats, including from the procurement of natural resource commodities, except for adverse impacts on a limited scale that result from conservation actions that achieve a net gain of the biodiversity values associated with the critical natural habitat;
4. Propose to carry out unsustainable harvesting of natural resources -animals, plants, timber and/or non-timber forest products (NTFPs)- or the establishment of forest plantations in critical natural habitats;
5. Propose the introduction of species that can potentially become invasive and harmful to the environment, unless there is a mitigation plan to avoid this from happening;
6. Involve involuntary resettlement, land acquisition, and/or the taking of shelter and other assets belonging to local communities or individuals; through coercion and/or undue influence;
7. Contravene major international and regional conventions on human rights, including rights specific to indigenous peoples;
8. Propose activities that result in the exploitation of and access of outsiders to the lands and territories of indigenous peoples in voluntary isolation and in initial contact;
9. Propose the use and/or procurement of materials deemed illegal under host country laws or regulations or international conventions and agreements, or subject to international phase-outs or bans, such as:
    a. Ozone depleting substances, polychlorinated biphenyls (PCBs) and other specific, hazardous pharmaceuticals, pesticides/herbicides or chemicals;
    b. Wildlife or products regulated under the Convention on International Trade in Endangered Species or Wild Fauna and Flora (CITES);
10. Propose the use and/or procurement of pesticides and hazardous materials that are unlawful under national or international laws, the generation of hazardous wastes and effluents, and significant emissions of short- and long-lived climate pollutants;
11. Involves the removal, alteration or disturbance of any non-replicable or critical cultural heritage, or the use of any intangible cultural heritage without the Free, Prior and Informed Consent of the communities who it belongs to;
12. Include the use of forced labor, trafficking in persons, and child labor. Child labor includes both (i) labor below the minimum age of employment and (ii) any other work that may be hazardous, may interfere with the child's education, or may be harmful to the child's health or to the child's physical, mental, spiritual, moral, or social development; and
13. Involve the design and construction new dams or rehabilitation of existing dams or financing agriculture and water resource management infrastructure that are highly dependent on the performance of dams that potentially affect their performance. (The CI and IUCN GEF Project Agencies have not been accredited for the GEF Minimum Standard 7, Safety of Dams).

The CI and IUCN GEF Project Agencies will publicly disclose documents related to all PSS Environmental and Social Safeguards Standards and associated policies, subject to exclusion of proprietary, confidential

and personal information, on the websites at http://www.conservation.org/GEF and https://www.iucn.org/gef-iucn-partnership/about/iucn-and-gef. The website lists contact information where interested stakeholders can seek further information or documentation and raise their concerns or recommendations to CI and IUCN. The CI-GEF and IUCN Project Agencies will be responsible for ensuring appropriate response.

Table 1: Description of the Environmental and Social Standards (ESS) of the applicable Project Safeguards System

Standards	Purpose	Requirements
ESS 1: Environmental and Social Impact Assessment (ESIA)	To ensure that all projects are environmentally and socially sound and sustainable and avoid/mitigate unintentional negative impacts.	• To comply with this Standard, the CI-GEF and IUCN Project Agencies will implement a Safeguard Screening process for all funded projects. The purpose of this screening is to categorize projects according to their potential environmental and social impacts. • The screening outcomes may result in a project being designated as Category A, B or C. • If the results from the project safeguard screening finds that an ESIA is necessary, the CI-GEF and IUCN Project Agencies 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. • 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). • For all Category A and relevant Category B projects, the CI-GEF and IUCN Project Agencies will ensure that the Executing Agency will establish, maintain, and strengthen as necessary an organizational structure that defines roles, responsibilities, authority, workplan, and budget to implement the required management plans. • Projects will be assessed to identify if they will raise or magnify any potential conflicts among stakeholder groups within the community (for example between groups that share or compete for resource access, between government and local community interests, etc.) These conflicts will be identified and avoided/mitigated. • The CI-GEF and IUCN Project Agencies have preliminarily identified five types of project activities that may result in adverse environmental and social impacts that may be associated with projects, arising from: a) Protected area creation, expansion or management improvement; b) Investment in business or livelihood development; c) Civil works; d) Occupational health and safety; e) Pest management. • The CI-GEF and IUCN Project Agencies may nonetheless decide to support projects that may create these types of impacts on the condition that the impacts will be limited in time and space, and can therefore be effectively mitigated and that benefits brought by the project activities surpass the costs.

		• Project-level plans may also be developed even when no ESIA is necessary, as a means for coordination and to promote positive impacts. Examples of project-level plans may include an Environmental and Social Management Plan (ESMP), Voluntary Resettlement Action Plan (V-RAP), Process Framework for Restriction of Access to Natural Resources, Restriction of Access to Natural Resources Plan, Indigenous Peoples Plan (IPP), Pest Management Plan (PMP), Stakeholder Engagement Plan (SEP), and Gender Mainstreaming Plan (GMP). • Among other requirements.
ESS 2: Protection of Natural Habitats and Biodiversity Conservation	To avoid or mitigate any significant loss or degradation and to maintain and promote the sustainable management, protection, conservation, maintenance, and rehabilitation of natural habitats and their associated biodiversity and ecosystem functions and services.	• To protect natural habitats and in accordance with international agreements, the CI-GEF and IUCN Project Agencies endorses and applies the precautionary approach for its projects and programs. • All project activities will be consistent with existing protected area management plans or other resource management strategies that are applicable to national or local situations. • In the design and development of a project and during the Safeguard Screening process, the Executing Agency is encouraged to utilize first broad and "upstream" assessment and planning, such as landscape planning, river basin planning, and other strategic approaches, to improve project selection and design and maximize sustainability. The Executing Agency is required to consider direct and indirect project-related impacts on biodiversity and ecosystems services and identify any significant cumulative and/or residual impacts. • Where project affected communities are indigenous peoples, special attention will be given to traditional and customary values placed on ecosystem services, ensuring protection of traditional knowledge and indigenous consent in the provision of such information. • In areas of natural habitat, mitigation measures will be designed to achieve no net loss and preferably a net gain of the associated biodiversity values and/or ecosystem services where feasible, following the mitigation hierarchy described in ESS1 above. • Where the Executing Agency has direct management control or significant influence over impacted priority ecosystem services, adverse impacts should be avoided. • Project and program supported activities shall conform with applicable frameworks and measures related to access and benefit sharing (such as the Nagoya Protocol) in the utilization of genetic resources. • For projects that trigger this Standard, Executing Agencies/Entities will be required to develop an Environmental and Social Management Plan (ESMP). • The ESMP/BMP must be disclosed in a timely manner, before approval process begins, in a place accessible to key stakeholders, including project affected groups and CSOs, in a form and language understandable to them.

		• Among other requirements.
ESS 3: Resettlement and Physical and Economic Displacement	To avoid, minimize, mitigate and/or compensate the potential adverse socioeconomic and cultural impacts of resettlement processes and displacement that some projects might create.	• This Standard applies to situations involving: a) Resettlement and physical displacement, relocation, or loss of shelter; and b) Economic displacement, including the loss of access to natural resources that lead directly or indirectly to the loss of traditional/subsistence livelihoods, including assets, social capital, cultural identity, among other impacts. • Where displacement has already occurred prior to the commencement of project implementation activities, an audit shall be conducted to identify: a) Any gaps of past activities against this Standard; and b) b) The corrective actions that may be required to ensure compliance with this Standard. • To ensure any resettlement is voluntary, Executing Agencies/Entities are encouraged to use consultation processes that lead to negotiated settlements meeting the requirements of this ESMF, even if they have the legal means to displace and/or acquire land without the seller's consent. • As outlined in Policy 4 of the ESMF (Accountability and Grievance Mechanisms), the Executing Agency will ensure that a grievance mechanism is established for the project, which will be put in place in order to address specific concerns about compensation, relocation or livelihood restoration that may be raised by affected individuals and communities. • Thus, for projects in which the best alternative to the business-as-usual scenario involves voluntary resettlement, Executing Agencies/Entities will be required to design, document and disclose before project implementation begins, a participatory process for developing a Voluntary Resettlement Action Plan (V-RAP). • Where physical displacement occurs, displaced people with title or a claim recognizable under national law shall be provided with: a) Choices among feasible resettlement options – including land-based compensation where possible – equal to the existing land in productive potential, location, and security of tenure, ownership and use rights; b) Adequate replacement housing and/or cash compensation, access to services, and resources/organization to support maintenance of social organization and social cohesion; c) Relocation assistance suited to their needs; and d) Assistance to improve, or at least restore, their livelihoods and living standards, in real terms, to pre-displacement levels or to levels prevailing prior to the start of project implementation, whichever is higher.

		• Where economic displacement occurs, affected persons with title or a claim recognizable under national law shall be provided with: a) Prompt and adequate compensation for the loss of assets or access to assets, such as sites of productive activity, with replacement property of equal or greater value, or cash compensation at replacement cost; b) Assistance to improve, or at least restore, their livelihoods and living standards, in real terms, to pre-displacement levels or to levels prevailing prior to the start of project implementation, whichever is higher; and c) Transitional support, as necessary. • For persons without formal legal rights to land, or claims to such land that could be recognized under national laws, resettlement assistance is provided in case of physical or economic displacement, in lieu of compensation for land, to help improve or at least restore their livelihoods in another location; and in cases of physical resettlement, arrangements to allow them to obtain adequate housing with security of tenure, and compensation for assets other than land (such as dwellings), where feasible. • Compensation, assistance, and benefits to affected persons are provided in a timely manner, before project or program activities begin on the acquired land. • When needed, a Displacement Management Plan may also be developed during project implementation phase to provide more detail on the arrangements to assist affected persons to improve or restore their livelihoods. This plan should take into account the different roles, responsibilities, natural resources needs and uses, and livelihoods, of men and women, and arrangements to assist affected persons should be gender-sensitive. • Among other requirements.
ESS 4: Indigenous Peoples	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 peoples;	• ESS 4 is informed by CI's Institutional Policy/Rights Based Approach, "Indigenous Peoples and Conservation International", which is aligned with IUCN's Indigenous Peoples policies, and states that projects must respect indigenous peoples' individual and collective rights and the instruments that protect them, including but not limited to the International Labor Organization's Convention No. 169 and the United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP). • All funded projects are required to: a) Conduct safeguard screening for indigenous peoples as early as possible during the project preparation phase;

	c) Potential adverse impacts are avoided or adequately addressed or negotiated and agreed upon through a participatory and consultative approach; and d) The implementation of the project, any required Indigenous Peoples Plan or Framework, and project benefits are monitored by qualified professionals. This Standard applies to projects that affect indigenous peoples, whether adversely or positively. Such projects need to be prepared with care and with the full and effective participation of affected communities.	b) Implement effective participation of indigenous peoples in the preparation of environmental and social impact assessments to assess risks and opportunities and to improve the understanding of the local context and affected communities; c) Implement effective consultation processes with the affected indigenous peoples' communities to fully identify their views and to seek their FPIC for project activities affecting them. FPIC builds on and expands the process of meaningful consultation described in Policy 3 of this ESMF (Stakeholder Engagement) and will be established through good faith negotiation between the Executing Agency and the project-affected communities of indigenous peoples. The Executing Agency will document: (i) the mutually accepted process between the Executing Agency and project-affected communities of indigenous peoples, and (ii) evidence of agreement between the parties as the outcome of the negotiations. d) FPIC does not necessarily require unanimity and may be achieved even when individuals or groups within the community explicitly disagree. While FPIC is a community-level process, it is important to ensure that decisions at the community level are representative of all community members, especially those who have historically been left out of decision-making, such as indigenous women; and e) Develop an Indigenous Peoples Plan (IPP) describing measures to avoid adverse impacts and enhance culturally appropriate benefits in each project that may have a direct or indirect impact on indigenous individuals or communities. • When project or program activities include the commercial development of lands and natural resources central to indigenous peoples' identity and livelihood, or commercial use of indigenous peoples' cultural heritage, the project or program shall inform the affected people of their rights under national and international law and of the scope, nature and impacts of the potential use, enabling the indigenous peoples to determine the extent of the use of these natural and cultural resources and share equitably in the benefits from such commercial development or use. • The Executing Agency will ensure that a grievance redress mechanism is established for any project (as outlined in Policy 4). This mechanism shall be culturally appropriate and accessible to affected indigenous peoples and take into account the availability of judicial recourse and customary dispute settlement mechanisms among indigenous peoples/communities. • Among other requirements.
ESS 5: Resource Efficiency and	The objectives of this Standard are as follows:	• CI and IUCN promote a reduced reliance on synthetic chemical pesticides. Therefore, CI and IUCN support the use of demand-driven, ecologically-based, biological or environmental Integrated Pest Management practices (IPM) or Integrated Vector Management (IVM),

Pollution Prevention	a) To avoid or minimize adverse impacts on human health and the environment by avoiding or minimizing pollution from project activities; b) To promote more sustainable use of resources, including energy and water; c) To reduce project-related emissions of Greenhouse Gas (GHG); d) To avoid or minimize generation of hazardous waste; and e) To minimize and manage the risks and impacts associated with pesticide use. This Standard outlines a project-level approach to mitigating, minimizing and managing any risks and potential adverse impacts that may be related to resource use and pollution.	• CI and IUCN will follow the recommendations and minimum standards as described in the United Nations Food and Agriculture Organization (FAO) International Code of Conduct on the Distribution and Use of Pesticides (Rome 2010) and its associated technical guidelines and procure only pesticides, along with suitable protective and application equipment that will permit pest management actions to be carried out with well-defined and minimal risk to health, environment and livelihoods. • The CI-GEF and IUCN Project Agencies require that key principles are applied, including a precautionary approach to addressing significant environmental and social challenges; the mitigation hierarchy; the "polluter pays" principle (whereby the cost of mitigation is borne by the polluter, where relevant); and adaptive management techniques (whereby lessons are learned from past management actions and are proactively utilized to predict and improve management as programming progresses). • Throughout the project-cycle, project developers and executing agencies/entities will consider and apply technically and financially feasible resource efficiency principles and techniques for improving efficient consumption of energy, water, raw materials and other resources. The Executing Agency shall apply good international practices to improve resource efficiency, including principles of cleaner production, green design, sustainable infrastructure and sustainable procurement where feasible. • Projects will implement a waste management hierarchy by avoiding, and if not possible, minimizing generation of waste, and reusing, recycling, and recovering wastes in a safe manner. • CI- GEF and IUCN will seek to ensure that alternatives are considered to reduce project-related GHG emissions, in a manner appropriate to the nature and scale of the project operations and impacts. Alternative options may include but are not limited to alternative locations; use of renewable and low-carbon energy sources; energy efficiency; and ecosystem-based adaptation and mitigation measures. • Projects will avoid or minimize the potential for community exposure to hazardous materials and substances that may be released by a project. Where there is potential for the public to be exposed to hazards, projects will exercise special care to avoid or minimize their exposure by modifying, substituting, or eliminating the condition or material causing the potential hazards. • For pollution prevention, projects shall avoid and if not possible, minimize and control the intensity and flow of pollutants from routine, non-routine, and accidental releases. Executing Agencies/Entities shall establish preventive measures wherever possible and ensure that application of pollution prevention and control technologies are consistent with good international

		practice throughout the programming life cycle. Projects shall abide by performance levels and measures specified in national law or in good international practice, whichever is more stringent. In addressing potential adverse impacts, supported projects shall consider ambient conditions and assimilative capacity of the environment, land use, proximity to ecologically sensitive areas, and the potential for cumulative impacts. • Where project activities involve high demand for water resources, the Executing Agency must apply measures to reduce water use and ensure that such usage does not have significant adverse impacts on communities, other users, or on the environment and ecosystems. The project must also assess the cumulative impacts of water use and implement appropriate mitigation measures such as water demand management, efficiency measures, benchmarking usage, alternative supplies, resource contamination avoidance, mitigation of impacts on downstream users, and water use offsets. The CI-GEF and IUCN Project Agencies will require the application of GIIP for water conservation and efficiency. • For projects that trigger this Standard, Executing Agency 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. • The Executing Agency will ensure that 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. • Among other requirements.
ESS 6: Cultural Heritage	To ensure that cultural resources, both tangible and intangible, are appropriately preserved and their destruction or damage is appropriately avoided.	• All activities will analyze feasible project alternatives including site selection and project design in order to prevent or minimize or compensate for adverse impacts and enhance positive impacts on cultural heritage resources. • When cultural heritage resources are present in project areas, measures should be put in place to ensure that they are identified and that adverse effects on them are avoided. This is particularly relevant for projects that support development of management plans and other land and natural resource use planning, projects that support alternative livelihood activities, and projects that include small infrastructure construction. • When deemed necessary (i.e. through the screening process), qualified experts, local people, and other relevant stakeholders shall be consulted. Field-based surveys shall also be used in assessing the nature, extent and significance of cultural heritage that may be affected by the project;

		assessing whether destruction or damage can be avoided; and assessing plans for minimizing/mitigating risks and impacts. • Jointly with the rightsholders, the Executing Agency shall determine whether disclosure of information regarding cultural heritage would compromise or jeopardize its safety or integrity. • For projects that trigger this Standard, Executing Agencies/Entities will be required to develop a Cultural Heritage Management Plan (CHMP). The CHMP is a document that identifies a set of mitigation, management, monitoring, and institutional actions to be implemented for projects. • Among other requirements.
ESS 7: Labor and Working Conditions	To protect workers by ensuring that risks or potential adverse impacts to workers are avoided or mitigated, and the fundamental rights of workers, consistent with the International Labor Organization's (ILO) Declaration on the Fundamental Principles and Rights at Work. This Standard seeks to promote the fulfilment of these rights. 154. The following requirements are to be applied in a proportional manner based on the nature of the project, its specific activities, the project's associated social and environmental risks and impacts, and the type of contractual relationships with workers engaged in relation to the project. 155. The ESS applies to workers directly engaged by the Executing Agency, including	• Where the screening or assessment processes described under ESS1 identify risks or potential adverse impacts to workers, further assessments are undertaken, and plans are developed, implemented and monitored to manage the risks and potential adverse impacts in such a way that is consistent with this Standard and respects and protects the fundamental rights of workers, consistent with the International Labor Organization's (ILO) Declaration on the Fundamental Principles and Rights at Work, including: a) Freedom of association and the effective recognition of the right to collective bargaining; b) The elimination of discrimination, in respect of employment and occupation; c) The prevention of child labor; and d) d) The elimination of all forms of forced or compulsory labor. • Written labor management policies and procedures are established in accordance with applicable national laws, and the requirements of this ESS, and accessible to all workers. • Workers engaged by the project are provided regular and timely payment of wages; adequate periods of rest, holiday, sick, maternity, paternity, and family leave; and written notice of termination and severance payments, as required under national laws and the CI GEF and IUCN labor management procedures. • Occupational Health and Safety (OHS) measures are applied to establish and maintain a safe and healthy working environment, and such measures are designed and implemented to address: a) Identification of potential hazards to workers, particularly those that may be life threatening; b) Provision of preventive and protective measures, including modification, substitution, or elimination of hazardous conditions or substances; c) Training of workers and maintenance of training records; d) Documentation and reporting of occupational accidents, diseases and incidents; e) Emergency prevention and preparedness and response arrangements to emergency situations; and

	direct workers, contracted workers, as well as workers engaged by the Executing Agency's primary suppliers (primary supply workers).	f) Remedies for adverse impacts such as occupational injuries, deaths, disability and disease. • Workers are informed of applicable grievance and conflict resolution systems provided at the workplace level, which conform to the requirements of Policy 4 (Accountability and Grievance Mechanisms). • CI-GEF and IUCN will require the Executing Agency to identify potential risks of violations of primary supplier workers' fundamental rights and safety and health issues and establish roles and responsibilities for monitoring primary suppliers. If child labor, forced labor, trafficking in persons, unsafe working conditions, or breaches of other fundamental rights are identified, the responsible party will require the primary supplier to take appropriate steps to remedy them. • CI-GEF and IUCN will contractually require that third parties who receive ICI funds and who engage workers in association with the project are legitimate and reliable entities and have in place appropriate policies, processes and systems that allow them to operate in accordance with the requirements of this Standard, including having access to a grievance mechanism. • Among other requirements.
ESS 8: Community Health, Safety and Security	To ensure that risks or potential impacts to the health, safety and security of project-affected communities are identified, avoided and mitigated. ESS 8 encourages an integrated risk assessment. The health, safety, and security of project affected people must be assessed and mitigated as inter-connected risks in any environmental and social risk assessment. This includes the potential risks for communities already subjected to impacts from climate change that may also experience an acceleration	• Projects will be screened to identify risks or potential impacts to the health, safety and security of project-affected communities, and further assessments will be carried out, considering: a. the potential exposure of communities to both accidental and natural hazards, particularly where the structural elements of the project are accessible to members of the affected community, or where their failure could result in injury to the community; b. the special needs and exposure of disadvantaged or vulnerable groups or individuals, including in particular women and children; c. the particular risks that may be present in a conflict or post-conflict context; d. the impacts of the project on provisioning and regulating ecosystem services, as they are directly relevant to community health and safety; e. the current or projected effects of climate change and other natural hazards. f. the community exposure to health risks; g. the potential risks posed to communities by a project's use of rangers, eco-guards, or similar security personnel, whether armed or unarmed; h. the potential risks posed to rangers, eco-guards, or similar security personnel, whether armed or unarmed, in the course of performing their job duties; and, i. threats to human security through the risk of escalation of personal or communal conflict and violence that could be caused or exacerbated by the project.

	or intensification of impacts due to project activities. This Standard addresses the need to avoid, and where avoidance is not possible, to minimize and mitigate the health, safety and security related risks and impacts that may arise over the lifetime of the project, with particular attention given to marginalized or disadvantaged groups.	• Appropriate measures are designed, implemented and monitored to prevent or avoid any adverse impacts on community health, safety and security, where feasible, or minimized or mitigated, where avoidance or prevention are not feasible. • When structural elements or components, such as dams, tailings dams, or ash ponds are situated in high-risk locations, and their failure or malfunction may threaten the safety of communities, projects or programs engage one or more external experts with relevant and recognized experience in similar projects, separate from those responsible for the design and construction, to conduct a review as early as possible in project development and throughout the stages of project design, construction, operation, and decommissioning. • Emergency preparedness plans are developed, implemented and monitored in collaboration with stakeholders and relevant authorities, where relevant. An emergency preparedness plan shall include (as appropriate): a) engineering controls (such as containment, automatic alarms, and shutoff systems) proportionate to the nature and scale of the hazard; (b) identification of and secure access to emergency equipment available on-site and nearby; (c) notification procedures for designated emergency responders; (d) diverse media channels for notification of the affected community and other stakeholders; (e) a training program for emergency responders including drills at regular intervals; (f) public evacuation procedures; (g) designated coordinator for implementation; and (h) measures for restoration and cleanup of the environment following any major accident. • Where a project requires the engagement of security providers/personnel, the Executing Agency will ensure that such security arrangements do not violate international human rights standards or principles. The risks posed by such security arrangements to the potentially affected community will be assessed to ensure that those providing security are appropriately vetted, trained and supervised. Allegations of unlawful or abusive acts will be monitored, reviewed, with actions taken to prevent recurrence against individuals and communities. • The Executing Agency will avoid or minimize the potential for community exposure to hazardous materials and substances that may be released by the project. Where there is a potential for the public (including workers and their families) to be exposed to hazards, particularly those that may be life threatening, the Executing Agency will exercise special care to avoid or minimize their exposure by modifying, substituting, or eliminating the condition or material causing the potential hazards. • Among other requirements.

ESS 9: Private Sector Direct Investment and Financial Intermediaries	The purpose of this Standard is to promote good environmental and sound human resources management where funded projects make either direct investments in private sector firms, or channels funds through Financial Intermediaries (FIs). The nature of financial intermediation means that the FIs will assume delegated responsibility for environmental and social assessment, risk management and monitoring as well as overall portfolio management. The effectiveness of the FI's environmental and social risk management will be evaluated and monitored by the CI-GEF and IUCN Project Agencies on a continuous basis throughout the project lifecycle in line with the requirements of this ESMF.	• Environmental and Social Management System: FIs and direct investees are required to develop and maintain, in the form of an Environmental and Social Management System (ESMS), effective environmental and social systems, procedures and capacity for assessing, managing, and monitoring risks and impacts of subprojects, as well as managing overall portfolio risk in a responsible manner. This shall be proportionate to the risks and impacts of the given projects, and the risk profile of the FI's portfolio. An ESMS commensurate to the risk profile of the FI should typically consist of the following elements: a. Environmental and Social (E&S) Policy: An E&S policy states the E&S requirements and standards that apply to the FI's lending/investment activities and that will be used to manage the E&S risk associated with the FI's portfolio of borrowers/investees. This should include a commitment by the FI to have its non-retail transactions comply with the ESS in addition to applicable local environmental and social regulations. b. Identification of risks and opportunities: A process to identify the E&S risks and impacts associated with its lending/investment activities. c. Management programs: Management programs are centered on Environmental and Social Action Plans that should point to improved procedures that are necessary for the FI's clients to avoid, minimize or compensate for identified risks and impacts. d. Internal organizational capacity and competency: Refers to designated personnel with E&S responsibilities and track record to ensure that resources are available for the effective implementation of the ESMS across the organization. e. Emergency preparedness and response: A system to respond to accidental and emergency situations regarding the FI´s own operations. • Among other requirements.
ESS 10: Climate Risk and Related Disasters	The purpose of this Standard is to: a) Ensure alignment of CI GEF projects with the goals of the Paris Agreement and other international frameworks; b) Ensure that proposed activities are screened and	• Climate change analysis (impact of climate change on projects): The CI-GEF and IUCN Project Agencies acknowledge the threat that climate change impacts and risks pose to sustainable development and has integrated considerations for such potential adverse risks and impacts throughout the standards of the ESMF (most notably within ESS1 and ESS5). During the Safeguard Screening process, the CI-GEF and IUCN Project Agencies will require that all projects are assessed to determine the exposure and sensitivity of the project objectives to climate-related risks based on available information about historic climate hazard occurrences, current climate trends, and future climate change scenarios.

	assessed for climate change and disaster risks and impacts both of-and-to projects; c) Apply the mitigation hierarchy in project design; d) Strengthen resilience of communities to address risks of climate change impacts and climate related disasters; and, e) Increase the ability of communities to adapt to the adverse impacts of climate change, and foster climate resilience and low greenhouse gas emitting projects that do not threaten food production.	• The Safeguard Screening will also assess the likelihood of the project increasing the vulnerability of the expected target populations to climate hazards (e.g. maladaptation). Executing Agencies/Entities should analyze physical, social, economic, and environmental factors or processes which increase the susceptibility and vulnerability of relevant communities to potential climate change impacts and hazards - with a particular focus on marginalized and disadvantaged groups and individuals. Consideration should be given to potential specific gender, age and social vulnerabilities and differentiated impacts. • Climate change analysis (impact of projects on GHG emissions): In line with the requirements of ESS 5 (Resource Efficiency and Pollution Prevention), the Executing Agency must seek to reduce direct as well as indirect greenhouse gas emissions.

Regarding other policies included in the PSS, their main purpose is detailed below:

Table 2: Purposes of additional policies included in the Project Safeguard System

Policies	Purpose
Policy 2: Gender Mainstreaming	To mainstream gender through designing, implementing, and monitoring projects in such a way that projects: a) Do not exacerbate existing gender-related inequalities and, where relevant, address gender gaps; b) Strive to provide equal opportunities for men and women to benefit; and c) Provide equal opportunities for women and men to actively participate and make decisions throughout identification, design, implementation, monitoring and evaluation, including in project consultations.
Policy 3: Stakeholder Engagement	To seek and incorporate the knowledge and contributions of rightsholders, partners and stakeholders to ensure that funded projects results in lasting and fundamental improvements for nature and human well-being. Therefore, all funded projects must: a) Identify and involve key and vulnerable stakeholders in project design and preparation processes to understand local needs and avoid adverse impacts; b) Ensure that stakeholders views and concerns are taken into account by the project and are addressed by key decision-makers;

	c) Engage stakeholders in meaningful consultations where they are able to express their views on project plans, benefits, risks, impacts, and mitigation measures that may affect them; and d) Incorporate the knowledge of stakeholders and address any concerns during all phases of the project; e) Include clear procedures for stakeholders to request additional information; f) Ensure that such consultations are gender responsive; free of manipulation, interference, coercion, discrimination and intimidation; and responsive to the needs and interests of disadvantaged and vulnerable groups; and g) Continue consultations throughout project implementation, monitoring and evaluation, as necessary, to ensure project adaptive management and proper implementation of environmental and social safeguard plans.
Policy 4: Accountability and Grievance Mechanisms	To ensure compliance of CI-GEF and IUCN Project Agencies' ESMF standards and requirements, and to provide for the receipt of and timely response to resolution of complaints from parties affected of funded projects.

4. Relevant international law

The envisioned project is embedded in and must align with national laws, international conventions and treaties, as well as existing national plans and strategies. To ensure that, respective institutional arrangements need to be in place. In addition, the project needs to adhere to the applicable social and environmental safeguards, which are of particular relevance in the context of the present ESMF.

This chapter provides the necessary overview of the relevant international conventions, treaties, declarations and voluntary adherences to global instruments, in the safeguard's context. The objective is to indicate to what extent the countries included in the subprojects have signed up to the different international laws and conventions and have voluntarily adopted strategies to contribute to international efforts to address global challenges that are related to the applicable safeguards. This will provide a framework for understanding the ambitions of the countries involved to working towards implementing safeguards-relevant instruments, and therefore have better knowledge on the potential support or barriers that can be received or faced by the subprojects during program execution. As part of the development of site-specific ESMPs, a site-specific analysis of national policies, laws and regulations should be conducted, whereas the present ESMF provides the international law perspective to provide an indication of the ambition of the countries involved, to potentially highlight safeguards topics that may need particular attention in certain countries, and to allow for a high-level comparison between sites.

Several countries also have national institutions specifically working on the topics in focus (e.g., Argentinean Ministry of Women, Gender and Diversity, Thailand's Department of Women's Affairs and Family Development, Guatemalan Cabinet of Indigenous Peoples and Interculturality). The more detailed ESMPs should include information on such institutions as well as relevant national policy, laws and regulations as further indication for the national ambition to implement the relevant international law.

Table 3: International conventions, treaties and or processes ratification of completion per country of the selected countries (dark red = not signed or ratified or NDC/NAPs not submitted or completed; orange = signed not ratified; light green = ratified; dark green = NDC/NAPs submitted or completed; blank = not applicable)

International treaty / convention / Declaration / Voluntary submission	Safeguard correspondence	Argentina	Chile	Peru	Guatemala	Panama	Nepal	Kenya	Tanzania	Democratic Rep. Congo	Fiji	Cook Islands	Thailand
Universal Declaration of Human Rights (UDHR)	All												
American Convention on Human Rights 1969	All												
Additional Protocol to the American Convention on Human Rights in the Area of Economic, Social and Cultural Rights (Protocol of San Salvador) (1988)	All												
African Charter on Human and Peoples' Rights	All												
Sustainable Development Goals	All												
Convention on the Elimination of all Forms of Discrimination Against Women (CEDAW)	ESS 1												
Protocol to the African Charter on Human and Peoples' Rights on the Rights of Women in Africa, better known as the Maputo Protocol	ESS 1												
Eight core ILO Conventions	ESS 4, 7												
ILO Convention no 169	ESS 4												
United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP)	ESS 4												
Convention on Biological Diversity (CBD)	ESS 1, 2, 5												
National Biodiversity Strategies and Action Plans (NBSAPs)	ESS 1, 2, 5												
Minamata Convention on Mercury	ESS 1, 5, 7												

International treaty / convention / Declaration / Voluntary submission	Safeguard correspondence	Argentina	Chile	Peru	Guatemala	Panama	Nepal	Kenya	Tanzania	Democratic Rep. Congo	Fiji	Cook Islands	Thailand
United Nations Framework Convention on Climate Change (UNFCCC)	ESS 5, 8, 10												
Nationally Determined Contributions (NDCs)	ESS 10												
National Adaptation Plans (NAPs)	ESS 10												
United Nations Convention to Combat Desertification (UNCCD)	ESS 2, 10												
Bonn Challenge	ESS 2, 10												

5. Social and environmental safeguards triggered by the identified subprojects

Any project, depending on where and how it gets implemented, can benefit people and the environment, or harm people and the environment. In order to maximize the benefits, and avoid or, where this is impossible, minimize and manage potential harm, social and environmental risks are assessed in advance and where risks are likely, mitigation measures are identified from the start.

During the preparation of this ESMF, an initial risk screening was performed. The table below shows the results of this initial screening (see full screening report in Annex 3).

5.1 Results of initial screening

The initial screening provides an overview of the safeguards that the project may likely trigger. The following table presents the results related to safeguards triggered by ICI project Component 1.

Table 4: Results of initial screening

Safeguard Triggered	Yes	No	TBD	Disclosure
ESS1: Environmental and Social Impact Assessment			X	ESMPs
Justification: Although ICI project Component 1 is focused on providing direct financial support to IPLC-led initiatives in priority areas that achieve global environmental benefits through improved large-scale management of IPLC lands, territories, and resources, the current available information is not sufficient to affirm that the subprojects will not cause adverse environmental and social impacts (site-specific and some irreversible) and that all projects would be classified as Category C. In this sense, as a precautionary measure it is maintained as a potential risk related to this safeguard.				
ESS 2: Protection of Natural Habitats and Biodiversity Conservation			X	ESMPs
Justification: ICI Component 1 includes activities in different productive areas that could potentially affect species identified as threatened at the local and/or global levels and introduce or use potentially invasive, non-indigenous species. The project could potentially present this risk specifically through activities under Outputs 1.1.3, 1.1.5 and 1.1.6.				
ESS 3: Resettlement, Physical and Economic Displacement		X		ESMPs
Justification: ICI project Component 1 is focused on providing direct financial support to IPLC-led initiatives in priority areas that achieve global environmental benefits through improved large-scale management of IPLC lands, territories, and resources.				
ESS 4: Indigenous Peoples	X			ESMPs
Justification: No harmful impacts on Indigenous peoples from Component 1 activities are expected. However, through Components 1 of the ICI there is an expectation to work with and to promote indigenous practices and knowledge while actively involving Indigenous Peoples in international fora. The project could potentially present risks through activities under Outcome 1.1, related to level of participation, cooperation between different indigenous communities, change of policies and regulations and the unlikely but possible impact on cultural heritage.				

ESS 5: Resource Efficiency and Pollution Prevention			X	ESMPs
	Justification: ICI project component 1 includes activities under Outcome 1.1. that promote actions in different productive areas such as agriculture that could potentially affect criteria: b) generate wastes and effluents, and emissions of short- and long-lived climate pollutants; d) procure pesticides; and e) use energy, water and other resources and material inputs, where significant water consumption is involved and would cause adverse impacts on communities, other water users, and the environment.			
ESS 6: Cultural Heritage	X			ESMPs
	Justification: It is expected that Component 1 will make a positive contribution to promoting cultural practices that are socially, and environmentally beneficial in a focused manner. In general, the activities of the subprojects have the objectives of preserving and recovering the knowledge and practices of Indigenous Peoples and will therefore seek to protect cultural heritage. It is expected that subprojects' ESMPs will need include, above all, considerations regarding the cultural heritage represented by sites with unique natural values. Special attention should be given to new economic activities to be promoted in the activities related to Output 1.1.6. With regard to capacity building activities, there is a potential risk related to the protection of Intellectual Property rights and the lack of knowledge of the organization regarding the protection of cultural heritage.			
ESS 7: Labor and Working Conditions	X			ESMPs
	Justification: Both CI and IUCN have the necessary policies, procedures, systems and capabilities in place to ensure adherence with this ESS. However, there is the possibility that under Component 1 the local organizations will be undertaking the contracting processes for consultants and services for the execution of the subprojects. At this stage it is not clear, whether and to what extent local organizations and their potential sub-contractors also have instruments in place to ensure adherence with the standard. The ESMPs therefore will need to specify that the global EAs will follow respective safeguards expectations to the local level when they carry out due diligence, sign grant agreements or contracts with local EAs. Specific comments related to risk of women discrimination have been raised by the organizations The ESMPs to be developed for each subproject will need to articulate with the Gender Management Plan of Component 1 in order to ensure that these aspects are addressed.			
ESS 8: Community Health, Safety and Security	X			ESMPs
	Justification: The activities of Component 1 do not intend to create any risk to participants or community members or other stakeholders. However, the context of the pandemic and in some cases hostility towards indigenous peoples and to environmental and human rights defenders, or situations of conflict and presence of crime, makes program implementation a potential new element of risk. The subprojects' ESMPs must include precautionary measures to ensure that Component 1 activities do not unintentionally put people and communities at risk.			
ESS 9: Private Sector Direct Investments and Financial Intermediaries		X		ESMPs

	Justification: While the ICI will directly stimulate economic development, this is made through local organizations, and not through private sector investments or financial intermediaries.			
ESS 10: Climate Risk and Related Disasters			X		ESMPs
	Justification: ICI will have to deal with very different hazards in the different geographies: floods, landslides, drought, forest fires, land degradation, diseases, sea level rise, ocean acidification and tropical cyclones. These hazards can lead some of the IPLCs to situations that can prevent them from participating in the project activities. Therefore, although this safeguard is not triggered for the whole component activities and sites, it could be triggered at the subproject level and a mitigation plan would then be required for that subproject (e.g., for areas prone to natural disasters).			

In conclusion, the initial screening states that Component 1 activities are focused on providing direct financial support to IPLC-led initiatives in priority areas that achieve global environmental benefits through improved large-scale management of IPLC lands, territories, and resources, that will avoid causing significant negative environmental and social impacts. However, there is uncertainty on the possibility of some project activities to eventually cause impacts that are site-specific; few if any of them are irreversible; and mitigation measures can be designed to face them. Based on this conclusion, and applying the precautionary principle, this Component 1 is considered as **Category B** risk. Depending on the type, degree, and extent of the impacts determined in the screening, either a targeted risk assessment or an ESIA is required. For the subprojects under component 1 of the ICI, it is likely that targeted risk assessment is sufficient, however, this will need to be confirmed on a case by case during more detailed screening. Where an ESIA is needed, safeguard screening will also help determine the extent and type of ESIA required so that appropriate studies are undertaken proportional to potential risks and to direct impact as well as indirect, cumulative, and associated impacts as relevant.

For the full or limited ESIA for Category B projects, the ESIA will examine the project's potential negative and positive environmental impacts and shall define 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.

6. Project sites and their safeguards-relevant characteristics considerations

In this section, circumstances in project sites in conjunction to component 1 activities that may warrant more attention are highlighted as well as common issues emerging across the different land and seascapes. These aspects have been analyzed based on the information provided for the project sites in the Expressions of Interest and will need to be further analyzed at the stage of subproject screening.

Please note that connectivity is an issue of importance for all components of the ICI and a lack of connectivity can lead to elite capture of stakeholders in the project. For many of the sites included in the ICI, connectivity is a construct of remoteness and climatic conditions. Therefore, connectivity information in the following tables is reflected under ESS 10.

6.1 Fvta Mawiza Biocultural Territory (Argentina)

Dimensions and activities of the subproject:

1. ANALYSIS AND TERRITORIAL PLANNING TO STRENGTHEN THE MANAGEMENT AND GOVERNANCE OF THE FVTA MAWIZA BIOCULTURAL TERRITORY: a) Participatory cultural mapping of the territory (Mapuche cultural mapping) that reflects the Mapuche worldview, threats and culturally important spaces (sacred sites); b) Development of management and territorial governance plans, with differentiated proposals for community conserved areas and those that overlap with state protected areas; c) Elaboration of "Biocultural Community Protocols" for the protection of lof (traditional communities) and Fvta Mawiza Territory.
2. STRENGTHENING OF KVME FELEN (GOOD LIVING) AND OF THE DEVELOPMENT PRIORITIES OF EACH LOF OR COMMUNITY AND OF THE TERRITORY: a) Elaboration of plans and projects for each lof or community that contribute to the protection of the territory and the kvme felen (good living) of the communities; Investment and execution of plans and projects prioritized by each community (tourism, ecological production, food sovereignty, inventory and safeguarding of seeds, etc.); Development and implementation of projects to strengthen the protection and conservation of the Fvta Mawiza territory (e.g. tourism network, exchange networks (trafkintu), etc.).
3. NATIONAL AND INTERNATIONAL ADVOCACY FOR THE RECOGNITION AND CULTURAL AND APPROPRIATE SUPPORT FOR THE PROTECTION OF THE BIOCULTURAL TERRITORY FVTA MAWIZA: a) Dialogues with political authorities and state agencies (National Parks Administration, Ministry of Environment, etc.) to present and discuss community and territorial proposals; b) Agreements with scientific and university entities for the development and accompaniment of projects on biodiversity and climate change; c) Elaboration of a communicational strategy for the protection of the Territory; d) Elaboration of normative and public policy proposals; e) Development of tools and proposals for activism at the national and international level on indigenous rights and participation in national and international forums, particularly in relation to the CBD and the UNFCCC; f) Judicial defense before national and/or international instances, in case of failure to advance through dialogue.
4. RESCUE AND EXCHANGE OF KNOWLEDGE AND PRACTICES OF THE MAPUCHE PEOPLE FOR THE PROTECTION OF THE TERRITORY: This is done through different ceremonies called gellipun and different txawün (meetings) where, in addition to the rescue and exchange, it will be decided what knowledge will be kept internally and what knowledge will be disseminated and shared with others, through different media (audiovisual, publications, presentations, among others). The knowledge and practices of women (lamngen) and their importance for biodiversity conservation (ixtrofilmognen) will also be addressed.
5. STRENGTHENING OF TRADITIONAL MAPUCHE AUTHORITIES AND TERRITORIAL LEADERS FOR BETTER MANAGEMENT AND GOVERNANCE OF THE TERRITORY AND THE EXERCISE OF RIGHTS: It is proposed to create a school for the transmission of knowledge, with training cycles that will address different topics previously prioritized by the organizations and communities, addressing in a concrete way criteria of gender equity. The school will function at least during the entire period of the project and among its objectives will be to train at least one person per community in project management and financial management of resources. At the end of the project the organizations involved will be better prepared to manage and administer their own projects.

Specific ESS highlights of the subproject:

The following table shows the specific ESS aspects of the project site that could be identified at the high-level screening stage. This identification will need to be further analyzed when performing the final screening at subproject level at the stage of the local ESMPs' development.

Table 5: ESS highlights of the subproject in the Fvta Mawiza Biocultural Territory (Argentina)

Fvta Mawiza Biocultural Territory - specificities per ESS	Yes	No	TBD	Disclosure
ESS1: Environmental and Social Impact Assessment			X	ESMPs
No specific issues raised for this project site – general assessment applies.				
ESS 2: Protection of Natural Habitats and Biodiversity Conservation			X	ESMPs
No specific issues raised for this project site – general assessment applies. Please see summary of the site's Environmental context and global significance in section 2.4 and detailed description in the attached EoI document.				
ESS 3: Resettlement, Physical and Economic Displacement		X		ESMPs
N/A				
ESS 4: Indigenous Peoples	X			ESMPs
A specificity of this subproject is the challenge posed by the fact that the territory is located in the cross-border area between two countries, and thus there is a close relationship between communities of the West (Gulumapu) and of the East (Puelmapu), which can have different circumstances.				
ESS 5: Resource Efficiency and Pollution Prevention			X	ESMPs
The project seeks to promote actions in productive areas such as agriculture and tourism. Therefore, it will be important to ensure that these activities are resource efficient and that they avoid any kind of pollution.				
ESS 6: Cultural Heritage	X			ESMPs
Since the subproject site includes sites such as the Biosphere Reserve Andino Norpatagónica , National Parks such as Lanín, Laguna Blanca, Nahuel Huapi, Aluminé-Moquehue, Río Collón Cura and Protected Areas such as El Mangrullo , it will be important to pay special attention to this safeguard to ensure that the project promotes the conservation of cultural heritage, whether tangible or intangible, and does not cause harm. The organizations have reported the presence of sacred sites.				
ESS 7: Labor and Working Conditions	X			ESMPs
Both CI and IUCN have the necessary policies, procedures, systems and capabilities in place to ensure adherence with this ESS. However, there is the possibility that under Component 1 the local organizations will be undertaking the contracting processes for consultants and services for the execution of the subprojects. At this stage it is not clear, whether and to what extent local organizations and their potential sub-contractors also have instruments in place to ensure adherence with the standard. The ESMPs therefore will need to specify that the global EAs will follow respective safeguards expectations to the local level when they carry out due diligence, sign grant agreements or contracts with local EAs. Specific comments related to risk of women discrimination have been raised by the organizations The ESMPs to be developed for each subproject will need to				

	articulate with the Gender Management Plan of Component 1 in order to ensure that these aspects are addressed.				
ESS 8: Community Health, Safety and Security		X			ESMPs
	The Mapuche resistance to the activity of extractive industries (mining, hydrocarbons, forestry, hydroelectric projects) is being criminalized through the prosecution of its leaders. For this reason, it will be important to pay attention to security issues regarding project activities that could exacerbate hostility to the Mapuche people.				
ESS 9: Private Sector Direct Investments and Financial Intermediaries			X		ESMPs
	N/A				
ESS 10: Climate Risk and Related Disasters				X	ESMPs
	During the last decades, effects of climate change are manifested in low rainfall and increasingly prolonged periods of drought. This has led to an increase in forest fires which represent a great threat to Fvta Mawiza. The decrease in precipitation is associated with an increase in temperature that is more accentuated in the mountain range, as a consequence, the snow melts earlier than expected, with rivers flowing early and consequently drier in the summer, which generates a series of chain effects with impacts on the population and communities that inhabit and guard the forests as well as in the lowlands. Future scenarios in Argentina show that the combination of trends towards higher temperatures and lower rainfall, even in the case of small reductions, sets up a scenario of a trend towards greater aridity in the Patagonian region, exacerbating the described potential risks for the population. With regards to the composition and dynamics of the region's ecosystems, these should be expected to change significantly due to the occurrence of more intense and/or prolonged periods of drought. The ecotones of forest-steppe vegetation will suffer changes in structure with a greater dominance of species more tolerant to drought, so a retraction of species such as cypress and araucaria can be expected. In geographical terms, the main changes in vegetation that would be expected include retraction and displacement of the boundaries of tree vegetation on the eastern edge of the forest. These changes can lead the IPLCs to situations that can prevent them from participating in the project activities. With regard to connectivity, it has been reported that within the territory defined in the subproject, there is a stable and constant connection to different types of communication, both by road and in the main towns (urban areas where communities meet). However, about 90% of the communities are rural, where it is complex to achieve a stable connection to the internet. Regarding the use of hardware or other devices, most of Fvta Mawiza's communities have a cellular network and basic ICT use.				

6.2 Fvta Mawiza Biocultural Territory (Chile)

Dimensions and activities of the subproject:

1. ANALYSIS AND TERRITORIAL PLANNING TO STRENGTHEN THE MANAGEMENT AND GOVERNANCE OF THE FVTA MAWIZA BIOCULTURAL TERRITORY: a) Participatory cultural mapping of the territory

(Mapuche cultural mapping) that reflects the Mapuche worldview, threats and culturally important spaces (sacred sites); b) Development of management and territorial governance plans, with differentiated proposals for community conserved areas and those that overlap with state protected areas; c) Elaboration of "Biocultural Community Protocols" for the protection of lof (traditional communities) and Fvta Mawiza Territory.

2. STRENGTHENING OF KVME FELEN (GOOD LIVING) AND OF THE DEVELOPMENT PRIORITIES OF EACH LOF OR COMMUNITY AND OF THE TERRITORY: a) Elaboration of plans and projects for each lof or community that contribute to the protection of the territory and the kvme felen (good living) of the communities; Investment and execution of plans and projects prioritized by each community (tourism, ecological production, food sovereignty, inventory and safeguarding of seeds, etc.); Development and implementation of projects to strengthen the protection and conservation of the Fvta Mawiza territory (e.g. tourism network, exchange networks (trafkintu), etc.).
3. NATIONAL AND INTERNATIONAL ADVOCACY FOR THE RECOGNITION AND CULTURAL AND APPROPRIATE SUPPORT FOR THE PROTECTION OF THE BIOCULTURAL TERRITORY FVTA MAWIZA: a) Dialogues with political authorities and state agencies (CONAF, Ministry of Environment, regional and local governments, among others) to present and discuss community and territorial proposals; b) Agreements with scientific and university entities for the development and accompaniment of projects on biodiversity and climate change; c) Elaboration of a communicational strategy for the protection of the Territory; d) Elaboration of normative and public policy proposals; e) Development of tools and proposals for activism at the national and international level on indigenous rights and participation in national and international forums, particularly in relation to the CBD and the UNFCCC.
4. RESCUE AND EXCHANGE OF KNOWLEDGE AND PRACTICES OF THE MAPUCHE PEOPLE FOR THE PROTECTION OF THE TERRITORY: This is done through different ceremonies called gellipun and different txawün (meetings) where, in addition to the rescue and exchange, it will be decided what knowledge will be kept internally and what knowledge will be disseminated and shared with others, through different media (audiovisual, publications, presentations, among others). The knowledge and practices of women (lamngen) and their importance for biodiversity conservation (ixtrofilmognen) will also be addressed.
5. STRENGTHENING OF TRADITIONAL MAPUCHE AUTHORITIES AND TERRITORIAL LEADERS FOR BETTER MANAGEMENT AND GOVERNANCE OF THE TERRITORY AND THE EXERCISE OF RIGHTS: It is proposed to create a school for the transmission of knowledge, with training cycles that will address different topics previously prioritized by the organizations and communities, addressing in a concrete way criteria of gender equity. The school will function at least during the entire period of the project and among its objectives will be to train at least one person per community in project management and financial management of resources. At the end of the project the organizations involved will be better prepared to manage and administer their own projects.

Specific ESS highlights of the subproject:

The following table shows the specific ESS aspects of the project site that could be identified at the high-level screening stage. This identification will need to be further analyzed when performing the final screening at subproject level at the stage of the local ESMPs' development.

Table 6: ESS highlights of the subproject in the Fvta Mawiza Biocultural Territory (Chile)

Fvta Mawiza Biocultural Territory - specificities per ESS	Yes	No	TBD	Disclosure
ESS1: Environmental and Social Impact Assessment			X	ESMPs
	No specific issues raised for this project site – general assessment applies.			
ESS 2: Protection of Natural Habitats and Biodiversity Conservation			X	ESMPs
	No specific issues raised for this project site – general assessment applies. Please see summary of the site's Environmental context and global significance in section 2.4 and detailed description in the attached EoI document.			
ESS 3: Resettlement, Physical and Economic Displacement		X		ESMPs
	N/A			
ESS 4: Indigenous Peoples	X			ESMPs
	A specificity of this subproject is the challenge posed by the fact that the territory is located in the cross-border area between two countries, and thus there is a close relationship between the communities of the West (Gulumapu) and of the East (Puelmapu), which can have different circumstances.			
ESS 5: Resource Efficiency and Pollution Prevention			X	ESMPs
	The project seeks to promote actions in productive areas such as agriculture and tourism. Therefore, it will be important to ensure that these activities are resource efficient and that they avoid any kind of pollution.			
ESS 6: Cultural Heritage	X			ESMPs
	Since the subproject site includes sites such as the Biosphere Reserve of Araucarias and National Parks such as Villarrica and Mocho Choshueco, it will be important to pay special attention to this safeguard to ensure that the project promotes the conservation of cultural heritage, whether tangible or intangible, and does not cause harm. The organizations have reported the presence of sacred sites.			
ESS 7: Labor and Working Conditions	X			ESMPs
	Both CI and IUCN have the necessary policies, procedures, systems, and capabilities in place to ensure adherence with this ESS. However, there is the possibility that under Component 1 the local organizations will be undertaking the contracting processes for consultants and services for the execution of the subprojects. At this stage it is not clear, whether and to what extent local organizations and their potential sub-contractors also have instruments in place to ensure adherence with the standard. The ESMPs therefore will need to specify that the global EAs will follow respective safeguards expectations to the local level when they carry out due diligence, sign grant agreements or contracts with local EAs. Specific comments related to risk of women discrimination have been raised by the organizations The ESMPs to be developed for each subproject will need to articulate with the Gender Management Plan of Component 1 in order to ensure that these aspects are addressed.			
ESS 8: Community Health, Safety and Security	X			ESMPs

	The Mapuche resistance to the activity of extractive industries (mining, hydrocarbons, forestry, hydroelectric projects) in both countries, is being criminalized through the prosecution of its leaders. For this reason, it will be important to pay attention to security issues regarding project activities that could exacerbate hostility to the Mapuche people.				
ESS 9: Private Sector Direct Investments and Financial Intermediaries			X		ESMPs
	N/A				
ESS 10: Climate Risk and Related Disasters				X	ESMPs
	During the last decades, effects of climate change are manifested in low rainfall and increasingly prolonged periods of drought. This has led to an increase in forest fires which represent a great threat to Fvta Mawiza. The decrease in precipitation is associated with an increase in temperature that is more accentuated in the mountain range, as a consequence, the snow melts earlier than expected, with rivers flowing early and consequently drier in the summer, which generates a series of chain effects with impacts on the population and communities that inhabit and guard the forests as well as in the lowlands. Future scenarios in Chile show increases in temperature and decreases in precipitation. However, the analyses show an increase in maximum flows and a decrease in minimum flows. The explanation is associated with the effect of the increase in temperature and the consequent rise in the snow line and, therefore, the increase in the expected flows in a storm event. This implies that water reserves will be consumed during the first decades of the century and that there is no replacement due to lack of rainfall. These scenarios predict a century with a high impact projection on the livelihoods of the Patagonian people. We should add to this effect that climate predictions for this century in the central and northern regions of the country could cause the farming areas that are currently being developed there to be forced to migrate southwards with the consequent increase in pressure on the territories of the original Patagonian peoples. These changes can lead the IPLCs to situations that can prevent them from participating in the project activities. With regard to connectivity, it has been reported that within the territory defined in the subproject, there is a stable and constant connection to different types of communication, both by road and in the main towns (urban areas where communities meet). However, about 90% of the communities are rural, where it is complex to achieve a stable connection to the internet. Curarrehue and Panguipulli stand out for that, it is here spaces in which there is a stable connection should be sought, and to make a census of the companies that have an area of influence in their network in these more remote places. Regarding the use of hardware or other devices, most of Fvta Mawiza's communities have a cellular network and basic ICT use.				

6.3 Southwest Amazon (Perú)

Description of the subproject:

The subproject has the following objectives:

1. Consolidation of effective self-managed conservation systems of a transboundary mosaic of life territories with very high biological diversity and strengthened ecosystem services
2. Empowerment of indigenous peoples, organizations, and communities in the exercise of the integral defense of their collective rights and the consolidation of indigenous governance.
3. Strengthening the links of peoples with their history and their territories, and valuing the identity, culture, and significance of traditional knowledge and practices to meet the challenges of the environmental crisis.
4. Strengthening of institutional capacities and practices on principles of efficiency and transparency, and the consolidation of partner networks to ensure sustainability in strategies and the amplification of impacts.
5. Effective participation and advocacy by indigenous organizations and leaders in international networks and spaces to share experiences and contribute to the advancement of models of Inclusive Conservation of Tropical Forests in the Andes-Amazon transition, to ensure the future and wellbeing of their peoples.

The specific activities and results of the subproject are:

1. CONSOLIDATION OF TERRITORY LIMITS: Support the consolidation of the limits of the territories of life of the indigenous peoples who are members of the proposal, including activities of documentation and mapping of ancestral territories, and the demarcation of the land. Result: The territories of life strengthened with their limits identified and demarcated.
2. CONTROL, MONITORING AND SURVEILLANCE: Consolidation of territorial monitoring and surveillance and early warning systems at the community level with the support of satellite and other technologies. Result: Ecosystems and their biodiversity are effectively protected and conserved in indigenous territories.
3. ORGANIZATIONAL STRENGTHENING AND GOVERNANCE: Strengthen the capacities and skills of the people to improve governance, planning and territorial management (life plans, territorial zoning, statutes, among others). Result: Better management and handling of territories and the conservation of their biodiversity.
4. IDENTITY AND TERRITORIES: Strengthening and revaluing the cultural identity of the peoples and their relationship with their history and ancestral territories. Result: Self-management processes of indigenous peoples better organized as active partners in defining policies for the conservation of their territories with natural protected areas.
5. TRADITIONAL PRACTICES AND KNOWLEDGE, CLIMATE CHANGE AND BIODIVERSITY. Revalue, document, and promote research on traditional knowledge and practices to ensure food sovereignty, climate change mitigation, and biodiversity loss. Outcome: Indigenous peoples more resilient and secure in the face of environmental, climate and health crises.
6. INDIGENOUS PEOPLES IN ISOLATION AND INITIAL CONTACT (PIACI). To consolidate the protection of IPACI under the principle of "no contact" in the area of the Manu National Park, and the binational border Peru (Madre de Dios) - Bolivia (La Paz). Result: Protection of life and territories of the Peoples in isolation in Madre de Dios strengthened.

7. INTERNATIONAL ADVOCACY. To strengthen the capacities of indigenous leaders and their participation in international conservation and human rights spaces and networks. Result: Indigenous peoples and organizations have a positive impact on national and international environmental and human rights agendas and policies.
8. STRATEGIC ALLIANCES AND FINANCIAL SUSTAINABILITY: Search and achievement of strategic alliances and complementary projects that allow to deepen ongoing processes, the self-sustainability of long-term actions, the promotion of alternative productive processes in the

communities, and the scaling-up-replication to other adjacent territories. Result: Long-term self-sustainability of the protection and management of territories and diversification of actions at various levels.

9. ADMINISTRATIVE-INSTITUTIONAL: Empowerment of capacities and skills related to financial administration, project development and management, and fundraising. Result: Transparent and effective administration and management of projects with the participation of partner organizations

Specific ESS highlights of subproject:

The following table shows the specific ESS aspects of the project site that could be identified at the high-level screening stage. This identification will need to be further analyzed when performing the final screening at subproject level at the stage of the local ESMPs' development.

Table 7: ESS highlights of the subproject in the Andes/Amazon

Andes/Amazon - specificities per ESS	Yes	No	TBD	Disclosure
ESS1: Environmental and Social Impact Assessment			X	ESMPs
No specific issues raised for this project site – general assessment applies.				
ESS 2: Protection of Natural Habitats and Biodiversity Conservation			X	ESMPs
Presence of a transboundary mosaic of life territories with high biological diversity. No specific issues raised for this project site – general assessment applies. Please see summary of the site's environmental context and global significance in section 2.4 and detailed description in the EoI documents annexed to the ProDoc.				
ESS 3: Resettlement, Physical and Economic Displacement		X		ESMPs
N/A				
ESS 4: Indigenous Peoples	X			ESMPs
A specificity of this subproject is the presence of communities in voluntary isolation, which poses additional challenges and risks to the implementation of activities.				
ESS 5: Resource Efficiency and Pollution Prevention			X	ESMPs
The project seeks to promote actions in the following productive areas: agriculture, agroforestry, NTFPs and tourism. Therefore, it will be important to ensure that these activities are resource efficient and that they avoid any kind of pollution.				
ESS 6: Cultural Heritage	X			ESMPs
Since the subproject site includes sites such as the Manu National Park which is a World Heritage site and Biosphere reserve that includes Ramsar sites, and various sites with different legal protections within the whole project area, it will be important to pay special attention to this safeguard to ensure that the project promotes the conservation of cultural heritage, whether tangible or intangible, and does not cause harm.				
ESS 7: Labor and Working Conditions	X			ESMPs
Both CI and IUCN have the necessary policies, procedures, systems and capabilities in place to ensure adherence with this ESS. However, there is the possibility that under Component 1 the local				

	organizations will be undertaking the contracting processes for consultants and services for the execution of the subprojects. At this stage it is not clear, whether and to what extent local organizations and their potential sub-contractors also have instruments in place to ensure adherence with the standard. The ESMPs therefore will need to specify that the global EAs will follow respective safeguards expectations to the local level when they carry out due diligence, sign grant agreements or contracts with local EAs. Specific comments related to risk of women discrimination have been raised by the organizations The ESMPs to be developed for each subproject will need to articulate with the Gender Management Plan of Component 1 in order to ensure that these aspects are addressed.				
ESS 8: Community Health, Safety and Security		X			ESMPs
	All risks related with health, safety, and security, are exacerbated in those geographical sectors of the project where there are shared territories between indigenous communities and highly vulnerable peoples in isolation and initial contact. Another threat to security in this area is the presence of environmental crime mafiosi (drug trafficking, illegal gold mining, illegal logging, wildlife trafficking, human trafficking) who attack communities, deforest, destroy habitats, and contaminate the natural environment. The processes and activities planned to empower people and strengthen governance and the defense of rights in their territories, may encounter resistance and opposition from the State and other external actors. In this region, there is a growing degree of violence and hostility towards environmental and human rights defenders.				
ESS 9: Private Sector Direct Investments and Financial Intermediaries			X		ESMPs
	N/A				
ESS 10: Climate Risk and Related Disasters				X	ESMPs
	From the Peruvian perspective, it is estimated that 40% of the territory in the regions of Cajamarca, Cusco and Huancavelica would have a very high probability of the occurrence of landslides, while 60% of the territory in the regions of Huánuco, Moquegua and Pasco would have a high probability of the occurrence of landslides. Likewise, the regions of Ica, La Libertad, Lambayeque, Lima, Piura, Puno, Tacna, and Tumbes would have high probabilities of flooding due to the occurrence of hydro-meteorological events. In the case of the population of the Amazon, where per capita fish consumption can vary between 250 and 800 grams per person per day, climate change is increasing the temperature of the rivers, decreasing the volume of rainfall, causing the migration of species and increasing sedimentation in the rivers, which greatly affects the food security of this population. These hazards can lead the IPLCs to situations that can prevent them from participating in the project activities. With regard to connectivity: FENAMAD reports that the EEs count with the means and capacity to communicate and articulate (Peru).				

6.4 Indigenous Territories Ru K'ux Abya Yala (Guatemala and Panama)

Description of subproject:

The proposal will have a cultural, rights, and gender focus developed through three axes:

1. STRENGTHENING GOVERNANCE AND INDIGENOUS RIGHTS, based on the indigenous community institutions of the Maya, Garifuna, and Guna peoples. Activities: 1) the consolidation of territorial councils, elders, traditional authorities, spiritual guides, women and youth; 2) intergenerational exchanges; 3) the promotion of knowledge about indigenous institutionality and the establishment of research centers; 4) the strengthening of management capacities and knowledge about collective rights and conflict resolution; 5) systematization of traditional indigenous norms and compilation of national and international instruments on natural resources; 6) development of protocols of good traditional practices of natural resource management; 7) creation of conditions for indigenous participation and generation of strategic alliances on the issues of natural resources and COVID-19; and 8) case studies on indigenous governance in the collective management of natural resources.
2. IMPROVING THE MANAGEMENT OF NATURAL AND CULTURAL RESOURCES IN INDIGENOUS TERRITORIES, THROUGH THE TRADITIONAL MODEL OF INDIGENOUS USE, MANAGEMENT, AND CONSERVATION. Activities: 1) rehabilitation of territories and/or ecosystems post COVID-19, i) natural forest regeneration, reforestation, agroforestry systems, promotion of native species, establishment of community forest nurseries and implementation of energy forests and regeneration of water recharge areas ii) protection of wildlife and impact of invasive species, iii) ethnobotanical experimental plots, iv) restoration of biocultural landscapes, recovery of areas of cultural importance and sacred centers and places v) traditional fishing techniques; and vi) establishment of agricultural and forest seed banks. 2) Strengthening the capacities of indigenous women and youth in techniques and practices for the use, management, and conservation of natural resources and cultural elements. 3) generate and strengthen applicable instruments to consolidate indigenous territorial and natural resource management based on traditional knowledge and practices, such as: i) community management plans, ii) indigenous territorial management and mapping plans, iii) protocols for good practices in use, management and conservation, iv) action plan for the management of marine and coastal resources, v) case studies, strategies and plans for adaptation and mitigation to climate change and environmental degradation
3. PROMOTING INVESTMENTS FOR THE PROMOTION OF THE INDIGENOUS GREEN ECONOMY through natural and cultural community enterprises and linkages that promote the Ütz K'aslemal as a model of indigenous life. Activities: 1) four chains of productive enterprises and their agroforestry, handicraft, non-timber forest products, and tourism services production units, 2) market access and marketing of products from indigenous enterprises, with added value, that are friendly to the natural and cultural environment of the post-COVID-19 priority ecoregions, 3) certification of natural and cultural indigenous products, 4) forestry incentive mechanisms and compensation payments for the conservation of natural and cultural resources, and 5) an institutional support framework for strengthening technical and administrative conditions, equipment and human resource management.

Specific ESS highlights of the subproject:

The following table shows the specific ESS aspects of the project site that could be identified at the high-level screening stage. This identification will need to be further analyzed when performing the final screening at subproject level at the stage of the local ESMPs' development.

Table 8: ESS highlights of the subproject in Mesoamerica

Mesoamerica (Guatemala, Panama) - specificities per ESS	**Yes**	**No**	**TBD**	**Disclosure**
ESS1: Environmental and Social Impact Assessment			X	ESMPs
No specific issues raised for this project site – general assessment applies.				
ESS 2: Protection of Natural Habitats and Biodiversity Conservation			X	ESMPs
The major threats in the subproject area are reflected in the high rates of fragmentation and loss of landscape connectivity. The main causes of this fragmentation are attributed to mining extraction, deforestation, fires, monocultures, and construction of roads. Please see summary of the site's Environmental context and global significance in section 2.4 and detailed description in the attached EoI document.				
ESS 3: Resettlement, Physical and Economic Displacement		X		ESMPs
N/A				
ESS 4: Indigenous Peoples	X			ESMPs
A specificity of this subproject is that it will work with three different indigenous peoples in two countries. The targeted communities are Maya, Garífuna (Guatemala), and Guna (Panamá).				
ESS 5: Resource Efficiency and Pollution Prevention			X	ESMPs
The project seeks to promote actions in the following productive areas: agriculture, agroforestry, NTFPs, fishing and tourism. Therefore, it will be important to ensure that these activities are resource efficient and that they avoid any kind of pollution.				
ESS 6: Cultural Heritage	X			ESMPs
Since the subproject site includes sites such as the Eco-Region Lachuá Ramsar Site (Guatemala), it will be important to pay special attention to this safeguard to ensure that the project promotes the conservation of cultural heritage, whether tangible or intangible, and does not cause harm.				
ESS 7: Labor and Working Conditions	X			ESMPs
Both CI and IUCN have the necessary policies, procedures, systems and capabilities in place to ensure adherence with this ESS. However, there is the possibility that under Component 1 the local organizations will be undertaking the contracting processes for consultants and services for the execution of the subprojects. At this stage it is not clear, whether and to what extent local organizations and their potential sub-contractors also have instruments in place to ensure adherence with the standard. The ESMPs therefore will need to specify that the global EAs will follow respective safeguards expectations to the local level when they carry out due diligence, sign grant agreements or contracts with local EAs. Specific comments related to risk of women discrimination have been raised by the organizations The ESMPs to be developed for each subproject will need to articulate with the Gender Management Plan of Component 1 in order to ensure that these aspects are addressed.				
ESS 8: Community Health, Safety and Security	X			ESMPs
As with other subprojects, COVID-19 pandemic is directly impacting the communities. The Kaqchikel Mayan community of Patzún in Guatemala had to be isolated to establish a sanitary cordon. Other communities are reported to be seriously impacted by the pandemic.				

The presence of extractive activities such as mining can cause conflicts and may need to be addressed in terms of security.				
ESS 9: Private Sector Direct Investments and Financial Intermediaries		X		ESMPs
N/A				
ESS 10: Climate Risk and Related Disasters			X	
Assessments at the country level, indicate that in Guatemala a reduction in the availability of water resources is expected due to the reduction of annual rainfall and higher temperatures in the medium and long terms. Projections on water availability indicate a reduction from 5% to 30% by 2050 over the 2010. Small farmers are expected to be seriously impacted by droughts associated to climate change. Assessments shows that farmers lose, on average, 55% of their basic grain production during drought periods. In Panama, the main water-related impacts of climate change include the increase in the frequency of extreme precipitation events and the consequent increase in floods/slides and periods of drought. These hazards can lead the IPLCs to situations that can prevent them from participating in the project activities. No information on connectivity has been obtained.				

6.5 Annapurna Conservation Area (Nepal)

Description of subproject:

The specific activities proposed under this project are:

1. ENHANCE CAPACITIES OF LOCAL INSTITUTIONS (CAMC- Conservation Area Management Council (potential new institution post-handover of ACA to communities) and CAMCs- Conservation Area Management Committees) and individuals of IPLCs in the ACA for better rights-based advocacy and governance of natural resources management, biodiversity conservation and climate change pertaining to global environment benefits.
2. ENHANCE CAPACITIES OF CUSTOMARY INSTITUTIONS OF INDIGENOUS PEOPLES such as Mukhiya System: Gau Mukhiya, Mir Mukhiya in Thakali, Ghyamba in Baragungle, Mithewa in Manang etc., NEFIN's member organizations/IPOs and its local chapters/PCCs/DCCs/VCCS, for better rights-based advocacy and governance of natural resources management, biodiversity conservation and climate change pertaining to global environment benefits;
3. PROMOTE SUSTAINABLE, PARTICIPATORY, JUST AND RESPONSIBLE NATURAL RESOURCE MANAGEMENT PRACTICES, REDD+ AND BIODIVERSITY CONSERVATION ensuring gender and social inclusion in the ACA.
4. DEVELOP IPLC-BASED GREEN ENTERPRISES AND SCOPE PES (Payment for Environment Services) and or biodiversity financing mechanisms to strengthen financial and economic sustainability of IPLC in the ACA.
5. PROMOTE NATURE-AND CULTURE-BASED SOLUTIONS to build IPLC's and ecosystems climate resilience generating mitigation co-benefits and building on local, traditional, and indigenous knowledge in the ACA.
6. DOCUMENTING AND DISSEMINATING THE KNOWLEDGE of IPLCs and practices on environment conservation, natural resources management and biodiversity conservation.
7. PROVIDE SUPPORT FOR THE BETTER CONSERVATION of the cultural sites or territories with conservation values.
8. SUPPORT THE LOCAL GOVERNMENT for the management of local environmental pollution.

9. DISCUSS AND DEVELOP BENEFITS SHARING MECHANISM on the revenues raised in the ACA between the Gandaki Province, Conservation Area Management Council and Conservation Area Management Committees in the new governance structure.

Specific ESS highlights of subproject:

The following table shows the specific ESS aspects of the project site that could be identified at the high-level screening stage. This identification will need to be further analyzed when performing the final screening at subproject level at the stage of the local ESMPs' development.

Table 9: ESS highlights of the subproject in the Annapurna Conservation Area

Annapurna Conservation Area - specificities per ESS	**Yes**	**No**	**TBD**	**Disclosure**
ESS1: Environmental and Social Impact Assessment			X	ESMPs
No specific issues related to this project site.				
ESS 2: Protection of Natural Habitats and Biodiversity Conservation			X	ESMPs
Local organizations identify a risk related to the choice of wrong/exotic species that grow fast for reforestation/afforestation activities could impact the natural ecology. Otherwise, general recommendation applies to this ESS. Please see summary of the site's Environmental context and global significance in section 2.4 and detailed description in the attached EoI document.				
ESS 3: Resettlement, Physical and Economic Displacement		X		ESMPs
N/A				
ESS 4: Indigenous Peoples	X			ESMPs
A specificity of this subproject is that the ACA has a fairly large population density of indigenous peoples comprising of 120,000 residents of different cultural and linguistic groups. Several communities are targeted: Gurung, Magar, Thakali, Manange, Baragungle and Tingaule Thakali, and that there are mainly two realities: a few sites have the largest concentration of tourists, whereas in many areas, the infiltration of tourism is very low or tourists just cross by thus increasing the dependence on natural resources even more. Particular efforts may be necessary to promote participation of the IPLC communities in the underserved areas, who can be more reserved. Also, different capacities and knowledge, as well as different gender challenges, can appear among the two groups.				
ESS 5: Resource Efficiency and Pollution Prevention			X	ESMPs
With ecotourism as the largest source of income followed by forestry, agriculture and agro-forestry, the project will help support to diversify sources of income beyond ecotourism. The project seeks to promote actions related to medicinal and aromatic plants and non-timber forest products. The subproject will need to ensure that these activities are resource efficient and that they avoid any kind of pollution. Tourism itself brings concerns related to environmental pollution. With increased tourism in the area, garbage generation and ineffective waste treatment can be a growing problem.				
ESS 6: Cultural Heritage	X			ESMPs

	Since the subproject site includes sites such as the Chitwan-Annapurna Landscape, the Ghorepani-Largest rhododendron forest and the Tillicho Lake, it will be important to pay special attention to this safeguard to ensure that the project promotes the conservation of cultural heritage, whether tangible or intangible, and does not cause harm.				
ESS 7: Labor and Working Conditions		X			ESMPs
	Both CI and IUCN have the necessary policies, procedures, systems and capabilities in place to ensure adherence with this ESS. However, there is the possibility that under Component 1 the local organizations will be undertaking the contracting processes for consultants and services for the execution of the subprojects. At this stage it is not clear, whether and to what extent local organizations and their potential sub-contractors also have instruments in place to ensure adherence with the standard. The ESMPs therefore will need to specify that the global EAs will follow respective safeguards expectations to the local level when they carry out due diligence, sign grant agreements or contracts with local EAs. Specific comments related to risk of women discrimination have been raised by the organizations The ESMPs to be developed for each subproject will need to articulate with the Gender Management Plan of Component 1 in order to ensure that these aspects are addressed.				
ESS 8: Community Health, Safety and Security		X			ESMPs
	Apart from the risks identified for the 9 sites, this site is affected by a particular risk: Human-Wildlife Conflict (HWC) due to major carnivorous animals like the Snow Leopard and Common leopard for livestock depredation; omnivorous animals like the Black Bear for human injury and crop damage; and herbivores like the Porcupine and Rhesus monkey for crop damage in the area (MEE/DNPWC, 2018). Cases of human injury are 2/3 per year due to Himalayan Black Bear. It will be important to address this specific risk when assessing this ESS.				
ESS 9: Private Sector Direct Investments and Financial Intermediaries			X		ESMPs
	N/A				
ESS 10: Climate Risk and Related Disasters				X	ESMPs
	Warming trends of both maximum and minimum temperatures during the entire 21st century over the whole country, in general, with higher intensities at higher altitude regions, have been predicted by the models. Overall annual precipitation in the country is found to be decreasing by 2% of the baseline amount by 2020s. However, it increases by 6% and 12% of the baseline by 2050s and 2080s respectively. IPLCs in Nepal are highly vulnerable to climate change due to the steep topography, tectonically active geology, and related risks from natural disasters. The high dependency on climate -sensitive natural resources will lead climate trends to increase their degree of vulnerability. These hazards can lead the IPLCs to situations that can prevent them from participating in the project activities. With regard to connectivity: Depending on programs being implemented in the regions, there is some access to capacity building and training programs. Government schools also do exist the quality of which is nominal. The communities who can afford it send their children to the province capital, if not to the country capital and sometimes abroad as well for better education. In terms of facilities, the National Trust for Nature Conservation has developed trail routes for trekking and do not have road access, while some areas are expanding roads for transport access.				

	Regarding internet and Wi-Fi access, some areas do have mobile and 4G access while some areas just have mobile access with internet, again others have telephones and wi-fi and some have just CDMA phones and no internet access at all. With the variance of prices for smart phones and if mobile services are accessible, people do have mobile phones as well.

6.6 Ewaso Ng'iro River Basin (Kenya)

Description of the subproject:

The activities proposed for support will unfold in five stages:

1. STAGE 1: DOCUMENTING PRESENCE: The first stage of this project will involve establishing clear, well-marked and mapped boundaries of the ICCA. This stage will involve: creation of biocultural maps of the Ewaso Ng'iro River Basin; generation of data evidencing pastoralists' presence in the area and contribution to biodiversity conservation across time; and modeling of the proposed ICCA. A Council of Elders will be brought together to facilitate intergenerational and gender balanced dialogue about future plans for the ICCA.
2. STAGE 2: DECLARATION AND LEGAL EMPOWERMENT: The next stage of the project will involve working with pastoralist communities to ensure that their occupation of lands and waters, as well as their governance of the resources, is recognized by national and international authorities. The project will support communities in attaining legal recognition for their community land and in registering community conservancies if so desired. The project will also work with a Council of Elders from across the Ewaso Ng'iro River Basin to develop Biocultural Community Protocols (BCPs) to set out rights and responsibilities under customary, state, and international law as the basis for engaging with external actors, such as governments, companies, academics, and NGOs.
3. STAGE 3: MANAGEMENT PLANS: Stage 3 of the project will involve management planning, which is the process by which an ICCA develops a vision, strategy and actions required for managing the area. With widespread participation and input, the Council of Elders will develop a plan that outlines pastoralists communities' aspirations for the management and governance of land and resources in the Ewaso Ng'iro River Basin. The management plan will include measurable objectives demonstrating how the ICCA will address key threats and achieve biodiversity conservation, cultural integrity, and community benefits.
4. STAGE 4: MONITORING AND EVALUATION: After a management plan has been prepared, Stage 4 will involve supporting communities in monitoring progress towards the measurable objectives outlined in the management plan. Communities will be trained and supported in monitoring the presence of biodiversity, environmental changes that can be observed over time and social and economic development indicators. Mobile phones will be used to promote "citizen science" as a method of monitoring and evaluating progress.
5. STAGE 5: ONGOING SELF-STRENGTHENING, COMMUNICATION AND ADVOCACY: In addition to managing the physical and biological aspects of an ICCA, it is equally important to have appropriate processes in place for managing the flow of traditional knowledge – particularly as knowledge held by the elders' risks being lost as younger generations change their lifestyles. A Knowledge Centre (physical building with a digital presence) will be created to ensure the flow of knowledge from one generation to another and share knowledge about the ICCA with other stakeholders, including conservation stakeholders who wish to learn about pastoralists' contribution to conservation.

Specific ESS highlights of subproject:

The following table shows the specific ESS aspects of the project site that could be identified at the high-level screening stage. This identification will need to be further analyzed when performing the final screening at subproject level at the stage of the local ESMPs' development.

Table 10: ESS highlights of the subproject in the East African Drylands (Kenya)

East African Drylands (Kenya)- specificities per ESS	Yes	No	TBD	Disclosure
ESS1: Environmental and Social Impact Assessment			X	ESMP
No specific issues related to this project site - general assessment applies.				
ESS 2: Protection of Natural Habitats and Biodiversity Conservation			X	ESMP
A specificity of the subproject is that it requires cooperation from public and private biodiversity conservation stakeholders with differing ideas about how conservation should be done. Otherwise, general assessment applies. Please see summary of the site's environmental context and global significance in section 2.4 and detailed description in the EoI document.				
ESS 3: Resettlement, Physical and Economic Displacement		X		ESMP
N/A				
ESS 4: Indigenous Peoples	X			ESMP
A specificity of this subproject is that it will require cooperation between several different indigenous communities, which are seasonal (Pokot) and permanent (Borana; Gabra; Maasai (Laikipiak); Rendille; Samburu; Somali; Turkana). Each of these communities has their own unique relationship with the land and environment. At times, this has resulted in competing claims to land and natural resources as well as inter-communal conflict.				
ESS 5: Resource Efficiency and Pollution Prevention			X	ESMP
The subprojects will implement activities that reduce water scarcity, protect marine ecosystems, sustainably manage forests, improve management of rangelands and grasslands, maintain ecosystems for wildlife, and link protected areas. It is not clear if it will promote actions related to economic activities that could harm the environment. If this is the case, the subproject will need to ensure that these activities are resource efficient and that they avoid any kind of pollution.				
ESS 6: Cultural Heritage	X			ESMP
Since the subproject site includes sites such as Mount Kenya World Heritage Site, Lewa Biosphere Reserve, Lenkiyio Hills/Matthews Range; Mukogodo Forest Reserve; Ngare Ndare Forest Reserve; Samburu National Reserve; Shaba National Reserve and Buffalo Springs National Reserve, as well as wildlife sanctuaries such as the Sera Rhino Sanctuary and the Reteti Elephant Sanctuary, it will be important to pay special attention to this safeguard to ensure that the project promotes the conservation of cultural heritage, whether tangible or intangible, and does not cause harm. In addition, this subproject area includes unique sacred sites, which, along with animal totems, inform pastoralists' cultural attachments to land and their interactions with important ecological functions and ecosystems. The subproject aims to restore and preserve at least 12 sacred sites associated with 6 different pastoralist groups.				
ESS 7: Labor and Working Conditions	X			ESMP

	Both CI and IUCN have the necessary policies, procedures, systems and capabilities in place to ensure adherence with this ESS. However, there is the possibility that under Component 1 the local organizations will be undertaking the contracting processes for consultants and services for the execution of the subprojects. At this stage it is not clear, whether and to what extent local organizations and their potential sub-contractors also have instruments in place to ensure adherence with the standard. The ESMPs therefore will need to specify that the global EAs will follow respective safeguards expectations to the local level when they carry out due diligence, sign grant agreements or contracts with local EAs. Specific comments related to risk of women discrimination have been raised by the organizations The ESMPs to be developed for each subproject will need to articulate with the Gender Management Plan of Component 1 in order to ensure that these aspects are addressed.				
ESS 8: Community Health, Safety and Security		X			ESMP
	Apart from the risks identified for the 9 sites, this site is particular because of the complexity of the biodiversity conservation landscape in the Upper and Mid Ewaso Ng'iro River Basin, that constitutes a further risk due to the possibility of increased tension or dispute between conservation stakeholders. Such tensions are foreseen to being particularly likely when it comes to securing land for Indigenous Peoples and Local Communities (IPLCs) in a landscape that has been historically dominated by settlers, political elites, and foreign conservation finance. Although the project would promote activities that reduce habitat loss and fragmentation by strengthening IPLCs, external forces may still enable exclusionary situations. Relatedly, as ecosystems and landscapes across the Upper and Mid Ewaso Ng'iro River Basin are restored through the subproject, improved grazing lands and water sources could attract pastoralists and their livestock from across the region – particularly during times of drought or hardship. Growing demand for improved land and natural resources could escalate existing tensions between certain pastoralist groups and lead to new disputes over rights of access.				
ESS 9: Private Sector Direct Investments and Financial Intermediaries				X	ESMP
	N/A				
ESS 10: Climate Risk and Related Disasters				X	ESMP
	The increasing variability in climate and the projected incremental changes in air and sea temperatures, precipitation, and sea level, together with changes in the frequency and severity of extreme events will have significant implications for social, economic, and environmental systems. Changes in precipitation patterns are likely to directly increase the likelihood of short-term crop failures and long-term production declines. Rain-fed agriculture is and will remain the dominant source of staple food production and the livelihood foundation of most of the rural poor in Kenya. The high inter-annual unpredictability in precipitation is already having devastating consequences on rural livelihoods in Kenya, including the Drylands where the subproject area is located. These hazards can lead the IPLCs to situations that can prevent them from participating in the project activities. Regarding connectivity: in many parts of the Upper and Mid Ewaso Ng'iro River Basin, access to relevant capacity building and training and education facilities remains limited. These services are primarily accessible in urban centers, such as Maralal, Nanyuki, and Isiolo.				

	However, internet connectivity and the availability of electronic devices is rapidly expanding across the region. Solar energy is also commonly used as a source of power across the basin. Although the network remains patchy in some parts of the Upper and Mid Ewaso Ng'iro River Basin, IMPACT increasingly works virtually with partners across the basin by making use of mobile devices and the internet connection that is currently available. Additionally, IMPACT has a physical presence in many communities within the river basin, which makes up for the lack of connective and physical infrastructure. Use of radio has been identified as a suitable means of communication.

6.7 Northern Tanzania (Tanzania)

Description of the subproject:

The specific activities proposed under this project are:

OUTCOME 1: COMMUNAL VILLAGE LANDS IN THREE KEY BIODIVERSE LANDSCAPES ARE LEGALLY SECURED FOR INDIGENOUS COMMUNITIES THROUGH PARTICIPATORY LAND USE PLANNING AND LAND TENURE MECHANISMS.

1. Raise community awareness and engagement on land laws and policies governing land and natural resources.
2. Facilitate 14 CVLs, 18 Village LUPs (VLUPs) and 14 communal CCROs for villages in the three clusters across the landscape.
3. Monitor and evaluate adherence to VLUPs, CCROs, and natural resource governing by-laws in all villages and assist village councils with updates or modifications where necessary and possible.

OUTCOME 2: COMMUNAL VILLAGE LANDS AND NATURAL RESOURCES IN THREE KEY BIODIVERSE LANDSCAPES ARE SUSTAINABLY MANAGED BY INDIGENOUS GOVERNING STRUCTURES

1. Train and coach village councils and natural resource committees responsible for managing rangeland and forest resources (e.g., holistic grazing and rangeland restoration principles, watershed protection).
2. Facilitate establishment, training and coaching of multi-village rangeland committees and link them to District and National level Rangeland Councils using a nested approach to support community conserved areas.
3. Train and coach WRLFs, youth, and traditional leaders in land and natural resource management to improve broad community engagement and inclusion in decision-making.
4. Equip and train village grazing coordinators and community natural resource monitors responsible for ecological monitoring, protection, and enforcement of agreed plans and by-laws.

OUTCOME 3: COMMUNAL VILLAGE LANDS AND NATURAL RESOURCES IN THREE KEY BIODIVERSE LANDSCAPES ARE SUSTAINABLY GENERATING NATURAL RESOURCE-BASED BENEFITS FOR INDIGENOUS COMMUNITIES AND THUS SUPPORTING LONG-TERM CONSERVATION OUTCOMES

1. Train and coach village councils and CBO's (e.g., Makame WMA, EECDI, Lake Eyasi Cultural Tourism Board) in management and use of community funds generated by tourism.
2. Train and coach village councils and CBO's in management and use of community funds generated by carbon offset sales.
3. Train and coach savings and credit groups targeting women and youth.
4. Develop sustainable natural resource-based income generating activities (e.g., beekeeping, traditional medicine, livestock fattening).

Specific ESS highlights of subproject:

The following table shows the specific ESS aspects of the project site that could be identified at the high-level screening stage. This identification will need to be further analyzed when performing the final screening at subproject level at the stage of the local ESMPs' development.

Table 11: ESS highlights of the subproject in the East African Drylands (Tanzania)

East African Drylands (Tanzania)- specificities per ESS	Yes	No	TBD	Disclosure
ESS1: Environmental and Social Impact Assessment			X	ESMP
No specific issues related to this project site.				
ESS 2: Protection of Natural Habitats and Biodiversity Conservation			X	ESMP
General recommendation applies to this ESS. No specific issues raised for this project site. Please see summary of the site's Environmental context and global significance in section 2.4 and detailed description in the attached EoI document.				
ESS 3: Resettlement, Physical and Economic Displacement		X		ESMP
N/A				
ESS 4: Indigenous Peoples	X			ESMP
A specificity of this subproject is that it includes various communities: Akie, Datoga, Hadzabe, Iraqw, Maasai, that were traditionally pastoralists and hunter-gatherers. The intervention is proposed to be organized in three distinct geographic clusters that reflect dynamics of the ecosystems and of the communities: the Makame-Simanjiro cluster, the Lake Natron and west Longido cluster, and the Lake Eyasi and Yaeda Valley cluster. Some of the communities have been marginalized as a result of formal administration structures and the leadership roles taken by sedentary and formally educated groups. In the area, 70 percent of households experience food insecurity, including 34 percent that experience severe food insecurity. The different communities have different modalities of governance structures. The project will need to look at the particularities of each of the communities to seek their effective participation.				
ESS 5: Resource Efficiency and Pollution Prevention			X	ESMP
The project seeks to promote actions related to beekeeping, traditional medicine, livestock fattening. The subproject will need to ensure that these activities are resource efficient and that they avoid any kind of pollution.				
ESS 6: Cultural Heritage	X			ESMP
Since the subproject site includes sites such as Lake Natron and the Makame Community Wildlife Management Area, it will be important to pay special attention to this safeguard to ensure that the project promotes the conservation of cultural heritage, whether tangible or intangible, and does not cause harm. Lands are reported to hold deep cultural significance for people that, for centuries, have been tied to places, including sacred forests and mountains such as the Oldonyo lengai mountain of God.				
ESS 7: Labor and Working Conditions	X			ESMP

	Both CI and IUCN have the necessary policies, procedures, systems and capabilities in place to ensure adherence with this ESS. However, there is the possibility that under Component 1 the local organizations will be undertaking the contracting processes for consultants and services for the execution of the subprojects. At this stage it is not clear, whether and to what extent local organizations and their potential sub-contractors also have instruments in place to ensure adherence with the standard. The ESMPs therefore will need to specify that the global EAs will follow respective safeguards expectations to the local level when they carry out due diligence, sign grant agreements or contracts with local EAs. Specific comments related to risk of women discrimination have been raised by the organizations The ESMPs to be developed for each subproject will need to articulate with the Gender Management Plan of Component 1 in order to ensure that these aspects are addressed.				
ESS 8: Community Health, Safety and Security		X			ESMP
	Apart from the risks identified for the 9 sites, it is reported that this subproject could be affected particularly by a boundary conflict management between village borders for those villages targeted for Land Use Plans.				
ESS 9: Private Sector Direct Investments and Financial Intermediaries			X		ESMP
	N/A				
ESS 10: Climate Risk and Related Disasters				X	ESMP
	Climate change may increase the frequency of flooding, drought, and land degradation, and subsequently affect the wildlife in both Lake Manyara National Park and the Masai Mara Game Reserve, which are closely connected to seasonality and climatic conditions. It is predicted that changes in climate as well as changes in the lake and hydrological conditions may alter migration patterns, breeding of birds and other wildlife dependent on the lake. As the growth of grass and vegetation changes in the Serengeti with altered rainfall patterns, annual migrations will also shift. More frequent droughts may increase the pressure on the reserve by pastoralists. Changed local climate may also change the human use of land adjacent to the reserve, on which wildlife in the reserve interacts. In the rangeland areas, changes in the mean temperature and rainfall, and the increased variability of rainfall, result to prolonged length of dry seasons and increased severity of periodic droughts that reduces water and pastures availability for the livestock. Limited availability of pastures and water has often resulted in resource use conflicts between crop cultivators and livestock keepers, particularly in the catchment areas and crater basins. These hazards can lead the IPLCs to situations that can prevent them from participating in the project activities. Regarding connectivity: the target areas are remote and, in most cases, not accessible on local phone leave alone internet. There is increased access to phones which in most cases do not access internet services. Due to limited resources, these communities also access limited trainings and capacity buildings. Government priorities do not also focus on Land tenure security and management. As much as government is also trying to address existing challenges, needs and demand are more than the available resources or the government capacity.				

6.8 DR Congo (DRC)

Description of subproject:

The specific activities proposed under this project are:

1. STRENGTHEN THE PROCESS OF IDENTIFICATION AND DOCUMENTATION OF APAC IN THE THREE MAJOR BIO-CULTURAL LANDSCAPES IN THE DRC: The aim is to continue the process of identifying 30 new conservation areas -APACs, at a rate of 10 APACs per biocultural landscape, and to strengthen 17 already active APACs by fully supporting them in the ongoing process. These 47 APACs will constitute
2. an important support force for advocacy for the State's commitment to secure them.
3. STRENGTHEN THE CAPACITY OF INDIGENOUS PEOPLES' AND LOCAL COMMUNITIES' INSTITUTIONS IN THE GOVERNANCE AND MANAGEMENT of 47 typical APACs in the three bio-cultural landscapes under consideration: Indigenous Peoples and local communities have traditional systems of governance that have proven successful in maintaining biodiversity and ecosystems. During the field workshops, the project will engage the institutions of Indigenous Peoples and local communities that are related to the identified ACPAs. The project will work with them to analyze how they govern and manage these ACPAs, identifying their belief and value systems, knowledge, skills, rules for natural resource use, monitoring, defense, peacekeeping and community stability systems. The APAC Consortium's Autonomous Reinforcement Process (ARP) tool will be used in each APAC to give communities the opportunity to make their own findings and develop their own analysis and activity planning.
4. STRENGTHEN THE RESILIENCE OF ACPA'S CUSTODIAL COMMUNITIES in the face of various threats to ACPA: ACPA communications with communities will highlight assets and challenges related to the management and sustainability of ACPA. These discussions will be conducted in a manner that is deeply adapted to the communication patterns of indigenous peoples and local communities, using visual aids and allowing local words and concepts to emerge. They will result in identifying the types of support, both legal and socio-economical, that are appropriate and effective to strengthen the sustainability of ACPAs.
5. IDENTIFY APPROPRIATE AND EFFECTIVE OPTIONS FOR THE LEGAL RECOGNITION OF APAC IN THE DRC: The legal recognition of ACPA assumes that it finds one or more legal options of reference. These options need to be carefully identified and analyzed as lessons learned about ACPAs around the world reveal that the dangers of receiving inappropriate recognition are even greater than receiving none. Legal organizations will be engaged with the most directly interested actors, i.e., the institutions of indigenous peoples and local communities in the country, as well as allies and other stakeholders in nature conservation in the DRC. Together, they will be able to develop "appropriate" and desirable options based on several criteria and perspectives.
6. INFORM AND ADVOCATE FOR THE LEGAL RECOGNITION OF APAC IN THE DRC: An indispensable phase of information dissemination and advocacy will then be carried out with the various actors having legislative, political, and administrative influence on the official recognition of the APAC, both at the national and provincial levels
7. DEVELOP LOCAL ECONOMIC ACTIVITIES to help defray some of the costs of conservation and thus ensure part of its sustainability: Despite the commitment to accompany and support the efforts of IPCLs in the sustainable conservation of their ACPAs, experience has shown us that some threats to the biodiversity of the ACPAs evolve in many forms, such as poverty and other community needs that can undermine community engagement. It is important to be able to reinforce this resilience to these kinds of threats through income generating activities that are culturally adapted and respectful of the

sustainable management of biodiversity (for example, support the development and processing of non-timber forest NTFPs, artistic products, agriculture, local tourism in landscapes where this is possible).

Specific ESS highlights of subproject:

The following table shows the specific ESS aspects of the project site that could be identified at the high-level screening stage. This identification will need to be further analyzed when performing the final screening at subproject level at the stage of the local ESMPs' development.

Table 12: ESS highlights of the subproject in the Eastern, Central and Western parts of the DRC

DR Congo (DRC) - specificities per ESS	Yes	No	TBD	Disclosure
ESS1: Environmental and Social Impact Assessment			X	ESMP
No specific issues related to this project site.				
ESS 2: Protection of Natural Habitats and Biodiversity Conservation			X	ESMP
General assessment applies. Please see summary of the site's Environmental context and global significance in section 2.4 and detailed description in the attached EoI document. Habitats are threatened by illegal industrial and artisanal logging, industrial and artisanal mining especially in the provinces of North and South Kivu, accompanied by overexploitation of wildlife and other natural resources, climate change and natural disasters.				
ESS 3: Resettlement, Physical and Economic Displacement		X		ESMP
N/A				
ESS 4: Indigenous Peoples	X			ESMP
This subproject will work with various communities: Bambuti, Babuluko, and Batwa. Today in the DRC, indigenous peoples and local communities remain marginalized and official recognition of their participation in the governance and management of natural resources is almost non-existent. IPLCs have become aware of these phenomena and have engaged in a process of promoting the Indigenous and Community Heritage Areas and Territories (APACs) in the DR Congo for their legal recognition. A risk has been raised related to potential misinterpretation by indigenous peoples and local communities of inclusive conservation, considering that it is an approach motivated by those who have supported and continue to support strict integral conservation and the creation of protected areas, who have deprived the IPLCs of access to the resources of their traditional territories, and even the governance and management of their territories. Participation shall need to be guaranteed by the project, considering these circumstances.				
ESS 5: Resource Efficiency and Pollution Prevention			X	ESMP
The project seeks to promote actions related to non-timber forest products (NTFPs), artistic products, agriculture, local tourism. The subproject will need to ensure that these activities are resource efficient and that they avoid any kind of pollution.				
ESS 6: Cultural Heritage	X			ESMP

Since the subproject site includes sites such as key biodiversity areas, collective and seasonal fishing and hunting areas associated with cultural and community values and other areas of high value, it will be important to pay special attention to this safeguard to ensure that the project promotes the conservation of cultural heritage, whether tangible or intangible, and does not cause harm.				
ESS 7: Labor and Working Conditions	X			ESMP
Both CI and IUCN have the necessary policies, procedures, systems and capabilities in place to ensure adherence with this ESS. However, there is the possibility that under Component 1 the local organizations will be undertaking the contracting processes for consultants and services for the execution of the subprojects. At this stage it is not clear, whether and to what extent local organizations and their potential sub-contractors also have instruments in place to ensure adherence with the standard. The ESMPs therefore will need to specify that the global EAs will follow respective safeguards expectations to the local level when they carry out due diligence, sign grant agreements or contracts with local EAs. Specific comments related to risk of women discrimination have been raised by the organizations The ESMPs to be developed for each subproject will need to articulate with the Gender Management Plan of Component 1 in order to ensure that these aspects are addressed.				
ESS 8: Community Health, Safety and Security	X			ESMP
Apart from the risks identified for the 9 sites, a specific issue for this subproject is that insecurity is reported in some project areas, especially in localities in eastern DR Congo, such as the northern part of North Kivu province, in the Beni and Lubero territories.				
ESS 9: Private Sector Direct Investments and Financial Intermediaries		X		ESMP
N/A				
ESS 10: Climate Risk and Related Disasters			X	ESMP
With regard to near-surface atmospheric temperature, all the models evaluated indicate a significant warming towards the 2100s, in all seasons, regardless of the baseline scenario. On the whole, the temperature rise forecasts are slightly below average in the north and slightly above average in the center of the Congo Basin region. On the other hand, for extreme temperatures (frequency of cold/hot days and nights), a resurgence of hot days and nights is to be expected in the future. The assessment of climate change in the Congo Basin revealed that it is unlikely that the predicted changes in precipitation are leading to widespread water shortages in the region. On the other hand, the assessment revealed a greater likelihood of prolonged and more frequent periods of drought. These hazards can lead the IPLCs to situations that can prevent them from participating in the project activities. Regarding connectivity: The 3 biocultural landscapes are connected by provincial capitals. Although the road infrastructures are not in good condition, ANAPAC's representations in these areas will serve as a framework to facilitate this connectivity. There are minimum frameworks in the provincial capitals for training and education, Internet connection, availability of electronic devices. However, this will require support to the beneficiaries if they come from the remote areas of the project.				

6.9 Lau Seascape and Cook Islands (Fiji and Cook Islands)

Description of subproject:

The specific activities proposed under this project are:

OUTCOME 1: KNOWLEDGE AND AWARENESS OF TRADITIONAL GOVERNANCE AND STEWARDSHIP STRENGTHENED AMONG IPLC.

Activity 1.1. Strengthen the knowledge of traditional governance and resource management practices, in alignment with national laws.

Activity 1.2. Document cultural knowledge and heritage of IPLC, including linkages between religion and traditional stewardship.

Activity 1.3. Build knowledge and awareness of arts, culture and natural heritage among IPLC youth.

OUTCOME 2: IMPROVED MANAGEMENT OF NATURAL AND CULTURAL RESOURCES IN IPLC GEOGRAPHIES, RESULTING IN INCREASED RESILIENCE, FOOD SECURITY AND PROTECTION OF NATURAL AND CULTURAL HERITAGE.

Activity 2.1 Establish tools and frameworks to ensure the protection of cultural resources.

Activity 2.2 Strengthen application of cultural approaches to natural resources management, including traditional farming, agroforestry restoration and traditional medicine.

Activity 2.3 Improve management of coastal fisheries and marine resources.

OUTCOME 3: IPLC PARTNER ORGANIZATIONAL AND FINANCIAL MANAGEMENT CAPACITY SUBSTANTIALLY STRENGTHENED.

Activity 3.1 Identify pathways for economic development of IPLC groups, with specific focus on income-generating opportunities for women and youth.

Activity 3.2 Strengthen financial and project management capacity of IPLCs.

Specific ESS highlights of subproject:

The following table shows the specific ESS aspects of the project site that could be identified at the high-level screening stage. This identification will need to be further analyzed when performing the final screening at subproject level at the stage of the local ESMPs' development.

Table 13: ESS highlights of the subproject in the Fiji Lau Seascape and Exclusive Economic Zone of the Cook Islands

Fiji Lau Seascape and Exclusive Economic Zone of the Cook Islands (Pacific) - specificities per ESS	**Yes**	**No**	**TBD**	**Disclosure**
ESS1: Environmental and Social Impact Assessment			X	ESMP
No specific issues related to this project site.				
ESS 2: Protection of Natural Habitats and Biodiversity Conservation			X	ESMP
General assessment applies. Please see summary of the site's Environmental context and global significance in section 2.4 and detailed description in the EoI document.				
ESS 3: Resettlement, Physical and Economic Displacement		X		ESMP

N/A				
ESS 4: Indigenous Peoples	X			ESMP
A specificity of this subproject is that the Indigenous communities in these geographies have strong cultural and economic ties to the ocean resources, as voyagers, fishers and island dwellers. This proposal focuses on providing support to two Indigenous Polynesian Peoples with a shared cultural herniate – the House of Ariki in the Cook Islands and the Bose Vanua o Lau in Fiji. The subproject will have to promote participation of inhabitants that are widely dispersed and live on an elevated number of islands: The project is expected to develop the enabling conditions for sustainable management of the Lau Seascape, encompassing 335,000 km^2 of ocean, inclusive of 50,000 km^2 of high protection areas within the archipelagic waters of Lau. In the Cook Islands, the project will strengthen capacity of the House of Ariki to engage in and contribute to planning for the Marae Moana Marine Park (1.9 million km^2) and management on the 50 nm/70 km^2 of ocean surrounding each island.				
ESS 5: Resource Efficiency and Pollution Prevention			X	ESMP
The project seeks to promote actions related to improving local value chains, increase market access for rural communities, strengthen market access and economic returns from sale of handicrafts, both domestically and abroad. Although the subproject has the aim to keep traditional practices leading to reduction in the use of chemical additives and restoration of degraded lands through traditional agroforestry practices, and overall improving the management of marine and terrestrial ecosystems, it will need to ensure that all economic activities are resource efficient and that they avoid any kind of pollution.				
ESS 6: Cultural Heritage	X			ESMP
Since the subproject site includes sites such as the Navatu Reef MPA, Duff Reef Turtle Sanctuary, the Totoya-Daveta Tabu World Heritage Site (Fiji), the Marae Moana Marine Park, Pukapuka Reserve, the Maninhiki Protected Area, and a large number of other areas with different levels of protection, it will be important to pay special attention to this safeguard to ensure that the project promotes the conservation of cultural heritage, whether tangible or intangible, and does not cause harm. The subproject, nonetheless, devotes several activities to the cultural mapping of traditional knowledge to document ceremonies, dialects, heritage sites, to building knowledge and awareness of arts, culture, and natural heritage among youth, and to improve management of natural and cultural resources in IPLC geographies.				
ESS 7: Labor and Working Conditions	X			ESMP
Both CI and IUCN have the necessary policies, procedures, systems and capabilities in place to ensure adherence with this ESS. However, there is the possibility that under Component 1 the local organizations will be undertaking the contracting processes for consultants and services for the execution of the subprojects. At this stage it is not clear, whether and to what extent local organizations and their potential sub-contractors also have instruments in place to ensure adherence with the standard. The ESMPs therefore will need to specify that the global EAs will follow respective safeguards expectations to the local level when they carry out due diligence, sign grant agreements or contracts with local EAs. Specific comments related to risk of women discrimination have been raised by the organizations The ESMPs to be developed for each subproject will need to articulate with the Gender Management Plan of Component 1 in order to ensure that these aspects are addressed.				
ESS 8: Community Health, Safety and Security	X			ESMP
No particular risk different from the risks identified for the 9 sites.				

ESS 9: Private Sector Direct Investments and Financial Intermediaries		X		ESMP
N/A				
ESS 10: Climate Risk and Related Disasters			X	ESMP
El Niño and La Niña events will continue to occur in the future, but there is little consensus on whether these events will change in intensity or frequency. Annual mean temperatures and extremely high daily temperatures will continue to rise. There is a range in model projections in mean rainfall, with the model average indicating little change in annual rainfall but an increase in the wet season, with more extreme rain events. The proportion of time in drought is projected to decrease slightly. Sea-level will continue to rise. Ocean acidification is expected to continue. The risk of coral bleaching is expected to increase. Wave height is projected to decrease across the area in the wet season, with a possible small increase in dry season wave heights. Tropical cyclones (TCs) are projected to be less frequent but more intense. These hazards can lead the IPLCs to situations that can prevent them from participating in the project activities. Regarding connectivity: The Lau region has limited internet connection privy to only the immediate laying islands from the capital city hub. The southern Lau islands have no connections to the grid but are accessible through VT set TLF internet connections that connect the registered school facilities in all Lau islands. The internet connection is only available for educational purposes of the school and often there are technical connection issues from time to time that often await technical support from Suva.				

6.10 Thailand (Thailand)

Description of subproject:

The specific activities proposed under this project are:

1) PROMOTION AND SUPPORT OF LAND, WATER, AND FOREST RESOURCES BY INDIGENOUS PEOPLE.

- Prepare land-use maps based on traditional customs/knowledge
- Support good practices in resource, water, forest, and fire management, as well as food security.
- Institute local regulations and governances.
- Declare special ethnic cultural zones
- Land use and bio-diversity resource conservation map in 21 smaller watersheds
- Good practices in indigenous resource management in 10 sites
- Local regulations on resource management in at least 7 areas
- Special ethnic cultural zones in at least five sites

2) CREATION OF UNDERSTANDING AND ACCEPTANCE OF RIGHTS IN RESOURCE MANAGEMENT IN ACCORDANCE WITH TRADITIONAL INDIGENOUS CULTURE AND CUSTOMS

1. Produce campaign media to create awareness of government agencies and public – Inform development of laws and policies, especially in promoting indigenous lifestyles through participation in the name of Network of Indigenous Peoples in Thailand (NIPT)
2. Data and media for campaigns to create understanding and acceptance of indigenous lifestyles in the use and management of resources and bio-diversity - Laws or policies, especially those promoting indigenous lifestyles - Moral support from civil society e.g. academics, students, media, organic social enterprise network, organic chefs etc.

3) MANAGEMENT OF THE ENVIRONMENT AND DECREASE IN THE IMPACT OF CLIMATE CHANGE

3. Manage community trash - Conduct Studies/research on the management of fires and forest fires by indigenous communities based on traditional knowledge and innovation - Conduct study on the effects of global warming and ways and plans of adaptation to it at the community level
4. Proper community system for environment-friendly trash management - Community plans to adapt to impacts of climate change in at least 10 smaller watersheds

4) ECONOMIC DEVELOPMENT AND THE ESTABLISHMENT OF FOOD SECURITY IN INDIGENOUS COMMUNITIES

- Promote alternative and appropriate occupations that conform to local ecologies, e.g., bee keeping, eco-tourism, handicrafts and animal raising
- Increase rich biodiversity in ecosystem and cultural landscape at least 10 sites
- Increase and maintain of varieties of indigenous seeds and plants for food sovereignty and biodiversity
- Promote recovering of forest to enrich biodiversity, food and NTFPs in cultural landscape.
- Promote alternative occupations in dynamic and innovation ways e.g., rotational farming, agro-forestry etc. for community food security and food sovereignty traditional and innovation system at least 7 sites
- Increased local products for food and income based on traditional knowledge and innovation mechanisms at least 7 sites
- Increased community income and food security
- Diverse forests beneficial to the community

5) ADVANCEMENT OF KNOWLEDGE AND TRANSMISSION OF INDIGENOUS KNOWLEDGE TO NEW GENERATIONS

- Develop curricula for transmission of knowledge in the community and school, e.g., study of nature
- Promote learning and its transmission (study of nature, children and youth camps, food security festivals, etc.)
- Media and curricula for learning appropriate to the culture and local indigenous lifestyle
- Youth are aware and want to learn about their own culture
- Establish centers of study and learning about plant varieties for youth and others interested in at least 5 sites

Specific ESS highlights of subproject:

The following table shows the specific ESS aspects of the project site that could be identified at the high-level screening stage. This identification will need to be further analyzed when performing the final screening at subproject level at the stage of the local ESMPs' development.

Table 14: ESS highlights of the subproject in parts of North and South Thailand

Parts of North and South Thailand (Mainland South East Asia - specificities per ESS	**Yes**	**No**	**TBD**	**Disclosure**
ESS1: Environmental and Social Impact Assessment			X	ESMP
No specific issues related to this project site.				

ESS 2: Protection of Natural Habitats and Biodiversity Conservation			X	ESMP
General assessment applies. Please see summary of the site's Environmental context and global significance in section 2.4 and detailed description in the EoI document. A specific issue has been raised regarding to the risk of forest fires: the organizations report that they may occur mostly in adjacent areas and spread to indigenous conservation forests where areas of dry leaves have greatly been accumulated and, thus, are easily ignited and difficult to extinguish and negatively impact the local ecology. Another risk is identified related to the need of external market in using NTFPs by outsiders who do not understand the traditional ways of forest management and/or intentionally violating the community's regulations. This will result in the encroachment of community conservation areas to collect NTFPs. For examples, the collection of forest mushrooms, bamboo worms, bamboo shoots, honey, herbs and plants, and wildlife can decidedly impact on and upset the local ecology. Re-setting this balance takes some time. The ESMP will need to address these potential risks.				
ESS 3: Resettlement, Physical and Economic Displacement		X		ESMP
N/A				
ESS 4: Indigenous Peoples	X			ESMP
A specificity of this subproject is that it will encompass 77 indigenous communities of 7 ethnic groups in Thailand, namely, Karen, Hmong, Lisu, Lahu, Iu Mien, Akha, and Mani. Each of the 7 ethnic groups have traditional knowledge concerning land use derived from learning and cultural transmission and are very closely related to nature. The 12 Mani communities are hunter gatherers, and their culture and lifestyle are different from other indigenous groups.				
ESS 5: Resource Efficiency and Pollution Prevention			X	ESMP
The project seeks to promote actions related to management, conservation and use of natural resources based on traditional indigenous wisdom, such as rotational agriculture, local forest fire management, practices that have not yet been fully accepted or supported, the subproject will need to ensure and the challenge to demonstrate that these activities are resource efficient and that they avoid any kind of pollution or harm to the environment. This applies also to the activities that will promote alternative and appropriate occupations that conform to local ecologies, e.g., bee keeping, eco-tourism, handicrafts and animal raising; food production and NTFPs.				
ESS 6: Cultural Heritage	X			ESMP
Since the subproject site includes sites such as the National Parks Ob Luang, Mae Ngao, Oob Khan, and Nam Dang and Wildlife Sanctuaries such as Mae Lao-Mae Sae, Ton Nga Chang and Banthat Mountain, it will be important to pay special attention to this safeguard to ensure that the project promotes the conservation of cultural heritage, whether tangible or intangible, and does not cause harm. Communities are reported to consider some forests as sacred/ceremonial forests.				
ESS 7: Labor and Working Conditions	X			ESMP
Both CI and IUCN have the necessary policies, procedures, systems and capabilities in place to ensure adherence with this ESS. However, there is the possibility that under Component 1 the local organizations will be undertaking the contracting processes for consultants and services for the execution of the subprojects. At this stage it is not clear, whether and to what extent local organizations and their potential sub-contractors also have instruments in place to ensure adherence with the standard. The ESMPs therefore will need to				

specify that the global EAs will follow respective safeguards expectations to the local level when they carry out due diligence, sign grant agreements or contracts with local EAs. Specific comments related to risk of women discrimination have been raised by the organizations The ESMPs to be developed for each subproject will need to articulate with the Gender Management Plan of Component 1 in order to ensure that these aspects are addressed.				
ESS 8: Community Health, Safety and Security	X			ESMP
Apart from the risks identified for the 9 sites, this site is affected by a particular risk: the conflict among communities, especially those that have changed considerably and now produce commercial crops and want to use more resources (e.g., water and land) for increased production. Since their own geographical area is insufficient, they wish to expand into areas with more abundant resources, most of which lie within the boundaries of this subproject.				
ESS 9: Private Sector Direct Investments and Financial Intermediaries		X		ESMP
N/A				
ESS 10: Climate Risk and Related Disasters			X	ESMP
Thailand has seen a marked increase in temperatures and changes in rainfall patterns over the past thirty years. Both of these changes have a significant effect on food production, particularly rice—the yields of which are essential to national food security (MSTE, 2000). Thailand's long coastlines, fragile agriculture system and susceptibility to extreme weather events make it vulnerable to the effects of climate change. Thailand is susceptible to extreme weather events such as tropical storms, floods, and drought. The main natural resources in Thailand are the fishery resources, offshore oil supplies, fertile agricultural land in the central and eastern regions and the large areas of land covered in forests. There has been a problem with deforestation despite the government banning logging in 1989. These hazards can lead the IPLCs to situations that can prevent them from participating in the project activities. Regarding connectivity, it appears that in general there is a good coverage for the use of internet and mobile phones. They are supported by assistance programs e.g., community Internet, community & distance education, three major private and several local Internet providers with viable signals in all urban and most rural areas. There is increasing competition among service providers, with continuing reduced costs, throughout most geographical areas. At the stage of preparation of the ESMP, the situation of each of the communities should be confirmed.				

7. High-level action plan

The high-level action plan includes the environmental and social risk identification by safeguard and the different mitigation measures and indicators at a high level. This process considers the results from the sections above as well as the high-level screening results. It is important to note that this action plan presents the minimum standards that projects' ESMPs must consider, based on the safeguards each subproject will trigger. In this sense, the subprojects will only address the issues related to safeguards triggered in the final screening and therefore not all of them may need to develop all the mitigation measures and plans of this High-level action plan. However, if a safeguard is triggered, the mitigation measures presented in this High-level action plan shall be taken as the minimum standard to follow.

The cost for implementing the mitigation measures is covered through the full project budget; the cost/budget column shows the total amount per project outcome or output in the respective budget line - not the fraction for the mitigation measure specifically - or where planned project staff members will be responsible for implementation and compliance.

General Recommendation: In order to determine more in-depth capacity mitigation measures, it is recommended to conduct a safeguards capacity self-assessment, using the tool prepared for this purpose, to determine the safeguards capacity building strategy.

Table 15: High-level action plan for component 1 of the ICI

ESS	Risk (R)	Risk Relevance by Project Sites	Explanation	Mitigation measures (MM)	Indicators	Cost/Budget
ESS 1	**R1.1:** The Subprojects activities could cause adverse environmental and social impacts (site-specific and some potentially irreversible).	All project sites	Component 1 is focused on providing direct financial support to IPLC-led initiatives in priority areas to deliver global environmental benefits (GEBs) through improved large-scale management of IPLC lands, territories, and resources. However, information on the subprojects is not yet available to determine if activities will cause adverse environmental and social impacts.	**MM1.1:** Develop a limited Environmental and Social Impact Assessment (ESIA), when applicable, considering the scope of each site-specific activity related to the direct and indirect areas of influence of projects and identifying and addressing direct and indirect, as well as cumulative and potential residual impacts. In addition, identifying mitigation measures including actions to avoid, minimize, mitigate and/or offset the environmental and social	**I1.1:** Number of ESIA or similar developed including ESMP according to the scope of each site-specific activity.	Outcome 1.1 From PPG: Approx.$10,000 per subproject to develop full Impact Strategies including safeguard assessments and any relevant instruments Targeted TA on Safeguards & Gender

ESS	Risk (R)	Risk Relevance by Project Sites	Explanation	Mitigation measures (MM)	Indicators	Cost/Budget
				impacts, monitor, and report included in an Environmental and Social Management Plan (ESMP). **MM1.2:** Establish, maintain, and strengthen as necessary an organizational structure that defines roles, responsibilities, authority, workplan, and budget to implement the required management plans.	**I1.2:** Number of organizational structures related to ESS risk management activities in place.	
ESS 2	**R2.1:** The Subprojects activities may have adverse impacts on species and ecosystems due to investments in new economic activities.	All project sites	Component 1 includes activities in different productive areas that could potentially affect species identified as threatened at the local and/or global levels and introduce or use potentially invasive, non-indigenous species. However, information on the subprojects is not yet available to determine if activities will cause adverse impacts on natural and/or critical habitats.	**MM2.1:** Develop a Biodiversity Management Plan (BMP) as part of ESMP including specific measures for ESS2 if applicable. **MM2.2:** Engage local stakeholders, using a culturally appropriate and gender-sensitive approach, in the identification of suitable and sustainable options for new economic enterprises, in line with traditional knowledge. **MM2.3:** Provide training on Invasive alien species (IASs) and native species differentiation. **MM2.4:** Provide training on forest fires prevention.	**I2.1:** Number of BMP developed. **I2.2:** Number of workshops per sites about suitable options for new economic enterprises, in line with traditional knowledge, including reports recording local knowledge. **I2.3:** Number of trainings about IASs and native species differentiation. **I2.4:** Number of trainings about forest fires prevention.	Outcome 1.1 See above

ESS	Risk (R)	Risk Relevance by Project Sites	Explanation	Mitigation measures (MM)	Indicators	Cost/Budget
ESS 4	**R4.1:** The subprojects do not implement effective participation and engagement of Indigenous Peoples and most vulnerable groups (e.g. indigenous women) in the preparation of the ESIA and in the execution of activities.	All project sites	The project will work in lands or territories traditionally owned, customarily used, or occupied by indigenous peoples and could potentially present risks relate to level of participation and engagement of indigenous communities during ESIA preparation process.	**MM4.1.1:** Implement effective consultation processes with the affected indigenous peoples' communities to fully identify their views and to seek their FPIC for project activities affecting them, assessing risks and opportunities to improve the understanding of the local context and affected communities in order to incorporate them in ESIA. **MM4.1.2:** Develop specific mechanism culturally appropriate and accessible to affected indigenous peoples as part of grievance redress mechanism, taking into account the availability of judicial recourse and customary dispute settlement mechanisms among indigenous peoples/communities. **MM4.1.3:** Engage local stakeholders, using a culturally appropriate and gender-sensitive approach, in all capacity building activities, in line with traditional knowledge.	**I4.1.1:** Number of ESIA developed that incorporate FPIC process. **I4.1.2.1:** Number of grievance redress mechanisms which include specific mechanism culturally appropriate and accessible to affected indigenous peoples. **I4.1.2.2**: Number of grievances raised in the context of indigenous people engagement and participation process. **I4.1.3:** Number of stakeholders (disaggregated by gender) participating in capacity building activities that were communicated and held using a culturally appropriate and gender sensitive-approach, in line with traditional knowledge, including reports recording local knowledge.	Outcome 1.1 See above Tiered grievance & redress mechanism

ESS	Risk (R)	Risk Relevance by Project Sites	Explanation	Mitigation measures (MM)	Indicators	Cost/Budget
	R4.2: The subprojects activities related to changes in land and natural resource use could not take into consideration traditional resource use practices.	All project sites	The project will work in lands or territories traditionally owned, customarily used, or occupied by indigenous peoples and could potentially present risks relate to traditional resource use practices.	**MM4.2:** Develop an Indigenous Peoples Plan (IPP) as part of the ESMPs describing measures to avoid adverse impacts and enhance culturally appropriate benefits that may have a direct or indirect impact on indigenous individuals or communities.	**I4.2.1:** Number of IPP developed.	Outcome 1. 1 See above
ESS 5	**R5:** Productive activities promoted by the subprojects could increase levels of pollution to air, water, and land, and consume finite resources in a manner that may threaten people and the environment.	All project sites	Component 1 includes activities under Outcome 1.1. that promote actions in different productive areas such as agriculture that could potentially: b) generate wastes and effluents, and emissions of short- and long-lived climate pollutants; d) procure pesticides; and e) use energy, water and other resources and material inputs, where significant water consumption is involved and would cause adverse impacts on communities, other water users, and the environment. However, information on the subprojects is not yet available to determine if activities will generate waste, effluents and pollutants, and use pesticides, energy and water.	**MM5.1:** Develop a Resource Efficiency and Pollution Prevention Plan if applicable as part of the ESMPs, describing measures 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. **MM5.2:** Provide training on Resource Efficiency and Pollution Prevention.	**I5.1:** Number of Resource Efficiency and Pollution Prevention Plans developed. **I5.2:** Number of trainings about Resource Efficiency and Pollution Prevention.	Outcome 1.1 See above
ESS 6	**R6.1:** Productive activities promoted by the subprojects could affect cultural heritage, both tangible and intangible.	All project sites	In general, the activities of the subprojects have the objectives of preserving and recovering the knowledge and practices of Indigenous Peoples and will therefore seek to protect cultural heritage. It is expected that subprojects' ESMPs will need include, above all, considerations regarding the cultural heritage represented by sites with unique natural values. Special attention should be given to new economic activities to be promoted in the activities related to Output 1.1.6. The project plans to work in areas where cultural heritage, both tangible and intangible, exists.	**MM6.1:** Develop a Cultural Heritage Management Plan (CHMP) as part of the ESMP, if applicable, identifying mitigation, management, monitoring, and institutional actions to be implemented for the subprojects.	**I6.1:** Number of CHMP developed.	Outcome 1. 1 See above

ESS	Risk (R)	Risk Relevance by Project Sites	Explanation	Mitigation measures (MM)	Indicators	Cost/Budget
	R6.2 Capacity building activities as part of the subprojects could affect cultural heritage, both tangible and intangible	All project sites	With regard to capacity building activities, there is a potential risk related to the protection of Intellectual Property rights and the lack of knowledge of the organization regarding the protection of cultural heritage.	**M6.2:** Where traditional knowledge on the use (e.g. cultivation) may lead to a new product for a green enterprise, assure intellectual property rights to and equitably share benefits with the owners of that knowledge in line with national laws.	**I6.2:** Percentage of green enterprises making use of traditional knowledge in creating new market products, where documentation exists about how the Intellectual Property Law was adhered to and benefits shared.	Outcome 1.1 See above
ESS 7	**R7:** The EAs and IPLCs may not have the instruments in place to ensure adherence to Labor and Working Conditions' standards.	All project sites	Both CI and IUCN have the necessary policies, procedures, systems, and capabilities in place to ensure adherence with this ESS. However, there is the possibility that under Component 1 the local organizations will be undertaking the contracting processes for consultants and services for the execution of the subprojects may not have the instruments to ensure this ESS requirements. At this stage it is not clear, whether and to what extent local organizations and their potential sub-contractors also have instruments in place to ensure adherence with the standard. Specific comments related to risk of women discrimination have been raised by the organizations.	**MM7.1:** Include Occupational Health and Safety (OHS), if apply, measures as part of the ESMPs specifying that the global EAs will follow respective safeguards expectations to the local level when they carry out due diligence, sign grant agreements or contracts with local EAs. **MM7.2:** Articulate ESMPs to be developed for each subproject with the Gender Mainstreaming Plan of Component 1 to ensure that the risk of women discrimination is addressed. **MM7.3.** Develop a workplace harassment protocol at the subproject level to prevent any harassment (physical, psychological, and sexual), intimidation, and exploitation of ICI workers	**I7.1:** Number of ESMPs that include Occupational Health and Safety (OHS). **I7.2:** Number of ESMPs that articulate with Gender Mainstreaming Plan. I7.3. Number of ESMPs that include a workplace harassment protocol	Outcome 1. 1 See above
ESS 8	**R8:** Subproject activities implementation could bring a potential new element of risk related	All project sites	The activities of Component 1 do not intend to create any risk to participants or community members or other stakeholders. However, the context of the pandemic and in some cases hostility towards indigenous peoples and to	**MM8.1:** Assess needs of security measures related to pandemics and related to areas with high level of hostility and crime to ensure	**I8.1:** Number of ESMPs that have included a health, safety and security assessment in	Outcome 1.1 This is part of the full project development of the subprojects

ESS	Risk (R)	Risk Relevance by Project Sites	Explanation	Mitigation measures (MM)	Indicators	Cost/Budget
	to health, safety and security.		environmental and human rights defenders, or situations of conflict and presence of crime, makes program implementation a potential new element of risk.	the safe travel and participation of IPLCs in the activities as part of ESMPs. The subprojects' ESMPs must include precautionary measures to ensure that Component 1 activities do not unintentionally put people and communities at risk. **MM8.2:** Implement the subproject-specific Accountability and Redress Mechanism (AGM) to track grievances related to tensions between stakeholders and other situations of conflict. **MM8.3:** Develop subprojects' codes of ethics as part of the ESMPs, aligned with CI's Code of Ethics and IUCN policies for staff and participants	the subproject execution strategy. **I8.2.1:** Number of subproject-specific AGM which considers tracking grievances related to tensions between stakeholders and other situations of conflict. **I.8.2.2**: Number of grievances raised in the context of tensions. **I.8.3:** Number of ESMPs with codes of ethics developed in alignment with CI's Code of Ethics and IUCN policies for staff and participants	and are included in the budgeting process. See above See above See above
ESS 10	**R10:** A changing climate may impact the adaptation opportunities provided by the project.	All project sites	ICI will have to deal with very different hazards in the different geographies: floods, landslides, drought, forest fires, land degradation, diseases, sea level rise, ocean acidification and tropical cyclones. These hazards can lead the IPLCs to situations that can prevent them from participating in the project activities. In addition, this could also affect the feasibility and sustainability of the project activities.	**MM10.1:** Consider climate change scenarios and exposures and vulnerability of the IPLCs when defining strategies and activities for guiding the execution as part of ESMPs.	**I.10.1:** Number of ESMPs that have included a climate risk assessment in the subproject execution strategy.	Outcome 1.1 This is part of the full project development of the subprojects and are included in the budgeting process.

ESS	Risk (R)	Risk Relevance by Project Sites	Explanation	Mitigation measures (MM)	Indicators	Cost/Budget
				MM10.2: Develop a contingency plan as part of the ESMP, if applicable at the subproject level, which considers measures to make more flexible the organization of activities in case of the unexpected arrival of an extreme event. Including activities to monitor over time, in a sex-disaggregated manner, whether engagement seems to be influenced by weather patterns or extreme weather events that are likely caused by climate change and use the information to adjust execution modalities to the extent possible.	**I.10.2:** Number of contingency plans that consider measures to mitigate climate risks.	See above

8. Procedures for identifying and managing environmental and social risks of subprojects

The task to prepare more detailed ESMPs consists of several steps, some of which are the responsibility of the IPLC-led organizations on the ground, potentially with a certain amount of technical support by the PMU / E&S Safeguard Specialist (ESSS), and some steps will be performed by CI and IUCN. The following figure provides an overview of the flow of steps and the responsibilities under each step. Subsequently, the steps will be described in greater detail.

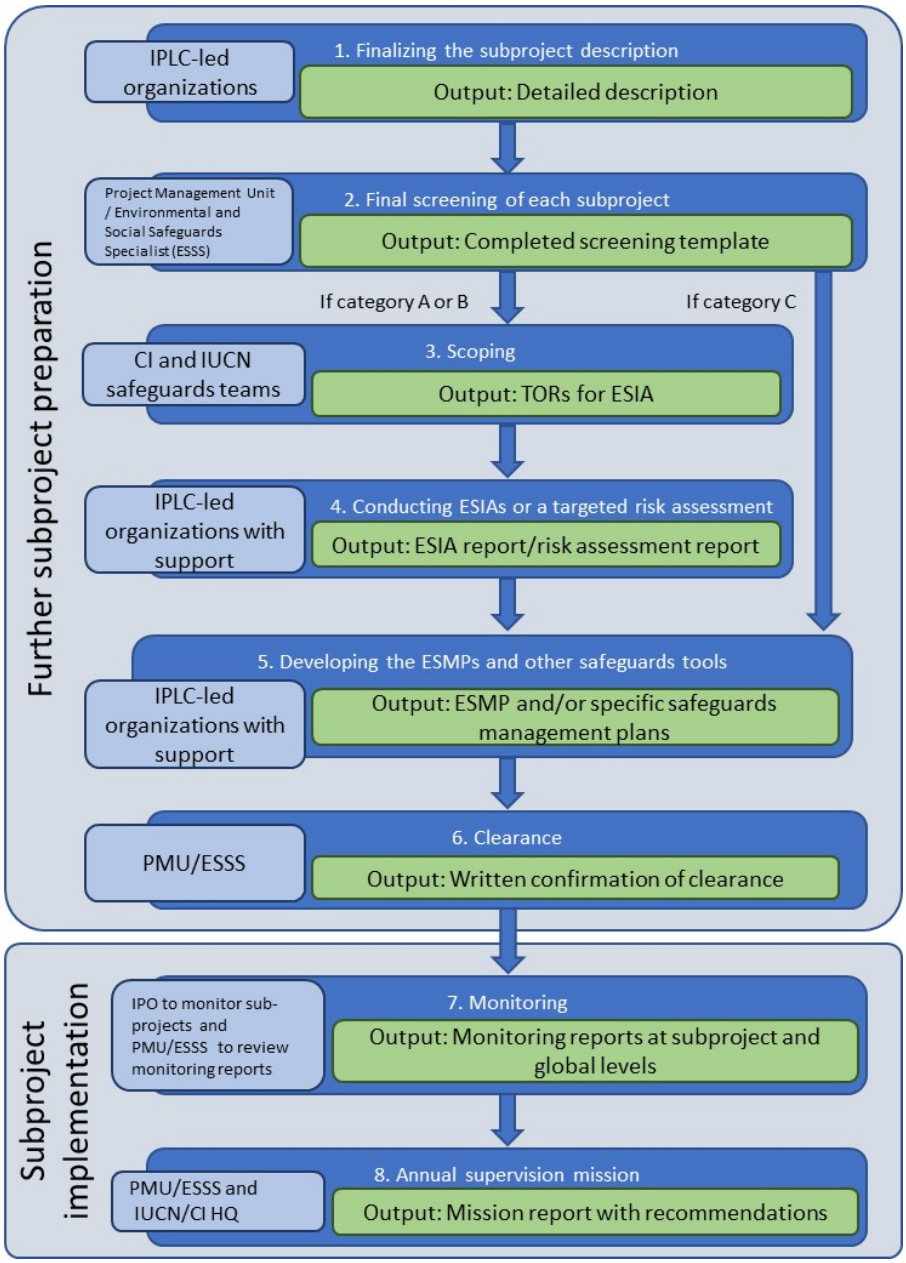


Figure 1: Overview of steps and the responsibilities for identifying and managing environmental and social risks of subprojects

8.1 Finalizing the subproject description

Information received from the subproject sites to date was restricted to annotated Expressions of Interest. Before more detailed ESMPs can be developed, the planned projects will need a more detailed subproject description. The detailed description should include the following information:

1. Title of the proposal;
2. Name, address and contact point of applicants;
3. Objectives of the subproject;
4. Description of the intended activities and how they contribute to achieving the subproject objectives;
5. Location of the intended activities, including map showing sites in focus for implementation, location of IPLCs, roads and waterways, and other information of interest (e.g. potential overlap with or proximity to other current or planned activities, including mining sites, timber concession areas etc.);
6. Bio-geographic characteristics of importance to subproject implementation;
7. Names of communities in and near the subproject site and number of people (potentially) affected (positively and/or negatively), disaggregated by gender;
8. Socio-economic characteristics of importance to the subproject implementation;
9. Description of how local conditions, priorities and needs are being taken into consideration and issues and concerns addressed by the planned activities, including gender-specific issues identified through surveys and analyses (see information on how to develop detailed Gender Mainstreaming Plans in the GMF);
10. Description of provisions for long-term ecological, social and financial sustainability of the subproject;
11. Stakeholder consultation before, during and subsequent to implementation and information disclosure, including gender-sensitive approaches to consultation;
12. Existing structures to raise grievances (e.g. traditional communication channels);
13. Monitoring and evaluation, including provisions for continued monitoring after completion of the project;
14. Implementation arrangements, including responsibilities.

    Under item 11, Stakeholder consultation, the topic of Free, Prior and Informed Consent (FPIC) should be dealt with, where applicable. To ensure gender sensitivity, it should be considered how women's decision-making will be brought to par with men's at all stages of the project.

8.2 Final screening of each subproject

Screening defines the risk level and determines the type of environmental and social assessment a subproject is subject to, including the option that no further assessment is required.

With the detailed description of the subprojects, it will be possible to conduct a risk screening to then determine whether and at what level of detail an Environmental and Social Impact Assessment (ESIA) is required. For this screening, it is suggested to use the CI-GCF/GEF Project Agency Environmental and Social Safeguards Screening Form (Annex 8), which uses guiding questions to help identify where planned activities could create environmental and social risks. The result can be presented as shown in the following table and will help identify whether an ESIA is required and its scope.

Safeguard Triggered	Yes	No	Disclosure

ESS1: Environmental and Social Impact Assessment			
Justification:			
ESS 2: Protection of Natural Habitats and Biodiversity Conservation			
Justification:			
ESS 3: Resettlement, Physical and Economic Displacement			
Justification:			
ESS 4: Indigenous Peoples			
Justification:			
ESS 5: Resource Efficiency and Pollution Prevention			
Justification:			
ESS 6: Cultural Heritage			
Justification:			
ESS 7: Labor and Working Conditions			
Justification:			
ESS 8: Community Health, Safety and Security			
Justification:			
ESS 9: Private Sector Direct Investments and Financial Intermediaries			
Justification:			
ESS 10: Climate Risk and Related Disasters			
Justification:			

Regardless of whether a safeguard is triggered (Yes) or not (No), a justification for the rating should always be provided. The disclosure column refers to where mitigation measures can be found in case a safeguard is triggered. This could be the ESMP itself and/or topical annexed management plans, such as the Indigenous Peoples Plan (IPP). Based on the screening results, the subproject would be categorized into one of three categories, A, B or C as follows.

Category A: A proposed project is classified as Category A if it has the potential for significant adverse environmental and social impacts that are sensitive, diverse, or unprecedented. These impacts may affect an area broader than the sites or facilities subject to physical works (i.e., the area of influence). A full or comprehensive ESIA is required;

Category B: A proposed project is classified as Category B if its potential adverse environmental and social impacts on human populations or environmentally or socially important areas are less adverse than those of Category A projects. These impacts are site-specific; few if any of them are irreversible; and in most cases mitigation measures can be designed more readily than for Category A projects. A full or limited ESIA is required, depending on the type, degree and extent of the impacts; or

Category C: A proposed project is classified as Category C if it is likely to have minimal or no adverse environmental and social impacts. Beyond safeguard screening, no ESIA action is required for a Category C project. However, specific project-level safeguard plans will be required by the CI-GEF/GCF Project Agency to strengthen the project compliance with the PSS.

If a subproject is concluded to fall into category A or B, the next step will be step 3 Scoping. This step and an explicit scoping report are only needed for A and B projects. In case of a category C subproject, steps 3 and 4 can be skipped and the process should continue at step 5.

It is expected that the majority of subprojects will require a targeted risk assessment but not a comprehensive ESIA process. The development of the TORs for a targeted risk assessment does not require a separate scoping step but would be derived from the findings of the Screening report, i.e. the identified risks.

8.3 Scoping

Scoping refers to the phase of environmental and social assessment that determines the appropriate terms of reference (TORs) for the required assessment type.

The TORs for the environmental and social assessment depend on the risks identified during the screening and may include:

1. a requirement for description of
    a. boundaries of the physical forest land or other rural and or urban area to be assessed;
    b. specific wildlife, aquatic or other habitats to be examined;
    c. community and rural populations to be consulted;
2. specific project phases, technologies, practices or processes to be investigated;
3. specific specialist skills to be engaged;
4. a requirement that the competent authorities of other involved sectors be appropriately consulted;
5. specific public consultation requirements.

It is not very likely that any of the subprojects will require an ESIA. If it is decided that an ESIA (full or limited) needs to be conducted, Appendix II of the PSS should be considered.

8.4 Conducting ESIAs or a targeted environmental and/or social risk assessment (where required)

The difference between an ESIA and a targeted environmental and/or social risk assessment is that an ESIA is a more comprehensive process while a targeted risk assessment only looks at a few risk issues as identified in the screening phase.

The ESIA identifies and assesses the potential impacts of a proposed project on physical, biological, socio-economic and cultural heritage, including transboundary concerns and potential impacts on human health, safety and security; evaluates alternatives; and proposes appropriate avoidance, minimization, mitigation, or offset alternatives, as well as management and monitoring measures.

Special studies needed for the ESIA are guided by the safeguard issues raised during scoping. They deal with the concerns of stakeholders in the subproject sites. For adverse impacts, alternatives are identified to establish the most environmentally sound and benign option(s) for achieving project objectives.

For the ESIA process it is important to note that this looks at all relevant levels of biodiversity, habitat, and community information. It addresses both direct, indirect, and cumulative impacts by considering ecological, social and economic changes, and it analyzes and responds to the interaction between environmental and social issues. A detailed description for conducting ESIAs is included in Appendix II of the PSS.

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 project-level 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.

For a full or a limited ESIA, if the Involuntary Resettlement, Indigenous Peoples or Cultural Heritage Safeguards are triggered, the PSS will require the ESIA to include the following issues:

a) Social diversity and gender: Examine how men and women are organized into different social groups, based on the status ascribed to them at birth – according to their ethnicity, clan, gender, locality, language, class, or other marker – or on the status or identity they have achieved or chosen – civil servant, worker, environmentalist, etc. Importantly, an analysis of social diversity 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 behaviour: Examine social groups' characteristics, intra- group and inter-group relationships, and the relationships of those groups with public and private (e.g. market) institutions (including the norms, values and behaviour that have been institutionalized through those relationships). Such an analysis should provide a detailed assessment of the formal and informal organizations likely to affect the project and the informal rules and behaviours among them. Possible institutional constraints and barriers to project success, as well as methods to overcome them, should be described.

c) Stakeholders: Identify the various groups who have an interest or a stake in the project. Stakeholders are those who are likely to be affected by a project, as well as those that may influence the project's outcomes. In addition to the beneficiaries of the project and other groups directly affected by it, stakeholders may include organized groups from the public and private sectors as well as civil society who have an interest in the project. The characteristics, interests and likely influence of various groups in the development process are the subject of stakeholder analysis;

d) Participation: Examine opportunities and conditions for participation by stakeholders – particularly the poor, disadvantaged and vulnerable – in the development process (e.g. contributing to project design, implementation and/or monitoring; influencing public choices and decision-making; access to project benefits and opportunities; etc). Otherwise excluded groups affected by the project as well as project beneficiaries should be brought into the ESIA process, and appropriate mechanisms to sustain such participation in project implementation and monitoring should be deployed; and

e) Social risks: Identify social risks (e.g. country risks, political economy risks, institutional risks, exogenous risks, and vulnerability risks, including but not limited to those that may trigger CI-GEF/GCF Safeguard Policy). Social risk analysis examines the social groups vulnerable to stress and shocks and the underlying factors that contribute to this vulnerability. Drawing on this, risk management plans should be prepared with an eye to addressing these concerns during project design, implementation, and monitoring and evaluation.

The result of the ESIA process is an ESIA report. Appendix II of the PSS describes the standard content of such reports for category A projects. Where a targeted risk assessment has been conducted, this should result in a risk assessment report focussing on the few risk issues identified during the screening.

8.5 Developing the ESMP and other safeguard tools

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 safeguard plans as integrated chapters of the ESMP.

For the subprojects under component 1 of the ICI, ESMPs must include at least the following elements:

a) The detailed subproject description;

b) A description of the possible adverse effects that specific project activities may cause;

c) A description of any planned measures to avoid or mitigate adverse impacts, and how and when they will be implemented and managed;

d) A system for monitoring the environmental, social, and cultural heritage effects of the project, including key indicators, location and frequency of monitoring activities and a reporting mechanism;

e) A description of who will be responsible for implementing and monitoring the mitigation measures, including their capacity and experience; and

f) Cost-benefit estimates of proposed mitigation measures (the costs for environmental and social management need to be included in the total budget of the subproject proposal).

For the subproject ESMPs 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 provided for in the applicable safeguards themselves, such as:

a) A Plan for Natural for Natural Habitat and Biodiversity Conservation;

b) An Indigenous Peoples Plan (IPP) to address any effects on indigenous peoples;

c) A Voluntary Resettlement Action Plan (V-RAP) or a Process Framework to address any potential land acquisition and/or physical relocation, loss of livelihoods or restriction or loss of access to natural resources, including those related to legally designated parks and protected areas; and

d) A Stakeholder Engagement Plan and dispute resolution mechanism: 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.

The ESMPs should also include a monitoring plan, information on necessary capacity building and training and information on the schedule, budget and implementation arrangements. Further detail on the content of ESMPs can be found in the PSS.

In addition to developing detailed ESMPs, it will also be important to develop site-specific subproject Gender Mainstreaming Plans. Further information on how these should be developed can be found in the separate Gender Mainstreaming Framework for component 1 of the ICI.

8.6 Clearance

In line with the applicable PSS, ESMPs are to be disclosed to all rightsholders and stakeholders including affected communities and Civil Society Organizations (CSOs). Before plans can be disclosed, the PMU/ESSS must review and approve the plans. Executing Agencies/Entities must also disclose to all affected communities, Indigenous Peoples and local communities in a form, manner and language appropriate for the local context the final plans prior to implementation and any action plans prepared during project implementation, including gender mainstreaming. In addition, disclosure will also be made in the country of project implementation and at multiple locations within country execution in a meaningful way and 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 aims to seek feedback and input from indigenous peoples and local communities, and as appropriate other stakeholders, on the safeguard issues identified and the measures incorporated in project design to address them.

b) Disclosure of all assessments prior to project approval;

c) Disclose of all assessments when they have been finalized and approved by the PMU/ESSS (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.

The CI GEF/GCF Project Agency will disclose all approved plans and applicable monitoring reports (once under implementation) on CI-GEF/GCF website. It is important to mention that the Interim Steering Committee has reviewed the safeguards documents.

8.7 Monitoring

The ESMP and annexed safeguards documents will include indicators for each of the suggested mitigation measures that should be monitored over the time of project implementation to be able to observe subproject impacts on people and the environment, whether these are positive or negative, and allow for

adaptive subproject management over time. The appropriate frequency of monitoring indicators can vary from one indicator to the next, and the usefulness of monitoring certain indicators can also vary depending on the implementation schedule for the respective mitigation measure (e.g. within year 1 of the project vs. within the last 2 years of project).

While it should be the responsibility of the local IPLC organizations to monitor the site-specific indicators, it will be important that a schedule is agreed for the submission of subproject monitoring reports to PMU/ESSS. This schedule should be aligned with the overall monitoring and reporting schedule of the ICI. This will allow CI and IUCN to keep an overview on potential issues at local level and to provide guidance as needed. In addition, such monitoring reports can inform project update reports covering all components of the ICI that CI and IUCN may wish to prepare at certain intervals.

In addition to observing the status and changes in the indicators for mitigation measures included in individual ESMPs, it is recommended that CI and IUCN use the established project-level Grievance Redress Mechanism (and CI's Ethics Point and IUCN's corresponding mechanism) to observe potential issues at subproject level.

8.8 Annual supervision mission

In addition to monitoring reports, an annual supervision mission should be conducted to each of the 9 subproject sites. These missions serve to discuss progress with the local implementing agencies but could also be used to jointly define solutions for potential subproject implementation challenges. The CI/IUCN Safeguard specialist will select sites to be visited – these are either sites that they feel need attention or randomly chosen sites. It is expected that every year two sites will be visited, one by IUCN and one by CI, as appropriate. The other subprojects are supervised exclusively by the PMU/ESSS.

The objectives of the missions should be agreed in advance with the local IPLC organizations and the missions should be informed by the latest available progress report, including information from monitoring of safeguards relevant indicators.

The result of the supervision missions should be a mission report that details the program and findings of the mission as well as any safeguards-relevant observations and key decisions taken together with local stakeholders. The mission reports may lead to a revision of subproject indicators in case an issue has been identified that should be observed in addition to previously agreed indicators. It may also lead to the identification of urgently needed capacity building, which will require further follow up.

9. Gender mainstreaming

CI and IUCN recognize that social and cultural norms greatly influence the roles, responsibilities, needs, interests, and priorities of men and women in project areas. Furthermore, CI and IUCN recognize that historical and current social norms position women at a disadvantage, often put women in a position of less power, control, and influence in decision-making spaces at various levels, including national, local and community levels. Therefore, projects must take a systematic and proactive approach to promote gender equality and equity in the project activities, project design, implementation, and monitoring and evaluation. Accordingly, stated in the Policy 2: Gender Mainstreaming included in the CI-GEF Environmental and Social Management Framework (CI-GEF ESMF) and corresponding provisions of the IUCN ESMS and Gender Policy, all GEF-funded projects must develop a Gender Mainstreaming Plan (GMP).

A Gender Mainstreaming Framework (GMF) has been prepared to serve as an overarching instrument to support gender mainstreaming during implementation of component 1. The GMF presents gender-responsive activities and gender-responsive indicators that are critical to fulfilling and monitoring gender requirements for this local component, and also provides guidelines to develop more detailed Gender Management Plans (GMPs) for the nine individual subprojects of the ICI.

The purpose of this GMF, and its implementation, is to avoid, and where this is not possible, mitigate and manage, potentially adverse effects of ICI activities on men and women, to contribute to closing gender gaps in access to and control over resources, to improve participation and decision-making of women in natural resource governance, and to promote equitable socio-economic project benefits.

In addition, this GMF also ties to three main results areas most relevant to the GEF-7 programming framework: (a) closing gender gaps in access to and control over resources; (b) improving women's participation and decision-making; and (c) contributing to social and economic benefits or services for women.

GMPs will be developed along with ESMPs for each of the 9 subprojects, and the dialogue between the two processes shall be ensured.

10. Stakeholder engagement

This section describes the stakeholder engagement process that has been undertaken during project preparation, the process that will be carried out during implementation, and a summary of the requirements of the Stakeholder Engagement Framework which is provided in detail in Annex 5. This latter includes the policy guidelines for the process, an identification of the key stakeholders for the ICI project, and indications on the Stakeholder Engagement Plans that will have to be developed along with ESMPs for each of the 10 subprojects.

The objective of ICI is to enhance Indigenous Peoples and Local Communities (IPLCs) efforts to steward land, waters and natural resources that deliver global environmental benefits through access to resources required for large-scale conservation and natural resource management activities. Thus, IPLCs are the primary stakeholders for engagement in the entire process from PIF development, through the PPG phase and project implementation. While IPLCs are the primary stakeholders for ICI, the Agencies will engage with local organizations, national governments, and donors throughout the process to ensure coherence and relevance, mitigate conflict and leverage financial or technical resources. The goal of stakeholder engagement is to involve all project stakeholders, as early as possible in the design and implementation and to make sure their views and input are received and taken into consideration.

In all cases, IPLC-led organizations will be the primary decision makers. FPIC will be a guiding principle in the selection of ICI-supported projects. Proponents will be asked to demonstrate how FPIC was obtained with the targeted communities.

Engagement with the GEF Indigenous Peoples Advisory Group (IPAG)
Upon selection of the ICI Implementing Agencies, a two-day consultation meeting was held with GEF's IPAG to review the Agency proposal and consult on further inputs specifically pertaining to geographies,

traditional knowledge and overall project scope. The Implementing Agencies, CI and IUCN, then incorporated comments and feedback from the IPAG into the PIF. Upon approval of the PIF, CI and IUCN worked with the IPAG to design the consultation process for the project preparation phase. This included the terms of reference and formation of the ISC.

The ICI Implementing Agencies will continue to engage the IPAG throughout the life of the project. The role of the IPAG regarding the ICI both formally and informally will be to provide advice and guidance on the project's implementation of the Inclusive Conservation approach as defined by GEF rather than to serve as a decision-making group. The ICI Implementing agencies will engage the IPAG on an annual basis at the IPAG annual meeting to provide updates on ICI and seek guidance on the project.

Establishment of an Interim Steering Committee (ISC)

An ISC was created and convened by the Implementing Agencies during the PPG phase to inform and advise on the structure and membership of the SC and on full project development, including selection of subproject geographies. The ISC has also guided the development of the full project SC through the development of a terms of reference. The ISC is composed of five members: two indigenous members of the GEF IPAG, two additional indigenous representatives and one member of the GEF Secretariat. The addition of two non-GEF-IPAG members allowed for a broader regional balance and technical expertise of the ISC. The ISC convened (in person or virtually) at the beginning, midpoint and end of the PPG phase to review the final project design. The ISC was called upon during the PPG phase for technical advice, to discuss targets, for the final selection of subprojects and validated the stakeholder engagement process and selection process. There was one in person meeting and three virtual meeting to complete the work. CI and IUCN also worked with the ISC to develop a Stakeholder Engagement Plan (SEP) and conduct a complete safeguards screening analysis during the PPG phase. The CI and IUCN GEF Implementing Agencies were responsible for convening the ISC as part of the PPG process. There will be a transitionary period between the ISC and the establishment of the ICI Steering committee to transfer responsibilities.

The ICI Project Global Steering Committee (GSC) will be selected through a gender inclusive consultative process with the subproject organizations as defined in the detailed SC Terms of Reference (Annex 1).

<u>ICI Steering Committee during project Implementation</u>:

A Global Steering Committee (GSC) will lead the governance of the ICI. As outlined in the TOR (Annex 1), the GSC will be composed of senior IPLC representatives, supported by a GEF Secretariat staff member and two representatives from the PMU. Key roles and responsibilities of the GSC will be to provide strategic guidance on ICI approaches and partnership, review and provide inputs to project work planning, approve annual work plans and budgets, and provide guidance on the development and implementation of key project outputs as well as advice on indigenous issues pertinent to the project. To facilitate successful project execution, it is anticipated that GSC members will also serve as "ambassadors" for the ICI with key audiences and support global or cross-cutting capacity and policy engagement activities in accordance with their interests and areas of expertise. The GSC will also engage in outreach and communication to leading global IPLC organizations and other global institutions, think tanks, foundations and funders to maintain ongoing engagement and pursue partnerships to support IPLC action in their lands and territories.

Engagement with IPO Networks

CI and IUCN have initiated and will continue engagement with CI's Indigenous Advisory Group and IUCN's member IPOs to further facilitate discussions with regional, national and international organizations and networks throughout the life of the project. CI and IUCN will also continue to hold virtual discussions, and where possible have in-person meetings with regional organizations, such as the Coordinating Body of Indigenous Peoples of the Amazon (COICA), Indigenous Peoples of Africa Co-ordinating Committee (IPACC), Asia Indigenous Peoples Pact (AIPP) and others, as well as with international caucuses such as the Indigenous Women's Biodiversity Network (IWBN), International Indigenous Forum on Biodiversity (IIFB), International Indigenous Peoples Forum on Climate Change (IIPFCC), IP Major Group on the SDGs, and with other international organizations and networks such as the DGM Global Steering Committee and the ICCA Consortium. These organizations and fora have their own dynamics and priorities that will be taken into consideration during the implementation of ICI. During the PPG process, IUCN and CI engaged in discussions via our in-country offices working with IPLCs to get input from our partners on ICI as well as the IPO network organizations during the consultation process (see spreadsheet of consultations in Appendix 4.1).

Throughout the project implementation, Global Steering Committee (GSC) meetings will serve as venues to engage, seek synergies and open discussions on the implementation of ICI. They will also serve to gather input for the development of activities related to components 2-4. International meetings, where a significant number of IPLC representatives are present, will also be utilized to gather inputs. There will be a particular emphasis on engaging with regional IPLC organizations at the initial stages of the project implementation. Virtual meetings will also be convened, where possible, to reach other IPLC organizations that are not part of the regional formations.

A special focus will be on networks of indigenous youth, at national, regional, and global levels. Recognizing the skill sets that the youth have (very necessary in terms of documenting the progress of the projects) and the ability to communicate in multiple languages, the youth will be an important stakeholder in this initiative. Aside from the fellowship component, they will also be targeted in the various capacity building activities. Care will be taken to respect the community protocols in transferring knowledge systems with regards age and gender.

Engagement with other Stakeholders

Given that ICI investments under Component 1 will take place at sites located in countries where other stakeholders such as national and subnational governments, communities, NGOs and donors will be present, ICI will conduct ongoing outreach with stakeholders in and around proposed ICI sites as part of the development of the impact strategies for the nine pre-selected subprojects. It is anticipated that this broad engagement will also generate ideas and inputs for Component 2-4 activities (e.g., to inform capacity building, learning and knowledge activities). During the PIF and PPG stages, initial outreach was conducted with select organizations on leverage opportunities such as the GEF's SGP, Nia Tero, The Tenure Facility, NICFI, National Geographic, Climate Investment Funds, Global Wildlife Conservation, the World Bank, and the UN Permanent Forum on Indigenous Issues. Collaborations with many of these organizations have been identified as well as co-financing so engagement with those list as well as other will continue during project implementation.

ICI will continue to seek opportunities to partner with other public and private institutions to access more funding for expansion of the coverage of ICI geographies and/or add investments to existing sites.

NGOS and coalitions that work on promoting Indigenous People rights will also be approached to find synergies or in some cases to provide support in activities that ICI may not be able to, e.g., Human Rights

organizations to provide training and support for environmental rights defenders; research institutions, including those specializing in participatory mapping activities

Development actors, such as extractives who may have interest to partner with specific projects type of activities – the specific executing agency will decide based on their own internal process the extent of partnership they can enter into. Though ICI may facilitate the exchange of information between such actors, the final decision will rest on the specific executing agency.

When needed and applicable representatives of such institutions may be invited in some of the activities of ICI to provide technical and financial support. The GSC will decide on the extent of the partnerships.

In accordance with the CI and IUCN Agencies' discussions with GEF's IPAG, all consultations during the stakeholder engagement process should be clear, open, and transparent. During the PPG phase, the CI and IUCN GEF Agencies worked with the ISC to prepare an action plan to conduct broad-range global consultations to refine selection of the project geographies.

Upon confirmation of the subproject geographies at the GEF Council meeting in December 2019, CI and IUCN engaged IPLCs, local organizations, and national and subnational governments as prescribed in the ICI SEP.
Once sites are defined and EAs are selected, the EAs will also call upon their indigenous and non-indigenous partners' field offices to provide insights and inputs on the potential areas of focus and site level project design. Care will be taken to ensure that the consultations will include groups that are not often part of regional or international gatherings.

Events were highlight for engagement during the PPG phase and an initial calendar of stakeholder engagement had been outlined. Due to COVID, a limited number of these engagements took place prior to global lockdowns and subsequent engagements, meetings and consultations moved to a virtual format. (see calendar and spreadsheet of consultations in Appendix 4.1).

Stakeholder Engagement Framework

The Stakeholder Engagement Framework, that is aligned with the Project Safeguard System, can be found in Annex 4. Stakeholder Engagement Plans will be developed along with ESMPs for each of the 9 subprojects.

According to the Project Safeguard System, funded projects must:

i. Identify and involve key and vulnerable stakeholders in project design and preparation processes to understand local needs and avoid adverse impacts;
ii. Ensure that stakeholders views and concerns are taken into account by the project and are addressed by key decision-makers;
iii. Engage stakeholders in meaningful consultations where they are able to express their views on project plans, benefits, risks, impacts, and mitigation measures that may affect them; and
iv. Incorporate the knowledge of stakeholders and address any concerns during all phases of the project;
v. Include clear procedures for stakeholders to request additional information;

vi. Ensure that such consultations are gender responsive; free of manipulation, interference, coercion, discrimination and intimidation; and responsive to the needs and interests of disadvantaged and vulnerable groups; and
vii. Continue consultations throughout project implementation, monitoring and evaluation, as necessary, to ensure project adaptive management and proper implementation of environmental and social safeguard plans.

The project will assure that stakeholder groups of historically vulnerable or marginalized people (e.g., women, youth, elders, religious/ethnic minorities) are able to fully and effectively participate in the subproject implementation process, identifying a range of stakeholders that will be affected by project activities or may be interested in their actions. Stakeholders will be informed and provided with information regarding project activities in a language and format that is easily understood by them and it will identify differentiated measures to allow the effective participation of those identified as disadvantaged or vulnerable. For that purpose, it will require that each subproject ESMP includes a Stakeholder Engagement Plan encompassing all project activities during design, implementation, and closure; as well as specifying different consultations activities and disclosure process, as well as the budget necessary to carry out all the stakeholder engagement activities.

11. Accountability and grievance mechanism

The Project Safeguard System establishes in its Accountability and Grievance Mechanism that all projects have a form of project-level Accountability and Grievance Mechanism (AGM), which must be designed to:

i. Address potential breaches of CI and IUCN's policies and procedures;
ii. Be independent, transparent, and effective;
iii. Be reasonably accessible to project-affected people;
iv. Keep complainants abreast of progress with cases brought forward;
v. Maintain records on all cases and issues brought forward for review, with due regard for the confidentiality of complainants' identity and of information; and
vi. Take appropriate measures to minimize the risk of retaliation to complainants and protect the legitimacy, trust, and use of the grievance mechanism.

In this sense, the project site ESMPs must incorporate a project-level AGM aligned with the Project Safeguard System in terms of objective, process, time frame for responses, implementation arrangements of the mechanism, among others, considering the template for preparing this tool specified in the project system.

ICI will design, during the start-up phase, a tiered complaints redress mechanism and complaints handling structure, with an appeals procedure and escalation provisions. The ICI AGM will be consistent with the GEF requirements. These should apply at local and global levels and should draw from experience with similar mechanisms. The project AGM must be independent and transparent.

Conflict Resolution on a Project-by-Project basis

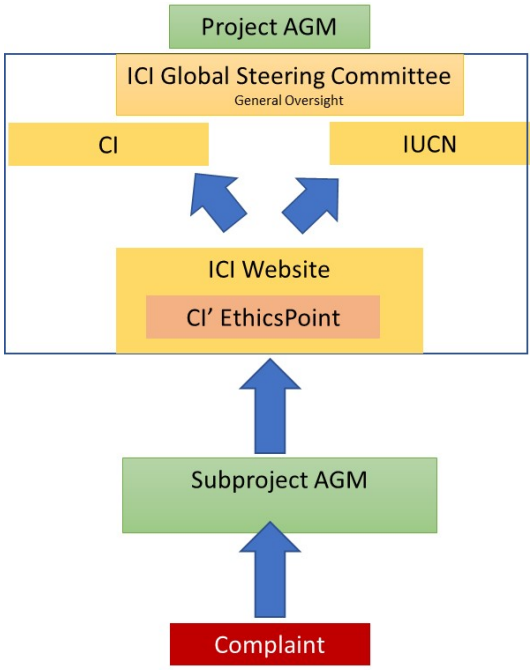
The Executing Agency at the subproject level should be the first point of contact in the Accountability and Grievance Mechanism. The Executing Agency will be responsible for informing Affected Communities about the project commitments and ESMF provisions. Contact information of the Executing Agency, CI and IUCN 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.

A Grievance Mechanism at the subproject level should be put in place by the Executing Agency 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. Each subproject will ensure culturally appropriate, easy access to information of the project and contact points. This information will be provided on the ICI websites as well other culturally appropriate means of communication. Documents and reports will be translated into French and Spanish as necessary.

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 Agencies 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.

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. If the executing agency cannot resolve the issue, the grievance will be elevated to the project Global Steering Committee (GSC). The GSC will form an AGM sub-committee to handle escalated grievances upon request and recommend actions to the GSC. Through EthicsPoint, CI and/or IUCN with the decision of the GSC will respond within 15 calendar days of receipt, and claims will be filed and included in project monitoring processes.

Figure 3. Subproject and Project's levels of Grievance Mechanism



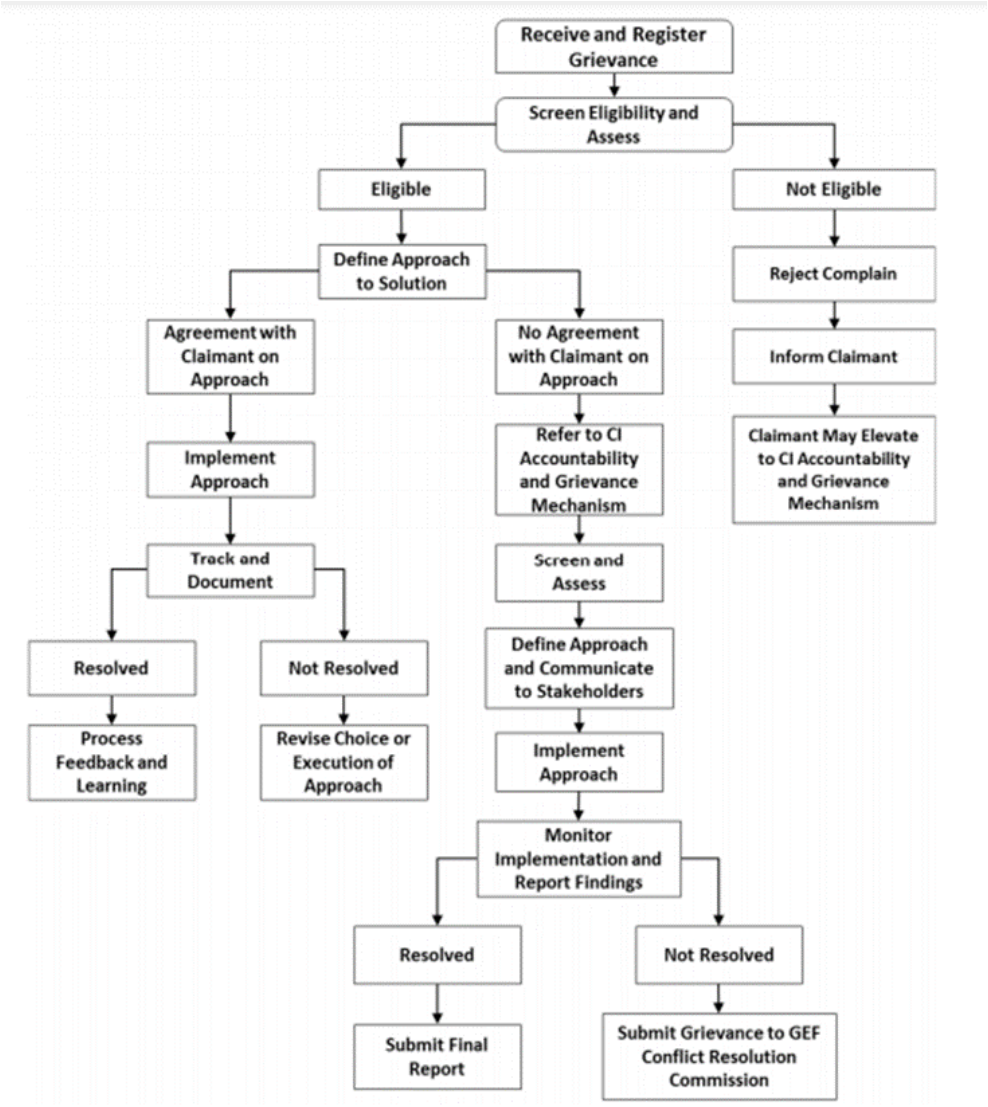
Alternatively, the grievant may file a claim with the Director of Compliance (DOC) who is responsible for the CI Accountability and Grievance Mechanism and who can be reached at:
Mailing address: Director of Compliance
Conservation International
2011 Crystal Drive, Suite 500
Arlington, VA 22202, USA.

CI and IUCN as Project Agencies 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 and IUCN Project Agencies to monitor any mitigating measures noted from the implementation of the Project Safeguards System.

CI Organizational Structure and Staffing

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 4. Overview of Grievance Mechanism



IUCN Organizational Structure and Staffing

The IUCN ESMS grievance mechanism addresses stakeholders' complaints related to issues where IUCN projects have failed to respect ESMS principles, standards, and procedures. The aim of the grievance mechanism is to provide people or communities fearing or suffering adverse impacts from a project with the assurance that they will be heard and assisted in a timely manner.

All complaints received through the Project Complaints Management System (PCMS) are registered and trigger a formal review and response process following. Upon receipt of a complaint, the IUCN Head of Oversight will, within five business days, indicate to the complainant whether the request is eligible. To reach this decision, the Head of Oversight will involve the Director PPG, the ESMS Coordinator, and, as appropriate, member(s) of the ESMS Expert Team in assessing the complaint.

If the complaint is eligible, the Director PPG will appoint an internal investigator, independent of the project, to manage the case. The investigator will notify the executing entity and the nearest IUCN office and request, within 20 business days, a detailed response including a confirmation that the complaint is valid under the eligibility provision and an action plan and timetable for addressing the complaint. The local IUCN office facilitates the process.

Figure 5. Overview of IUCN's Grievance Mechanism

12. Monitoring and Evaluation

Implementation of the ESMF needs to be monitored over time in order to allow for its adaptive management as needed. The monitoring of the Environmental and Social Management Plan will be integrated in the general monitoring system of the Programme.

The Project Management Unit will include an Environmental and Social Safeguards Specialist that will work closely with the Monitoring and Evaluation specialist that will be responsible of ensuring that the M&E system is appropriately implemented. He/She will review and analyze the periodic reports to be submitted by the Executing Agencies. He/She will also be responsible for producing the E&S reporting to be included in the annual programme report to be sent to the GEF Secretariat with the aggregated and analyzed information of the Programme provided by the Executing Agencies. It will include an assessment about the compliance of the ESS during the execution of the activities, a description of the oversight activities performed, and the difficulties experienced. The ESS Specialist along with the M&E specialist will ensure that all the information registered in the system is disaggregated according to gender, age and belonging to Indigenous Peoples, Local Communities, or any vulnerable group. He/she will ensure that annual participatory evaluations with the beneficiaries will be performed.

The Programme will require an end of project evaluation that will as well assess compliance of the ESS. In addition, a mid-term evaluation shall be included in the monitoring and evaluation plan. The Mid-Term Evaluation will be undertaken at the mid-point of the project lifetime; it will determine the progress being made towards the achievement of outcomes and will identify course corrections if needed.

The monitoring and reporting tools (such as environmental and social sheets, monitoring sheets and monitoring reports) will be designed within the framework of the definition of the Project's Operational Manual.

13. Executing agencies' institutional capacity for safeguard policies

In relation to environmental and social safeguards, both CI and IUCN have their own established policies and standards that guide all programming activity. IUCN has for example its own Environment and Social Management Systems (see https://www.iucn.org/resources/project-management-tools/environmental-and-social-management-system). Both of the ICI's executing agencies have dedicated staff positions to promote the use of safeguards, to mainstream gender into projects and to mitigate any potential risks emanating from project activity.

In addition, the CI and IUCN staff members have a deep understanding of indigenous issues and hold a wide range of relationships with indigenous partners in regions where CI and IUCN work and within international human rights, environment and climate policy fora. Underscoring CI commitment to promote indigenous rights, two prominent indigenous leaders hold senior roles within this team and lead work directly related to indigenous rights in the conservation context; as well as since 2009, CI has benefited from an Indigenous Advisory Group comprised of five indigenous leaders from Asia, Africa and Latin America. IUCN is the only global environmental organization that includes Indigenous Peoples' Organizations within its membership structure. IUCN has supported this group of IPO Members to develop a self-determined strategy for their work with IUCN and supports its implementation through regular engagement with the IPO Member group. IUCN also employs indigenous professionals both within the global program with responsibility for this project and in some regional offices relevant for the project.

Implementation of component 1 will also involve the local EAs. Here, institutional capacities vary. A capacity assessment tool is currently under development that will identify the strengths and weaknesses of ICI's local EAs in managing risks and applying safeguards. This will eventually lead to capacity building strategies for each subproject and an overall capacity building strategy for the ICI. However, it should be noted that overall, the EAs demonstrate a strong inclination towards embracing and employing safeguards as a project management tool. IMPACT of Kenya for example, acknowledged in its Expression of Interest (EOI) that it operates in reference to World Bank Safeguards. NEFIN of Nepal stated in its EOI that training of IPLCs would focus on building their capacity related to safeguards. With Sotz'il as the lead organization, EAs in Mesoamerica have coordinated with indigenous peoples in Latin America in the process of reviewing and implementing safeguards and Environmental and Social Frameworks of the World Bank. In addition, Sotz'il has institutional policies on gender equality and cultural diversity. In Tanzania, UCRT has developed several internal safeguard policies (e.g., on child protection, whistle blowing, human resources, security, communications and COVID-19) to protect and guide staff and financial management policies. The IPF in Thailand in its EOI described its experience with safeguards related to protecting Indigenous cultures.

Annex 1: Terms of Reference of the Global Steering Committee

A Global Steering Committee (GSC) will be established to lead the governance of the GEF Inclusive Conservation Initiative. It will have two primary goals – lead the initiative and serve as a capacity-building exercise for IPLC leaders in the oversight of GEF IPLC-led global projects.

The GSC is the visible manifestation of IPLC leadership of the initiative and shall strive to demonstrate and practice inclusiveness in its composition and conduct. The GSC membership will consist primarily of Indigenous Peoples and Local Communities as decision-making members representing the diversity of cultures, contexts, and ecosystems that are part of this project. The representation of ICI will seek to demonstrate the values of inclusion, representation, and emerging IPLC leadership committed to moving forward the agenda of Inclusive Conservation.

The Global Steering Committee (GSC) functions will include providing intellectual and policy leadership to the ICI and oversight of the overall implementation of the project. The GSC will also have an essential role in external interactions with GEF, the GEF IPAG, governments, and other partners to advocate for IPLCs in international forums on biodiversity, Climate Change, Rio conventions, and other emerging issues. Representatives of the GSC will help represent and raise awareness about the ICI at the national and international levels. The GSC will ensure that the program lessons are widely disseminated and will help identify opportunities for additional resources and expansion of the program. The GSC will mediate complaint and grievance issues if requested by any of the nine subprojects.

1. **Roles and Responsibilities of the GSC**
    - Provides strategic leadership for the ICI, including intellectual and policy guidelines;
    - Promotes project consistency across subproject geographies while respecting indigenous processes;
    - Guides the work of the ICI Implementing Agencies
    - Provides inputs to annual work planning, including aspects such as focal themes for exchanges/modules and potential partners; reviews and approves annual work plans and budgets for components 2-4;
    - Identifies key global/regional activities where the ICI should participate;
    - Reviews and approves potential partnerships for the ICI; recommends fundraising initiatives for the ICI.
    - Reviews and approves the ToRs for project mid-term and final evaluations
    - Provides strategic oversight to the design of learning exchanges and participates at events to disseminate lessons learned;
    - Reviews and recommends new members of the GSC, if needed;
    - Reviews and approves the Manual of Operations of the ICI, including rules of procedures for the GSC. Reviews and constitutes needed sub-committees for the efficient running of ICI. For example, a Grievance and Redress sub-committee to receive grievances and recommend actions to the GSC.
    - Engages in the promotion of Inclusive Conservation as a broader movement.
2. **Process**

- The GSC will have annual meetings – virtual and in-person, depending on the circumstances; each GSC meeting will appoint the Chairperson of the meeting.
- The GSC will have interpretation in Spanish, French, and English in all meetings;
- Documents for the GSC meetings will be provided at least seven (7) days in advance prior to meetings to allow for preparations;
- All GSC decisions should strive to be consensus-based – this will be further defined during the first meeting.

The GSC will determine the rules of procedure in their inaugural meeting.

3. **Composition**

Membership from ICI Subprojects:

The GSC will be composed of one IPLC representative from each of the 9 Subprojects.

Each of the 9 Subproject will identify an IPLC representative to the GSC and retain the option to change such representative in the course of the initiative. The nomination of an IPLC representative should take a gender-inclusive approach.

General Requirements for Nominees:

a) Membership from IPLC communities or governance of ICI subprojects.
b) Recognized as community leaders engaged in the field of IPLC-led conservation and issues relevant to ICI.
c) Ability and interest to participate in the leadership of the initiative.
d) Willingness to travel for GSC meetings.
e) Commitment to report on progress of work related to ICI carried out at the local level.
f) Willingness to speak on the initiative at public conferences.
g) Agree to serve in a term of 2 years.

Membership from outside the ICI Subprojects:

Additional members of the GSC outside of ICI subprojects may be considered once the Steering Committee is established. The Steering Committee may find value in bringing a member of the GEF indigenous Advisory Group (IPAG) and/or targeted external Indigenous expertise to provide a broader perspective on inclusive conservation. These individuals can be nominated by the PMU and agreed on by the GSC members. A maximum of 2 additional GSC members would be considered.

Role of the GEF Secretariat

The GEF Secretariat has a non-voting seat on the GSC and shall provide relevant guidance related to GEF strategy, policy and procedures.

Technical assistance

Representatives of the GEF Implementing Agencies (CI/IUCN) shall provide technical and secretarial support to the ICI Steering Committee

Note: The GSC will not have direct oversight over subproject implementation as this is the responsibility of the Implementation Agencies in their role as GEF agencies. This also avoids any conflicts of interest among subproject.

Annex 2: Correspondence between the IUCN-ESMS and the CI-GEF ESMF

The ICI Implementing Agencies, CI and IUCN, agreed to apply the CI-GEF ESMF to ensure project adherence with ambitious environmental and social standards. The CI-GEF ESMF is a harmonized Environmental and Social Management Framework between CI and the GEF. This means, for example, that it incorporates CI's exclusion criteria but also ensures that all GEF expectations regarding environmental and social project standards are met. However, IUCN has their own Environmental and Social Management System (ESMS). While it is assumed that in essence the CI-GEF ESMF and the IUCN ESMS are in agreement, no correspondence analysis has been conducted to date. The following table provides a brief overview of correspondence between the two systems as a background to the projects' work to ensure safeguards adherence. The table is based on the IUCN ESMS questionnaire, from which the relevant aspects shown under each heading are derived. The corresponding content was sourced from the CI-GEF ESMF safeguards screening form and the CI-GEF ESMF itself.

IUCN ESMS Content	**Corresponding content in CI-GEF ESMF screening form**
Assessment of social or environmental impacts	
Gender equality and risks (including gender-based violence)	
1. Discrimination based on gender *Gender equality in the project design process*	Covered in ESS 1, paragraphs 51 and 52
2. Creation, exacerbation or perpetuation of gender-related inequalities or adverse impacts on the situation of women and girls	Covered in Policy 2: Gender Mainstreaming, e.g. paragraph 206. Also, the definition of Gender Mainstreaming (paragraph 211) incorporates the concept of not perpetuating gender-related inequalities
3. Limitation of women's ability to use, develop or protect natural resources	Mainstreamed throughout the CI-GEF ESMF, see also Template for Gender Mainstreaming Plan in Appendix X
4. Risks of gender-based violence, also through employees or third parties *Previous identification of such risks*	Covered in ESS1, paragraphs 51 and 53
Risk of affecting vulnerable groups	
5. Presence of vulnerable or disadvantaged groups or individuals Including landless or elderly people, persons with disabilities, children, ethnic minorities, displaced people, people living in poverty, marginalised or discriminated individuals or groups, among others	Covered under ESS 1, paragraphs 48 and 49
6. Disproportionate risks or negative impacts on material or non-material conditions for disadvantaged or vulnerable individuals or	Covered in different places of the CI-GEF ESMF, including ESS8ESS8: Community Health, Safety and Security, paragraphs 176 and 180, and

groups, including changes in land use and/or tenure arrangements, and including people coming from outside the project area such as internally displaced people.	policy 3: Stakeholder Engagement, paragraph 225 f). The point is also included in the screening form under ESS 3: Resettlement, Physical and Economic Displacement
7. Discrimination against vulnerable groups with access to resources, services, or benefits provided by the project	Covered in ESS1, paragraph 48-52
Risks of violation human rights, including substantive and procedural rights	
8. Adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of individuals or groups, with a special view to access to services or resources essential to basic needs (e.g. health or education, drinking water, productive resources, sources of income, subsistence food production)	CI's exclusion criteria, which are part of the CI-GEF ESMF, state in criterion 7 that CI will not finance projects that "contravene major international and regional conventions on human rights, including rights specific to indigenous peoples" Policy 3: Stakeholder Engagement confirms a human-rights based approach to programming. The point on access to services and resources is covered in different places, e.g. under Appendix V: Voluntary Resettlement Action Plan, paragraph 13
9. Elite capture, unjustified preferential treatment of individuals or groups or informal or de facto restriction or exclusion of groups	The terms "elite capture" or "unjustified preferential treatment" as such do not appear, however, the concept of inclusiveness with a special view to vulnerable groups is amply covered, see, e.g., Policy 3: Stakeholder engagement.
10. Future exclusion of individuals or groups from participating in decisions that may affect them	Unless "future" refers to a time after project closure, this is covered in Policy 3: Stakeholder engagement, e.g. paragraph 229 referring to engagement throughout the project/financing cycles.
11. Discrimination or marginalization of specific groups (situations not specified in previous points)	No explicit reference found
12. History of injustice or abuse of human rights in the project area/s, including evictions and failure to compensate people for their land and/or assets when the protected area was established	Covered in paragraph 85
Community health, safety and security	
13. Civil war, inter-ethnic conflict, insurgency in the last 10 years within the project area	• Under ESS 8, paragraph 176c), it is stated that projects will be screened to identify the particular risks that may be present in a conflict or post-conflict context

	• Appendix II, paragraph 14, it is stated that safeguard screening reports may need to include information about historical and existing conflicts. • Appendix VIII: Community health, safety and security Risk Assessment Tool includes an identification of threats to country/project operations, including identification of security incidents in recent months/years.
14. Organized poaching, drug cultivation or trafficking, or other organized crime in the project area	• The topic of illegal activities, such as poaching, is dealt with in Appendix V: Voluntary Resettlement Action Plan (V-RAP) and specifically in paragraphs 22e) and 25 under the description of the content of a Process Framework. There is no separate mentioning of drug cultivation or trafficking. • Appendix VIII: Community health, safety and security Risk Assessment Tool includes an identification of threats to country/project operations, including identification of types of crime occurring in the project area.
15. Project area in transboundary region	• Under ESS 1, paragraph 41, it is stated that for projects in transboundary regions, the CI-GEF/GCF project agency may require a SESA to ensure that environmental and social aspects are considered effectively in policy, planning and program making; • Under Appendix II: Methodology for conducting ESIAs, paragraph 2, it is stated that the ESIA "identifies and assesses the potential impacts of a proposed project on physical, biological, socio-economic and cultural heritage, including transboundary concerns…". The point is reinforced under paragraph 15.
16. Support of PA management and/or law enforcement activities o Involvement of community organizations or private companies; o Park rangers or law enforcement personnel carrying fire arms; o Historical conflict between park management and local stakeholders;	The point of potential impacts caused by activities in the context of establishment of or law enforcement in protected areas is covered under • ESS 1, paragraph 55a • ESS 2, paragraph 68 (context natural habitats and biodiversity conservation) • ESS 3, paragraph 98

o Formal complaints, investigations or press reports.	• The project screening form • Appendix V (V-RAP) Not all specific aspects in the context of community health, safety and security covered by IUCN regarding work in protected areas are covered by the CI/GEF ESMF. However, the potential risks posed to communities by park rangers, armed or unarmed, is covered in ESS 8, paragraph 176 g) and h). The aspect of conflict, though not specifically between park management and local stakeholders, is covered in ESS 8, paragraph 176 i).
17. Potential increase in human-wildlife conflict	Human/wildlife conflicts are mentioned as an example impact of projects in Table III.1 but otherwise this aspect is not covered
18. Weakening of community institutions or disruption of social interaction	• Appendix V in paragraph 13 specifies that typical effects of displacement include the breakup of communities and social support networks. No further reference to this point has been found.
19. Exacerbation of existing conflicts or generation of conflicts in the project area	• Under ESS 1, paragraph 47, it is stated that projects will be assessed to identify if they will raise or magnify any potential conflicts among stakeholder groups;
20. Exposure of local communities to accidents or increase of their vulnerability to natural hazards or disasters	• Covered under ESS 8
21. Cause or exacerbation of health and safety risks through changes related to water infrastructure or through increasing risks of other vector-borne diseases	Covered under ESS 5 and ESS 8, paragraph 180, 182 and 184, though potential impacts from changes in water infrastructure are only mentioned under Appendix IV: Plans for Natural Habitats and Biodiversity Conservation.
22. Reduction in local air quality	Not explicitly covered under ESS 5 or 8 but implicitly under ESS 8, paragraph 176 d) “impacts of the project on provisioning and regulating ecosystem services, as they are directly relevant to community health and safety”.
Labor and working conditions affecting project workers	
23. Meeting national labour laws and international commitments, including through contractors	Covered in ESS 7 under paragraph 153 (ILO Declaration) and paragraphs 160 and 161 (national law)
24. Work with community rangers or other volunteers	No explicit reference to volunteers has been found

25. Exposure to risk of violence while on duty	Not covered in exactly this way but ESS 7 under paragraph 176 requires that "Appropriate measures are in place to prevent harassment, intimidation, and exploitation, and to protect vulnerable workers, including but not limited to women, children of working age, migrants and persons with disabilities."
26. Exposure to occupational health and safety (OHS) risks	Covered under ESS 7, paragraph 168a)-f)
27. Forced labour or harmful child labour	According to exclusion criterion 12, projects that "Include the use of forced labour, trafficking in persons, and child labour. Child labour includes both (i) labour below the minimum age of employment and (ii) any other work that may be hazardous, may interfere with the child's education, or may be harmful to the child's health or to the child's physical, mental, spiritual, moral, or social development" cannot be supported. Also covered in ESS 7, paragraph 159 d) and 171.
Resource efficiency, pollution, wastes, chemicals and GHG emissions	
28. Pollutants, increased generation of waste or waste water due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts, considering specifically hazardous waste	Covered in ESS 5, paragraphs 127 and 130, for hazardous waste see paragraph 129
29. Use of energy, water and other resources	Covered in ESS 5, paragraphs 126, 128, 132
30. Use of chemicals or other hazardous materials subject to international bans, restrictions or phase-outs (pesticides are covered in biodiversity standard)	According to exclusion criterion IX, projects that "Propose the use and/or procurement of materials deemed illegal under host country laws or regulations or international conventions and agreements, or subject to international phaseouts or bans" cannot be supported.
31. Increases of greenhouse gas emissions or to a substantial reduction of carbon pools	Covered in ESS 5, paragraphs 128, 131
Climate change	
32. Analysis of historical, current, and future trends in climate variability and change including climate sensitivity	Covered in ESS 8, paragraph 176 e), and ESS 10, paragraph 198
33. Changes in biophysical conditions in the project area triggered by climate change that could impact people's livelihoods with special consideration of vulnerable groups	Covered in ESS 8

34. Climate variability and changes affecting the effectiveness of project activities or its sustainability	Covered in ESS 10
35. Project activities potentially increasing the vulnerability of local communities or the local ecosystem to climate variability, temperature increases or climate hazards	Covered in ESS 10, paragraph 199
36. Project measures to enhance the adaptive capacity of communities and ecosystems	According to paragraph 197, the purpose of ESS 10 on Climate Risk and Related Disasters is, among others, to "d) Strengthen resilience of communities to address risks of climate change impacts and climate related disasters; and, e) Increase the ability of communities to adapt to the adverse impacts of climate change, and foster climate resilience and low greenhouse gas emitting projects that do not threaten food production."
Standard on Involuntary Resettlement and Access Restrictions	
1. Project involving involuntary resettlement and/or land acquisition *Consideration of alternatives*	• According to exclusion criteria, projects involving "Involve involuntary resettlement, land acquisition, and/or the taking of shelter and other assets belonging to local communities or individuals; through coercion and/or undue influence;" are not supported • The topic as such is covered in ESS 3: Resettlement and Physical and Economic Displacement • The same ESS in paragraph 88 requests that all viable alternatives be assessed to avoid economic or physical displacement and before voluntary resettlement can indeed be considered.
2. Forced eviction	• The term eviction as such is not used in the CI-GEF ESMF, however, the reference made to "coercion and/or undue influence" made in the exclusion criterion covers the topic
3. Economic displacement caused by restricting peoples' access to land or natural resources where they have recognized rights (legally or customarily defined) • Restrictions and the respective land or resources to be restricted including communal property and natural resources • Affected groups or individuals having or not having recognized rights	• The topic as such is covered in ESS 3: Resettlement and Physical and Economic Displacement • "Communal property" as such is not mentioned, however, paragraph 83 specifies that "This Standard extends to the inclusion of customary rights and not only limited to areas where there are legal rights over access and use of resources."

• Negative effects on people's livelihoods • Consideration of measures to avoid restrictions • Measures to minimize or compensate for impacts • Definition of transparent and fair eligibility criteria • Measures being culturally appropriate and gender sensitive • Process to obtain consent	• The previous point also covers the aspect of "having or not having recognized rights" • Covered in the definition of economic displacement in paragraph 82 b) • ESS 3 in paragraph 88 requests that all viable alternatives be assessed to avoid economic or physical displacement, which would include measures to avoid restrictions • The V-RAP has to include information on efforts made to minimize displacement. Minimization and compensation are also covered in the purpose of the ESS, see paragraph 84. • The V-RAP and the Process Framework must include eligibility criteria, see e.g. Annex V, paragraphs 24-26. The terms "transparent and fair" are not used in this context. • The aspect of designing culturally appropriate and gender sensitive measures are covered in ESS 4 on Indigenous Peoples and in Policy 2 on Gender Mainstreaming, but not under ESS 3. • Appendix V, paragraph 3 confirms that "The CI-GEF/GCF Project Agency may support project-initiated voluntary resettlement as an exceptional measure where consent of affected communities has been sought and obtained". This is further emphasized in paragraph 9 of the same Annex.
4. Acquisition of land for purposes other than conservation objectives	• The CI-GEF/GCF ESMF does not specify or restrict the reasons for land acquisition
Standard on Indigenous Peoples	
1. Project site overlapping with lands or territories claimed by indigenous peoples, tribal peoples or other traditional peoples	• Covered in ESS 4 on Indigenous Peoples
2. Potential effects on rights and livelihoods of IPs, even if they are not present on site o Name and location of groups o Identification as indigenous o Traditionally inhabiting the project site or moved there o Risk of physical or economic displacement	• Covered in ESS 4 and in Appendix VI • The aspect "even if they are not present on site" is covered by including in paragraph 104 the fact that affected land may be "utilized by IPs", not only owned or occupied by them. This is again emphasized in Appendix VI, paragraph 8

o Risks from use or commercial development of natural resources on lands and territories claimed by them, by affecting their traditional livelihood, their self-determination, cultural identity, values and practices, or their development priorities o Effects on cultural heritage through commercialization of traditional knowledge o Groups in voluntary isolation o Consultation of legitimate representatives, FPIC process o Provision of benefits	• Aspect that IPs may have moved to the project site is not explicitly mentioned. • Risks of displacement are covered under ESS 3 • Risks from commercial use of cultural heritage are covered under ESS 4, paragraph 112 and ESS 6, paragraph 150 • Protection of traditional knowledge is covered in ESS 2, paragraph 70 • Voluntary isolation is covered in ESS 4, paragraph 113 • FPIC is considered in different paragraphs of ESS 4 and ESS 6 • Provision of benefits is covered in the purpose of ESS 4, see paragraph 106 b)
Standard on Cultural Heritage	
1. Project location in or near cultural heritage site	• Covered in ESS 6
2. Inclusion of important cultural resources in project site	• Covered in ESS 6
3. Inclusion of any natural features or resources that are of cultural, spiritual, or symbolic significance in project site that could be affected by • Development of infrastructure or construction of buildings • Excavation or movement of earth, flooding or physical environmental changes *This includes the risk of harm to known or unknown (buried) cultural resources*	• Appendix VI: Indigenous Peoples Plan refers to the risk of "loss of customary rights to land … used for social, cultural and spiritual purposes" • ESS 6 in paragraph 144 specifically refers to projects involving infrastructure in the context of cultural heritage • Excavation of movement of earth, flooding etc are not mentioned in the context of cultural heritage • Potential risks to chance finds are covered under paragraph 147 of ESS 6
4. Restrictions in access to cultural resources or natural features/sites with cultural, spiritual or symbolic significance	• Covered in ESS 6
5. Impacts on in-tangible cultural resources such as values, norms or practices of local communities	• Covered in the purpose of ESS 6 and further detailed in paragraph 138
6. Promotion of the use of or the development of economic benefits from cultural heritage resources or natural features/sites with cultural significance to which local communities have recognized rights (legally or customarily defined)	• Partly covered under paragraph 150 of ESS 6

Standard on Biodiversity Conservation and Sustainable Use of Natural Resources	
1. Project location in or near areas that are a) legally protected or officially proposed for protection, b) recognized for their high biodiversity value and protected as such by indigenous peoples or other local users, or c) not covered in existing protection systems but identified by authoritative sources for their high biodiversity value	• Exclusion criterion 2 defines that projects that "Propose to create or facilitate significant degradation and/or conversion of natural habitats of any type (forests, wetlands, grasslands, coastal/marine ecosystems, etc.) including those that are legally protected, officially proposed for protection, identified by authoritative sources for their high conservation value, recognized as protected by 16 CI-GEF/GCF Project Agency's ESMF: Version 07, June 2020. traditional local communities, or have significant negative socioeconomic and cultural impacts that cannot be cost-effectively avoided, minimized, mitigated and/or offset" will not be finances by CI. • Points a), b) and c) on the left are covered under ESS 2, paragraph 63
2. Risk of adverse impacts on biodiversity and integrity of ecosystems in areas described under point 1 *This refers to construction and use phase*	• Covered throughout ESS 2, e.g. paragraph 69
3. Risk of significant adverse impacts on biodiversity outside areas of high biodiversity value, through infrastructure development, plantation development (even small scale) or other activities *This refers to construction and use phase*	• ESS 2 covers natural habitats as a whole. While special emphasis is made on "critical natural habitats", i.e. areas identified under points 1a), b) and c) on the left, risks to and impacts on natural habitats not considered "critical" are still included. • Plantations are considered as "modified habitats", see paragraph 65 in ESS 2.
4. Risk that the project affects areas of high biodiversity value outside the project area, e.g. by procuring natural resource commodities from other geographies *Requests description of appropriate industry-specific sustainability verification practices*	• Covered in ESS 2, paragraph 75 • The same paragraph specifies that suppliers need to demonstrate that they are not contributing to significant conversion or degradation and that "This may be demonstrated by delivery of certified product, or progress towards verification or certification under a credible scheme in certain commodities and/or locations)".
5. Accidental or intentional introduction or use of non-native species	• Covered under ESS 2, paragraph 69 and also under ESS 5

6. Risk of creating other pathways for spreading invasive species	• No explicit reference has been found

Annex 3: Environmental and Social Safeguards Screening

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

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

☐X **Secondary Screening** (check if performed at GEF Project Preparation Grant (PPG) Stage or GCF Project Preparation Facility (PPF) Stage

Guidance Notes

1. This Safeguard Screening Form is guided by the CI-GEF/GCF Project Agency's and IUCN's Policies on Environmental and Social Safeguard Standards, which forms part of the Agencies' Environmental and Social Management Frameworks (ESMF) and will be referred to as **Project Safeguard system**.
2. The CI and IUCN Project Agencies undertake environmental and social safeguard screening for every project to determine the risk categorization for the project, the safeguard standards triggered by the project, and the mitigation measures to be implemented by the project.
3. Safeguard screenings are performed at (i) PIF/CN stage (Preliminary Screening) using the finalized versions of the PIF/CN; and (ii) PPG/PPF stage (Secondary Screening) using the project document when details of activities, project intervention areas and executing arrangements, among others, have been finalized. Additional screenings may be performed at any time when significant changes have emerged including but not limited to new proposed activities, changes in local/national context of project intervention areas, and where environmental and social risks have increased.
4. The CI and IUCN Project Agencies classify the project into one of three categories, depending on the type, location, sensitivity and scale of the project and the nature and magnitude of its potential environmental and social impacts. The descriptions of the categories and lists of types of projects identified in Appendix II of the Project Safeguard system. These descriptions are meant to serve as guidance and are not exhaustive.
5. The CI and IUCN Project Agencies do not fund projects that involve the construction or rehabilitation of large or complex dams, and resettlement of people. The CI and IUCN Project Agencies cannot support projects that contradict CI and IUCN's mission and policies.
6. The Executing Agency/Entity is responsible for fully completing and providing accurate responses to each question in this Screening Form, and to submit the completed Form to CI-GCF/GEF Project Agency and the IUCN in a timely manner.
7. The CI and IUCN Project Agencies are responsible of ensuring that the project complies with the Project Safeguard system and will use the completed Screening Form to determine the mitigation measures for the Executing Agency/Entity to implement.
8. In addition to preparing and implementing mitigation measures for the environmental and social standards triggered, the Executing Agency/Entity will also need to comply with CI-GEF/GCF and IUCN's policies on gender, stakeholder engagement and accountability and grievance mechanism. As such the Executing Agency/Entity will be required to prepare a Gender Mainstreaming Plan, a Stakeholder Engagement Plan, and an Accountability and Grievance Mechanism (see to ESMF for details).
9. The Executing Agency/Entity is responsible for informing the CI and IUCN Project Agencies in a timely manner, if at any time during the preparation and implementation of the project, the information provided in this Screening Form changes in a way that results in the risks of the project being increased.
10. For additional information/clarification, please contact Ian Kissoon, Director of ESMF, CI-GEF/GCF Project Agency at ikissoon@conservation.org or your GEF/GCF Project Manager.

I. PROJECT INFORMATION	
GCF/GEF Project ID:	**Country**: Project implemented in geographic territories located within 12 countries, namely Argentina, Chile, Cook Islands, Democratic Republic of the Congo (DRC), Fiji, Guatemala, Kenya, Nepal, Panama, Peru, Tanzania, Thailand, but also reaching beyond these countries through project components 2 to 4
Project Title: Inclusive Conservation Initiative (ICI) *It should be noted that this screening form has been filled in specifically for component 1 of the ICI*	

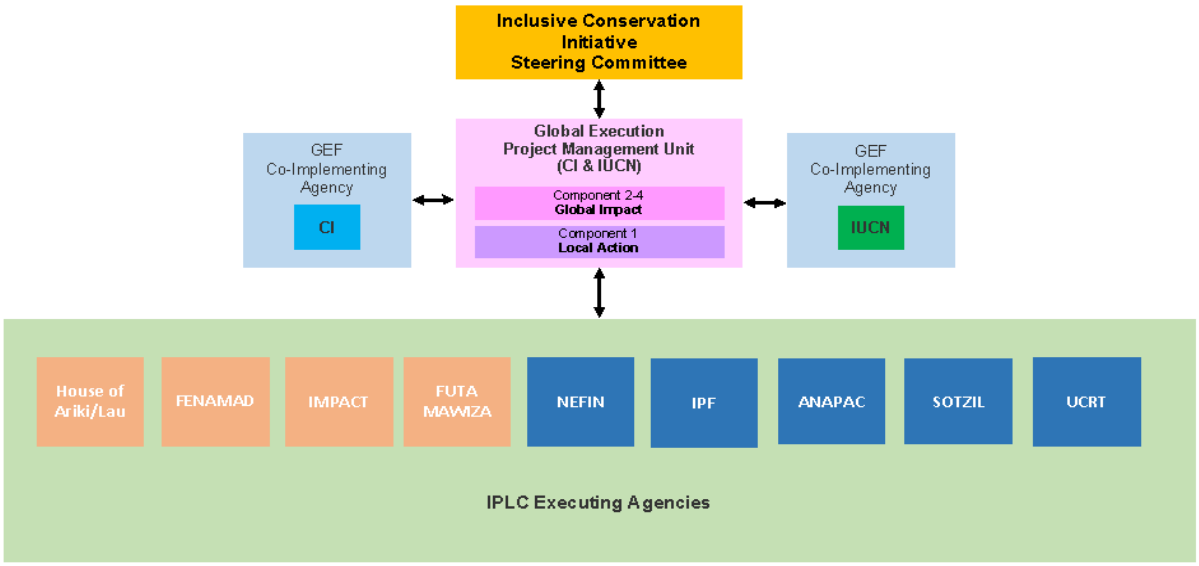
The Inclusive Conservation Initiative will be implemented and overseen through a set of institutional arrangements that maximize IPLC voices, authority and roles while also ensuring programmatic and financial management in accordance with GEF Implementing Agency requirements.

The primary focus of ICI delivery and financing is to nine ICI subprojects. IPLC Executing Agencies leading each of these nine ICI subprojects have been pre-selected as part of the project preparation process and will be contracted through sub-grants in the first phase of implementation (Output 1.1.1). The project will ensure that Executing Agencies meet the GEF Minimum Fiduciary Standard requirements as approved by the GEF Council as part of the contracting process and prior to disbursement of funds. In any case where a pre-selected IPLC organization may not have the necessary financial systems in place to act as an Executing Agency and manage the level of funding needed for project activities, another organization – agreed to by the IPLC Partner – may serve as Executing Agency (EA) to provide the required financial systems and support. In all cases, IPLC organizations will strengthen their organizational capacity (e.g., in terms of financial management structures) to serve as an EA. Project implementation will include measures to build that capacity (under Outcome 1.2 and 2.1). Execution of all project components will be done in collaboration with a range of local and global partners with specific areas of expertise needed for delivery of project outcomes.

Through the project, CI and IUCN will support IPLC organizations in building their execution capacity and will only take on limited roles in on-the-ground project execution, in consultation with the subproject Executing Agencies and project Steering Committee, where IPLC limitations or EA minimum fiduciary standards and or efficiencies would necessitate such execution roles, while in tandem, capacities are further developed.

The institutional arrangements for the project are summarized in the following diagram and further described in the following text.

Diagram of Institutional Arrangements for the Project



*Orange denotes CI adminstrative oversight
* Blue denotes IUCN administrative oversight

- Steering Committee: A global Steering Committee (SC) will lead the governance of the ICI. As outlined in the Steering Committee ToR, the SC will be composed of senior IPLC representatives, supported by a GEF Secretariat staff member and two representatives from the PMU. Key roles and responsibilities of the SC will be to provide strategic guidance on ICI approaches and partnership, review and provide inputs to project work planning, approve annual work plans and budgets, and provide guidance on the development and implementation of key project outputs. To facilitate successful project execution, SC members will also advise on and may support global, cross-cutting capacity and policy engagement activities in accordance with their interests and areas of expertise. It is further anticipated that the SC will serve as "ambassadors" for the ICI through outreach and communication to key audiences, such as global IPLC networks, funders and global institutions, to maintain and expand partnerships that support IPLC action in their lands and territories.

  The SC will assume authority at the inception of the project, replacing the Interim Steering Committee (ISC) that has operated for the project preparation phase. The ISC has included GEF IPAG members and other IPLC leaders as well as a representative from the GEF Secretariat, supported by Implementing Agency staff. This ISC has informed and advised on full project development, including design and implementation of the project development process and selection of subproject geographies. The ISC has also advised on the Terms of Reference of the Steering Committee to oversee ICI implementation. Members of the project Steering Committee will be identified together with IPLC Executing Agencies/subproject leads prior to full project inception.

- Project Management Unit: The project will establish a Project Management Unit (PMU) across Implementing Agencies to serve a Global Executing Agency function. This PMU will have day-to-day responsibility for the global project, including oversight of sub-grants to the IPLC Executing Agencies and coordination of cross-cutting global project components. Coordination of the cross-cutting components will focus on creating and facilitating a platform for the IPLC Executing Agencies and other IPLC project partners to engage in global capacity-building, policy, communities of practice and knowledge development and communications. Delivery of cross-cutting component activities will also be undertaken with a range of IPLC and technical partners who bring skills, experience and

expertise in areas such as policy negotiations, financing systems, research on IPLC-led conservation, capacity-building and communications.

Linking management of sub-grants and facilitation of cross-cutting activities through the PMU will maximize synergies and efficiency in project management and delivery of project outcomes. Direct contacts and engagement with the Executing Agencies and other IPLC partners in subproject geographies will enable a consistent flow of information to shape cross-cutting capacity building activities under Component 2 and facilitate links to partners with relevant specialist expertise. PMU roll up of results and evidence of global environmental benefits from subprojects will link directly to cross-cutting efforts to document models and build the case for IPLC-led conservation approaches under Component 4. This work of the PMU will build on the experience of both IUCN and CI in facilitating responsive platforms to advance the rights, agendas and roles of indigenous peoples and local communities in conservation.

The PMU will house core project functions supporting efficient and coordinated delivery of global project responsibilities. These functions include (see ToRs for further details):

- Project management
- Project technical guidance and support
- Finance and grants management and administration
- Monitoring and evaluation
- Targeted technical expertise, including on gender and environmental and social management/safeguards

To ensure efficiency, lead responsibilities for different areas of the project have been assigned respectively to CI and IUCN. In particular, as shown in the diagram, IUCN will provide administrative oversight and ensure related technical and capacity support to five of the ICI subprojects, while CI will provide administrative oversight and ensure related support to four subprojects. IUCN and CI PMU personnel will also play defined roles in facilitating delivery of specific outputs within Components 2-4. To ensure coordination, staff comprising the PMU from each organization will hold regular monthly meetings to ensure the progress of global activities in accordance with the SC-approved annual work plan (in addition to any meetings required for the ongoing delivery of activities). PMU personnel will also establish effective mechanisms to ensure communication and coordination of complementary activities (including co-finance) across respective programs within CI and IUCN.

- Executing Agencies (EAs): Subprojects under ICI Component 1 will be led by project Executing Agencies in each subproject geography (also referred to as ICI subproject lead organizations). For the purposes of the ICI, an Executing Agency refers to an IPLC organization partner. The primary role of these IPLC Executing Agencies will be to manage and deliver results of the Component 1 subprojects. Organizations pre-selected as IPLC Executing Agencies in the project preparation phase are:
  - Fundación Ambiente y Recursos Naturales (FARN) (Argentina).
  - El Observatorio Ciudadano (Chile)
  - Sotz'il (Guatemala) – leading the regional consortium of organizations in Guatemala and Panama.
  - FENAMAD (Peru)
  - ANAPAC (DRC)
  - Ujamaa Community Resource Team (Tanzania)
  - Indigenous Movement for Peace, Advancement & Conflict Transformation (IMPACT) (Kenya)

- Indigenous Peoples' Foundation for Education and Environment (Thailand) – leading a consortium of organizations in Thailand
- Nepal Federation of Indigenous Nationalities (NEFIN) (Nepal)
- House of Ariki/ Lau execution support through CI Fiji [Cooks-Fiji]

IPLC organizations leading work in each subproject geography have developed partnerships for delivery of project activities in those areas and will further define partnerships and wider stakeholder engagement as part of the development of their Impact Strategies. They have also identified and will continue to pursue sources of co-finance for project delivery. In some subproject geographies, IPLC organizations have already formed partnerships or consortia in order to effectively execute and manage their subprojects in accordance with GEF financial requirements. In such cases, governance arrangements to ensure IPLC leadership in subproject design and implementation have been established and will be further confirmed as part of subproject contracting and development of impact strategies (Outcome 1.1).

In addition to leading the executing of subprojects under Component 1, these organizations will play key roles in the design and implementation of Components 2-4 cross-cutting activities, such as on capacity-building, financial mechanisms, global policy engagement, IPLC communities of practice and communications. They will also act as key intermediaries between local IPLC organizations and wider regional and global networks in order to promote broader engagement and dissemination of results.

- Advisory Committee: ICI will establish an advisory committee to provide periodic advice and promote synergies with other complementary projects. A term of reference will be established for the advisory committee in year one of the project and it is envisioned that membership will include organizations and entities with whom synergies have been developed through co-financing and other collaborations. Members of the advisory committee may be invited to participate in steering committee meetings and other activities as observers or collaborators. Initial anticipated members include UNDP, National Geographic, the Tenure Facility, DOCIP, Nia Tero and Global Wildlife Conservation, among others throughout the life of the project.

- Implementing Agencies: The CI and IUCN GEF Project Agencies will provide project assurance, including supporting project implementation by maintaining oversight of all technical and financial management aspects, and providing other assistance upon request of the PMU and Executing Agencies. They will also monitor the project's implementation and achievement of the project outputs, ensure the proper use of GEF funds, and review and approve any changes in budgets or workplans. The CI-IUCN GEF Project Agencies will arbitrate and ensure resolution of any execution conflicts should any issues arise during project implementation.

Length of Project: 60__ *months*	**Anticipated Start date**: 01/22	**Anticipated End date**: 12/26

GCF Results Area(s) / GEF Focal Area(s): The Inclusive Conservation Initiative is a Focal Area Investment under the GEF Biodiversity Strategy Framework. ICI project investments under component 1 will align the investment focus for IPLC lands and territories as follows:

- *Site-based conservation and sustainable use: Investment through grants to IPLC organizations for projects that deliver GEBs in Component 1.*
- *Capacity development for IPLC organizations and integration of diverse knowledge systems to achieve conservation and sustainable natural resource management outcomes: Capacity building to*

strengthen IPLC organizations' management and implementation capacity and knowledge management to expand the ICI model across Components 1-4.[1]

GCF/GEF Project Amount: USD 22,535,780	**Co-Financing Amount:** USD 68,500,000

Project Objectives: The overall objective of the ICI is to enhance Indigenous Peoples' and Local Communities' (IPLCs) efforts to steward land, water, and natural resources to deliver global environmental benefits.
The specific objective for **Component 1** is to provide direct financial support to IPLC-led initiatives in priority areas that achieve global environmental benefits through improved large-scale management of IPLC lands, territories, and resources.

Project Components and Main Activities Proposed:

The four ICI components are as follows. Please note that this screening is concerned uniquely with Component 1:

Component 1: **Local IPLC Action to Deliver Global Environmental Benefits (GEB): Established on-the-ground projects led by IPLC organizations** Component 1 will establish on-the-ground subprojects in 9 Inclusive Conservation Priority Geographies (ICPGs), representing a diverse range of contexts and ecosystems (landscapes and seascapes) with high biodiversity value and potential to deliver GEBs. Approximately 80% of ICI project component funds will support IPLC organizations under Component 1. All ICI project grants will integrate gender responsive strategies. Funds will flow to IPLC-led activities through a three-tiered flexible and adaptable granting portfolio.

Opportunities to advance IPLC-led conservation are present across a wide range of regions and ecosystems. Geographies in which to demonstrate the potential of IPLC-led conservation are those where indigenous peoples and local communities hold large areas of high-biodiversity land under traditional governance systems (which may or may not have formal legal recognition). These include large areas of tropical forest as well as mountain, temperate and boreal forest, drylands and grasslands, and coastal and marine ecosystems.

Component 2: **Global IPLC Capacity Building: IPLC capacity strengthened to improve management of lands, territories, waters and natural resources and increase access to public and long-term sustainable financing mechanisms**

1. Under Component 1, capacity building activities focus on the ability of ICI subproject lead organizations to implement ICI-supported activities. Under Component 2, capacity building efforts will reach out to the wider global community of IPLC organizations. This will help ensure ICI project outcomes and the long-term sustainability of IPLC-led conservation from local to global levels, and also provide a basis for replication and scale up of ICI-supported activities. Component 2 focuses on global, cross-cutting activities to increase the sustainability of capacity-building investments and magnify their reach by:
    - Creating culturally appropriate tools, knowledge resources and platforms to support and increase IPLC access to learning at all levels of the ICI.
    - Collating existing materials and linking to related platforms to increase access to and awareness of such materials.
    - Involving a wider range of IPLC organizations and networks, from within and beyond ICI subproject geographies.

[1] Inclusive Conservation Initiative Project Document (ProDoc) Draft, October 2020

Building the organizational capacity of IPLC institutions in order to grow and secure financing for future workTo serve as the learning and knowledge hub of the project, the ICI will establish the IPLC Inclusive Conservation Learning Academy (ICLA), a cross-cutting virtual learning center. As in Component 1, much of the cross-cutting capacity building under Component 2 will be delivered by IPLC organizations, including EAs leading work in the geographies, IPLC organizations with extensive experience in capacity building, and individuals with specialized expertise. A particular focus of work under this Component will be the learning exchanges.

Capacity building under Component 2 also contributes to scaling up by including IPLC organizations from other parts of the world in capacity-building activities that will promote the spread of IPLC-led conservation action and impact beyond the project geographies and project term. Additionally, the focus on sustainable financing mechanisms and capacity in fundraising and financial management under component 2 will help secure scaled up and longer-term investments in IPLC-led conservation.

Component 3: **IPLC Leadership in International Environmental Policy: Building the pathway from local action to global impact through targeted engagement in international environmental policy and relevant international platforms**.
This component will enable IPLC representatives (women, men and youth) to amplify their voices and influence in the international policy decisions that create either enabling or constraining conditions for on-ground inclusive conservation efforts with the aim to strengthen their provisions on IPLC rights and roles in relation to conservation, climate change and other environmental issues. ICI Policy Coordination Mechanisms will be developed to support IPLC engagement across the Rio Conventions and other relevant fora. The ICI will seek strategic opportunities to help systematize and strengthen IPLC representation, based on targeted representation with clear policy objectives, added value to existing initiatives and defined communication goals. Support will be provided towards developing curricula to support ICI International Environmental Policy Negotiations. These activities will be developed and implemented in collaboration with existing IPLC-led caucuses such as the International Indigenous Peoples Forum on Biodiversity (IIPFB), the Indigenous Women's Biodiversity Network and the UNFCCC LCIPP. IPLC International Policy Fellows, both men and women, will increase the pool of IPLC advocates for environmental policy.

Component 4: **ICI Knowledge to Action: Transforming Inclusive Conservation Knowledge and Lessons Learned into demonstration models that expand support and advance field of IPLC-led conservation**.
This component will support IPLC organizations to distil and share knowledge regarding inclusive conservation models to demonstrate large-scale impact of their work, the application of traditional knowledge systems, lessons learned, and potential for replication and will thus generate support for IPLC-led conservation. Sharing of results and analysis will aim to shift the paradigm of conservation towards IPLC-led conservation by contributing evidence of the large-scale effectiveness of IPLC stewardship in achieving biodiversity and sustainable development goals. Knowledge Management platforms will be established, and Knowledge Products will be developed. Communities of practice will be nurtured and supported. Support will be given to EA to do a communication needs assessment and develop communications strategies for each of the subproject regions. Knowledge products will take the form 5 annual reports, 4 flagship reports, global knowledge products and support for knowledge products related to the subprojects.

Safeguard Screening Form Completed by: Asesoramiento Ambiental Estratégico (AAE)

Date of Submission/Resubmission of Completed Form to CI-GEF:

CI-GEF/Comments:

II. PROJECT CONTEXT

Project Location

The Inclusive Conservation Initiative (ICI) will support IPLCs to secure and enhance their stewardship over an estimated area of 19,351,000 hectares of landscapes and seascapes with high biodiversity and irreplaceable ecosystems. The pre-selected subprojects are distributed across Asia-Pacific, Africa and Latin America. More specifically, the subprojects are: The Annapurna Conservation Area of Nepal (Himalayas), parts of North and South Thailand (Mainland Southeast Asia) and the Fiji Lau Seascape and Exclusive Economic Zone of the Cook Islands (Pacific) in the Asia-Pacific region; Three landscapes in the Eastern, Central and Western parts of the Democratic Republic of the Congo (Congo Basin) and parts of Kenya and Tanzanian (East African Drylands) in Africa; and the Fvta Mawiza Biocultural Territory in Chile and Argentina , four territories in Peru (Amazon/Andes), and territories in Guatemala and Panama (Mesoamerica) in Latin America.

The ICI will increase the volume of investment available to assist IPLCs and will invest directly in IPLCs, enabling them to address the growing drivers of environmental degradation impacting their lands and resources. By combining substantial investments in specific locations with support to magnify local results through global capacity-building, policy influence and demonstration of large-scale impacts, the ICI will catalyze the transformational changes needed to secure and enhance support for the contributions of IPLCs to biodiversity and other global environmental benefits.

The nature of the project implies that the project covers indigenous lands, territories and waters or lands, territories and waters inhabited and managed by IPLCs (even if not officially declared or recognized as indigenous territories). The project also covers different types of protected areas and conservation corridors.

Biological Context of Project Area

Some of the relevant characteristics of the nine geographies are as follows[2]:

In the Southern Cone, the Fvta Mawiza Biocultural Territory is defined in good part by its unique water related resources. This includes glaciers, river sources, basins, lakes and lagoons that are situated in proximity to the Andean Patagonian forests that are found on steep elevations located in both Chile and Argentina. The territory is also part of the Valdivian ecoregion, a temperate rainforest that is part of the Neotropical Realm. A number of protected areas are within the project region, i.e., Villarrica National Park, Villarrica National Reserve, Huerquehue National Park, and Mocho Choshuenco National Reserve in Chile, and in Argentina Lanín National Park, Nahuel Huapi National Park and the Araucarias Biosphere Reserve.

In the Southwest of the Amazon in Peru, ICI targeted landscapes are part of the Vilcabamba-Amboró Conservation Corridor, an area recognized as a hotspot among the most biologically rich on the planet. The altitudinal gradient ranges from 250 meters to 4,000 meters above sea level, with precipitation ranges between 1,500 and 6,000 and mm/year. This implies the existence of a mosaic of extraordinarily rich tropical rainwater ecosystems that are very biodiverse, including a high number of endemic species of flora and fauna. Four protected areas are included, namely Manu, Amarakaeri, Bahuaja-Sonene and Tambopata. The area is extraordinarily important for the maintenance of ecosystem services of enormous local, regional and global value, including provision of resources, carbon sequestration, and watershed regulation.

With an altitudinal range between 60m and 8848m and the resulting variation in physiographic and climatic conditions, Nepal is considered as one of the world's ten global biodiversity hotspots. The

[2] The information in this section has been summarized from the draft Project Document for the Inclusive Conservation Initiative, status October 2020, with additional information taken directly from the nine Expressions of Interest for the subprojects participating in the project.

Annapurna Conservation Area in Nepal holds a highly diverse range of species of flowering plants, mammals, birds, reptiles and amphibians. The region of the Annapurna Conservation Area also includes what is considered to be the world's deepest river gorge, the Kali Gandaki.

In the programming areas of the Mesoamerica region, the CVK and K'iche' are part of the Zunil, Atitlán and Balam Juyu Biocultural Corridor that is noted for its important biodiversity. The Lachuá, Q'eqchi territory is an ecoregion approximately 100,000 hectares in size and comprised of forests and a Ramsar wetland site. It holds more than 50% of Guatemala's biodiversity, the majority of which are considered endangered species. The Río Dulce region is home to species of regional endemic importance. The Honduran Muskitia is part of the Río Plátano Biosphere Reserve that is the second most important biodiversity reserve area in the American continent. The Guna Yala region covers 751,300 hectares of continental and marine areas and acts as a biocultural corridor.

In the Kenyan Eastern Drylands, the Ewaso Ng'iro River Basin extends from Kenya's highest mountain Mont Kenya, to arid rangelands. The basin consists of 92% of dryland ecosystems. The Ewaso Ng'iro River Basin contains a variety of endemic animal, plant, and microbial species containing significant levels of biodiversity.

The Northern Tanzanian rangelands represent a globally significant savanna ecological system supporting a rich diversity of wildlife while maintaining local livelihoods and cultures of indigenous groups. Wildlife migration of zebras and other large mammals is an important characteristic of the area. Other unique ecological features include soda lakes, afro-montane forests, volcanic mountains, short grass plains and seasonal wetlands, dense woodlands and acacia forests, and riverine systems.

The project area in the Eastern DRC is part of the Eastern Afromontane Biodiversity Hotspot, covering an area of over one million square kilometres. It is home to over 100 endemic mammal species. The project area intersects with a number of Key Biodiversity Areas that have been identified as top biological priorities.

The marine and coastal ecosystems of the Cook Islands include coral reefs and lagoon habitats and are home to important numbers of seabirds and a range of marine migratory species, such as sharks and whales. The area targeted by the ICI includes the Marae Moana Marine Park with roughly 324,000 km^2 of seascape designated for protection. The other part of the pre-selected geography covers the Lau Seascape, which is estimated to be 335,000 km^2, and is considered to be Fiji's most remote archipelago and of significance for its biodiversity.

In Thailand the programming area covers five principal watersheds, 21 sub-watersheds, and two broad regions, north and south. The total project area is 429,667.34 hectares. These areas have significant importance with respect to biodiversity and are rich in natural resources needed by the indigenous groups for their sustenance and livelihood.

Across the geographies targeted by the ICI, endemic and IUCN Red Listed species can be found. For example, in the Eastern Drylands of Tanzania, both the Grevy's zebra and reticulated giraffe are listed as endangered on the IUCN Red List. In the Kenya project area, the slopes of Mount Kenya and Laikipia Plateau host four threatened bird species and six threatened mammal species, including the African elephant, black rhino, leopard, giant forest hog, bongo, and black-fronted duiker. In the Annapurna Conservation Area of Nepal, the endangered Musk Deer, Tibetan wolf, snow leopard and Tibetan argali are found, as well as endemic species, such as the Asala fish.

Environmental conditions of the area including pollution, threats to biodiversity, and natural disasters.

The nine geographies are confronted by a diverse range of environmental challenges. This includes global challenges such as climate change, which was noted in all Expressions of Interest by the nine project proponents as of having a particular negative impact on local circumstances. There are also challenges particular to local circumstances that can be highly complex and threatening to local biodiversity, such as changes in freshwater sources caused by retreating glaciers in the Himalayas that are affecting the unique habitats and species of the Annapurna Conservation Area in Nepal.

The following are general circumstances shared across the nine geographies that influence the environmental conditions of the areas and reveal the motivation behind the design of the ICI and the selection of the nine geographies:

- Economic development is prioritized over environmental stewardship leading to pressure being placed on fragile ecological landscapes. There are considerable threats to IPLCS and their territories from developments such as infrastructure projects, large scale energy and agricultural projects, roads, and the extractive sectors.
- The lack of land and resource tenure security of the territories held by IPLCs impedes them from directly benefiting from global environmental improvements. Improved tenure security is key to introducing more sustainable land and resource practices.
- Too often government policies and conservation practices have not properly accounted for the participation of IPLCS in development and conservation initiatives meant for their benefit. This has often led to animosity amongst indigenous peoples and fueled their opposition to such endeavours as protected areas.
- In not involving Indigenous peoples in conservation strategies and related initiatives, access to important knowledge and practices in areas such as land management that IPLCs possess that could greatly contribute to sustainable governance of territories, is being ignored.

In the following, examples are presented for country-specific environmental conditions and threats to biodiversity[3].

Argentina: Argentina's biodiversity is under pressure from fragmentation and loss of native forests due to the expansion of the agricultural frontier. Within the area included in the subproject, the extraction of gas and oil poses threats to biodiversity, and unsustainable tourism and the expansion of real estate development projects accompanied by the presence of economically powerful private actors add further pressure on biodiversity and ecosystem services.

Chile: The main threats to biodiversity are changes in land use due to activities related to the forestry and agricultural sectors. Other threats are associated with urbanization, invasive alien species, forest fires, climate change and water extracted for mining and agricultural activities in the northern zone of the country. Within the area included in the subproject, the expansion of hydroelectric projects and exotic monocultures is adding further pressure onto ecosystems and their biodiversity.

Cook Islands: Main threats to biodiversity here are the introduction of alien invasive species, land conversion and unsustainable land use, unsustainable harvesting of wild resources, fire and climate change, expressing itself through rising sea levels, increasing ocean temperatures and increasingly intense natural disasters. Overexploitation, resulting from a loss of traditional and cultural management tools to guide stewardship of natural resources reduces ecological and community resilience. In addition, tourism poses both a threat and an economic opportunity that need to be balanced.

[3] This information has been extracted from the compendium information that was used in the pre-selection process of the sub-projects that applied for participation in the ICI and usually originates from the latest CBD report of the respective countries. In addition, specific examples from the geographies included were extracted from separate Expressions of Interest.

Democratic Republic of the Congo Deforestation is exacerbated by factors such as the population's strong dependence on wood energy, extensive slash and burn farming practices, anarchic establishment of mining quarries. Other threats to biodiversity are poaching, including large mammals (sometimes in protected areas), commercialization of bushmeat, extensive and uncontrolled exploitation of water resources, particularly in regard to fishing activities (subsistence and commercial), pollution of water resources as a result of petroleum exploitation in the hydrocarbon sector, mismanagement of protected areas and ex situ conservation areas, inadequate taxonomic inventories, introduction of invasive alien species; genetic erosion of agrobiodiversity, inadequate legislation and use of EIA, absence of an emergency plan and national rapid alert system, armed conflicts of 1996 and 1998, financing of military activities through the exploitation of natural resources such as diamonds, gold, coltan, misappropriation of funds for conservation activities.

Fiji: The main driver of threats to Fiji's biodiversity is economic development. Threats include overfishing and exploitation, pollution through agricultural and industrial waste, urbanization, agricultural development and introduction of species, some of which turned out to be alien invasive species.

Guatemala: Biodiversity loss is primarily due to the lack of mainstreaming and management of biodiversity components, insecurity about property rights and land use, lack of awareness, including in regard to the goods and services provided by biodiversity, lack of policy/legislation and institutional enforcement, high population growth, poverty and unemployment and the prevailing agrarian structure. Habitat fragmentation and loss of connectivity following expansion of monocultures, mining and fires put further pressure on biodiversity and ecosystems.

Kenya: The major threats to biological diversity in Kenya result from high population pressure, escalating poverty and conflicts, poor land use practices, inadequate laws, policies and institutional framework, poor education and inadequate involvement of the community. Other threats are invasive species (e.g. Nile perch and water hyacinth in Lake Victoria), land degradation and pollution, occasioned by poor land use practices. Specific threats in the Ewaso Ng'iro River Basin include the expansion of the horticulture sector as well as increased investments in infrastructure and resource extraction and the associated process of urbanization.

Nepal: Primary threats to biodiversity in the mountains and high Himalayas include poverty, ecological fragility and environmental instability, inappropriate management of natural resources and faulty farming practices. Rangeland ecosystems are under high grazing pressure and on the verge of depletion of palatable species, especially the legume components. Agro-biodiversity is in a state of depletion which is primarily due to the destruction of natural habitat, overgrazing, land fragmentation, commercialization of agriculture, indiscriminate use of pesticides and the extension of hybrid varieties.

Panama: The main threats to Panamanian biodiversity are associated with the expansion of the agricultural frontier, land use changes, deterioration and loss of soils, deforestation and habitat fragmentation, water and soil contamination, creation and expansion of human infrastructure inside protected areas, other human hazards, climate change and natural disasters, and emerging diseases.

Peru: Peru's mountain and forest ecosystems are mainly threatened by land use change, climate change effects on ecosystems, deforestation and extractive activities. Main threats to its continental water systems relate to pollution, degradation, damming and overfishing. For the areas included in the ICI subproject, mining, infrastructure projects and environmental crimes (drug trafficking, illegal gold mining and logging, wildlife and human trafficking) are posing additional pressure on biodiversity and ecosystems.

Tanzania: Core environmental problems here include overgrazing, resource overexploitation, bushfires and the population's dependency on fuel wood. Other factors affecting biodiversity and conservation include: poverty, inadequate information on genetic resources, inadequate awareness of communities on biodiversity conservation, inadequate alternative energy sources, influx of refugees, introduction of alien species (e.g. Nile perch (*Lates niloticus*), water hyacinth (*Eichhromia crassipes*)), some illegal

fishing, degradation of water quality, deforestation, illegal hunting and logging, unplanned human settlement developments and livestock migration.

Thailand: Threats to biodiversity are rooted in habitat loss for local plants and animals due to urbanization. Urban and industrial growth has also led to a critical decrease in (and deterioration of) agricultural ecosystems. Coastal ecosystems are threatened by illegal logging, overfishing, community settlement, industrialization and tourism development. For the areas included in the subproject, the lack of clarity regarding land tenure and access to resources has led to the loss of indigenous farmland.

Socio-economic Context of Project Area[4]

Indigenous and community stewardship of land, water and natural resources has demonstrated great potential to positively influence biodiversity and support carbon sequestration while supporting local livelihoods and contributing to sustaining local cultures and traditional knowledge.

Collectively, the subproject geographies are home to a large number of indigenous groups coming from the 12 ICI countries. The following table provides an overview.

Country	Territory	Indigenous People
Argentina	Southern Cone	Mapuche
Chile	Southern Cone	Mapuche
Peru	Madre de Dios and Ucayali	Ese Eja Nation, Harakbut Nation, Yine Nation, Matsigenka communities of the Manu National Park
Tanzania	Eastern African Drylands	Hadzabe, Akie, Maasai, Datoga, and Iraqw
Kenya	Eastern African Drylands	Pastoralists across the Ewaso Ng'iro River Basin, such as Maasai, Samburu, Rendille, Borana, Gabra, Somali, and Turkana.
Democratic Republic of Congo	Congo Basin	Forest Dwelling Indigenous Groups
Nepal	Himalayas	Gurung and Magar and Thakali, Manange and Baragunglei
Thailand	Southeast Asia, three zones of Thailand	Karen, Hmong, Lisu, Lahu, Iu Mien, Akha, and Mani.
Cook Islands	Pacific	Polynesian
Fiji	Pacific	Polynesian
Guatemala	Mesoamerica	Mayan (Kaqchikel, K'iche', Q'eqchi') and Garifuna
Panama	Mesoamerica	Guna

Economic activities of importance to the IPLCs across the 12 countries covered by the pre-selected geographies include farming, fishing, and forestry, often based on traditional practices. Although in many circumstances under duress, many of the represented cultures retain a strong connection to the land and sea. Additional specific circumstances in the subproject areas include:

In Argentina and Chile, the *Mapuche* people have resisted repeated attempts to eradicate them and their culture. Mapuche communities in both Argentina and Chile have been involved in efforts to reclaim ancestral territory from large commercial interests. Protected areas have been established in

[4] The information in this section has been summarized from the draft Project Document for the Inclusive Conservation Initiative, status October 2020, with additional information taken directly from the nine Expressions of Interest for the subprojects participating in the project.

the Southern Cone without consulting the Mapuche people. Agriculture has been the mainstay of the economies of Mapuche people in both Argentina and Chile. In Chile, due to the boom in industrial level agriculture forestry increased in economic importance but this is increasingly under threat as industrial forestry companies move into the area. In both countries there has been net migration to urban centres in search of employment.

In Peru, 4 indigenous groups will participate in the ICI including some from very isolated areas. Some of these Indigenous groups have no legal recognition of their right to territory. Over the past years, there has been some success in organizing ethnic organizations and this has translated to gains related to promoting conservation. These organizations are seeking to formalize their relations with the Peruvian Government.

In the Tanzanian East Africa Drylands, roughly 80 percent of all wildlife habitat in the Northern landscape is held as community lands by indigenous people. At the same time, pastoralists and hunter-gatherers have been losing land through the expansion of agricultural and protected areas, as well as game reserves. This is challenging context in terms of supporting and maintaining indigenous livelihoods for both pastoralists and hunter-gatherers. Tanzania's legal framework, however, does recognize IPLC ownership and control over lands.

The Kenyan East Africa Drylands are home to pastoralist groups and have been for their ancestors in the Ewaso Ng'iro River Basin as early as the 1600s. These pastoralists practice a unique form of transhumance pastoralism involving mobility, and limited cultivation and animal husbandry guided by rainfall and resource availability. The system is guided by consensus build land and resource governance systems. There are also traditional IPLC governance systems in the region but overtime they have been eroded by government legislation and policy from both colonial and post-colonial administrations.

In the Congo Basin, Indigenous Peoples make up only a small percentage of the population. From this group, the focus in the DRC in the Congo Basin is on forest-dwelling Indigenous communities who are reliant on natural resources and in particular, forest resources as a means of making ends meet. Growing pressure on fragile ecosystems including illegal industrial and artisanal logging, industrial and artisanal mining, is increasing food insecurity amongst the communities targeted by the DRC subproject. The creation of protected areas has led to the loss of ownership and use rights on traditional territories by indigenous peoples. At the same time, the DRC's legal framework provides limited protection for IPLCs and their control over forests resources. There are some processes underway to address this situation including sub-national initiatives.

In the Himalayas (Nepal), the Annapurna Conservation Area (ACA) is inhabited by 120,000 indigenous peoples comprised of different cultural and linguistic groups. These indigenous peoples intrinsically depend on biodiversity and ecosystem services and apply a range of customary practices for the sustainable use and management of their livelihoods and cultures. The ACA has been managed for nearly three and a half decades under a community stewardship model by the National Trust for Nature Conservation (NTNC), a semi-government agency. The expectation of the NTNC is that the ACA will be transferred to and managed by IPLCs through a Council, and the ICI project will support the transfer process and building the capacity of indigenous institutions to take on the management of the conservation area.

In Thailand, the subproject area encompasses 77 indigenous communities of seven ethnicities. Thailand's legal framework provides some recognition of IPLC use of lands (community title) and forests (community forests) but largely are not formally recognized. Many protected areas have been established in indigenous territories without consultation. Indigenous agricultural practices have been one rationale for removing indigenous communities from their land under the guise of preventing climate change and deforestation. The project area is an important resource for community food production and overall an extensive reliance on natural resources to ensure economic well being. The Mani communities are hunter gatherers. For the Karen people, their economy is mainly subsistence-oriented. A characteristic found in many communities targeted by the subproject is their relation to the forest in deciding where to establish their homes, use forest products, where and when to cultivate crops.

In Fiji and the Cook Islands, land and land-based resources owned by IPLC people is quite extensive. In Fiji, over 87% of land is owned and managed by indigenous peoples while in the Cook Islands, an estimated 20% of the land is customarily owned. It is recognized that customary stewardship has been a long-standing practice grounded in cultural traditions linked to the ocean in the project zone. In both countries, the project will rely on chieftain systems with ten chiefs from each country taking on leadership roles. In the Cook Islands, the national government recognises traditional governance. In both the Cooks Islands and Fiji, there are strong economic ties to the ocean. Local economies are also very depended on offshore economic activity such as farming. Communities within both the Lau Seascape and the Cook Islands have expressed an increasing need for cash income to fend off migration. Tied to this is the tourism industry is growing and represents both a threat to undermine local cultures and an opportunity to earn money.

In Guatemala and Panama, the subproject areas have had a diverse range of experiences with the management and conservation of natural resources including traditional practices and governance systems including collective indigenous management and shared management of indigenous territories, territorial councils, and regional indigenous congresses. Economic activities in programming areas include agroforestry, annual and permanent rotating and intercropping agricultural crops, collection of low-impact non-timber products, and traditional fishing systems in medium deep and calm zones (near reef and mangrove areas specifically the Guna people).

Women's situation in indigenous communities and their role in protecting ecosystems

Within many indigenous societies, gender barriers and inequalities are a concern. Specifically, there are hurdles for women to surmount to allow them to be more actively involved in environmental related decision-making and assuming positions of leadership. These obstacles are in good part tied to the problems that women face in their daily lives related to education, income and access to services and resources. Indigenous women and girls are at a great risk to be negatively impacted by environmental degradation. There are clearly different circumstances in indigenous societies regarding the situation of women. For example, the Karen people of Thailand who will participate in the ICI subproject in Thailand, functions as a matriarchal society. However, the other participating communities from Thailand are patriarchal. Men in Thai Indigenous societies are more engaged with external affairs such as coordinating with outside people and agencies which has the impact of limiting women's role in public participation and decision making.[5] For the proponents of the Pacific subproject, it is recognized that gender inequality is real, but the concept of gender is fluid and subject to change across the different cultures of participating Indigenous Peoples. The Pacific subproject has sought to connect the concept of

[5] Call for Expression of Interest for the ICI Thailand 2019

gender with social equity in the context of conservation to work towards a fair distribution of the benefits of conservation.[6]

It has been noted that IPLCs are often better able to contribute knowledge on local biodiversity and environmental changes than scientists. When considering IPLC knowledge it is also important to distinguish between how women and men can potentially contribute understanding on matters such as biodiversity. The Intergovernmental Panel on Climate Change (IPCC) has recognized that women's participation from IPLCs has the potential to improve climate decision-making. For these reasons, the involvement of women from IPLCs in ICI Component 2-4 activities is critical and safeguards must be in place to ensure it is done effectively.

Gender-based violence (GBV) in the project area

According to the latest information from the Committee on the Elimination of Discrimination against Women (CEDAW), regarding the GBV situation in the ICI subproject geographies areas is: In Mesoamerica (Guatemala and Panama), there is a high incidence of violence against women, including sexual violence in the home and broader society, and sexual harassment in the workplace. These countries are noted for extreme cases of violence cases against women. In the Amazon/Andes (Peru), persistent socio-cultural patterns and attitudes justify violence against women. This includes a high prevalence of violence against women, including domestic and sexual violence, incest, and psychological violence. Indigenous women are affected by gender stereotypes and multiple forms of discrimination and violence. In the Himalayas: (Nepal), systemic violence against women and girls includes domestic violence, in particular against disadvantaged groups of women such as Dalit women. In mainland Southeast Asia, the prevalence of violence against women and girls and the inadequacy of the punishment for perpetrators is widespread in Thailand. In the Pacific (Fiji & Cook Islands), the level of violence against women in all its forms is persistently high in Fiji. The country has no holistic approach to preventing and eliminating it. No information was available on the situation in the Cook Islands. In the East African Drylands (Tanzania and Kenya), there is a high prevalence of violence against women and girls and widespread incidents of sexual violence, including rape, in both the private and public spheres. In Argentina and Chile, progress against GBV has been made but the prevalence of violence against women, including trafficking of women remains high. In the Congo Basin (Democratic Republic of Congo) is characterized by mass rapes, sexual violence, and sexual slavery that have been used as a weapon of war by the military. The impunity is massive with political interference and corruption allowing perpetrators to go unpunished.

[6] Call for Expression of Interest for the ICI Pacific 2019

Institutional Capacity

In relation to environmental and social safeguards, both CI and IUCN have their own established policies and standards that guide all programming activity. IUCN has for example its own Environment and Social Management Systems (see https://www.iucn.org/resources/project-management-tools/environmental-and-social-management-system). Both of the ICI's executing agencies have dedicated staff positions to promote the use of safeguards, to mainstream gender into projects and to mitigate any potential risks emanating from project activity.

In addition, the CI and IUCN staff members have a deep understanding of indigenous issues and hold a wide range of relationships with indigenous partners in regions where CI and IUCN work and within international human rights, environment and climate policy fora. Underscoring CI commitment to promote indigenous rights, two prominent indigenous leaders hold senior roles within this team and lead work directly related to indigenous rights in the conservation context; as well as since 2009, CI has benefited from an Indigenous Advisory Group comprised of five indigenous leaders from Asia, Africa and Latin America. IUCN is the only global environmental organization that includes Indigenous Peoples' Organizations within its membership structure. IUCN has supported this group of IPO Members to develop a self-determined strategy for their work with IUCN, and supports its implementation through regular engagement with the IPO Member group. IUCN also employs indigenous professionals both within the global program with responsibility for this project and in some regional offices relevant for the project.

Implementation of components 2-4 will also involve the local EAs. Here, institutional capacities vary. A capacity assessment tool is currently under development that will identify the strengths and weaknesses of ICI's local EAs in managing risks and applying safeguards. This will eventually lead to capacity building strategies for each subproject and an overall capacity building strategy for the ICI. However, it should be noted that overall, the EAs demonstrate a strong inclination towards embracing and employing safeguards as a project management tool. IMPACT of Kenya for example, acknowledged in its Expression of Interest (EOI) that it operates in reference to World Bank Safeguards. NEFIN of Nepal stated in its EOI that training of IPLCs would focus on building their capacity related to safeguards. With Sotz'il as the lead organization, EAs in Mesoamerica have coordinated with indigenous peoples in Latin America in the process of reviewing and implementing safeguards and Environmental and Social Frameworks of the World Bank. In addition, Sotz'il has institutional policies on gender equality and cultural diversity. In Tanzania, UCRT has developed several internal safeguard policies (e.g., on child protection, whistle blowing, human resources, security, communications and COVID-19) to protect and guide staff and financial management policies. The IPF in Thailand in its EOI described its experience with safeguards related to protecting Indigenous cultures.

Additional Information

As can be seen from the below screening, risks associated with implementation of components 1 of the ICI are considered moderate. The proposed project has the potential to cause adverse environmental and social impacts on human populations or environmentally or socially important areas. However, 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

III. ESMF EXCLUSIONS

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

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

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

Will the project:		**Yes**	**No**
XIV.	Involve associated facilities[7] and require further due diligence of such associated facilities?	☐	☐
XV.	Involve trans-boundary impacts including those that would require further due diligence and notification to downstream riparian states?	☐	☐
XVI.	Adversely affect working conditions and health and safety of workers or potentially employ vulnerable categories of workers including women or child labor?	☐	☐
XVII.	Generate hazardous waste and pollutants including pesticides and contaminate lands that would require further studies on management, minimization and control and compliance to the country and applicable international quality standards?	☐	☐
XVIII.	Involve the construction, maintenance, and rehabilitation of critical infrastructure (i.e. dams, water impoundments, coastal and riverbank infrastructure) that would require further technical assessment and safety studies?	☐	☐
XIX.	Involve the resettlement and dispossession, land acquisition, and economic displacement of persons and communities?	☐	☐
XX.	Be located in protected areas and areas of ecological significance including critical habitats, key biodiversity areas and internationally recognized conservation sites?	☐	☐
XXI.	Affect Indigenous Peoples that would require further due diligence, free, prior and informed consent (FPIC) and documentation of development plans?	☐	☐
XXII.	Be located in areas that considered to have archeological (prehistoric), paleontological, historical, cultural, artistic, and religious values or contains features considered as critical cultural heritage?	☐	☐

[7] Associated facilities are those that are not funded as part of the project, and that would not have been constructed or expanded if the project did not exist and without which the project would not be viable.

V. ENVIRONMENTAL AND SOCIAL SAFEGUARDS (ESS) SCREENING

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

ESS1: Environmental and Social Impact Assessment

Will the project potentially:

(a) cause significant adverse environmental and social impacts (which may affect an area broader than the project area) that are sensitive, diverse, or unprecedented; or

(b) cause adverse environmental and social impacts (which are site-specific and few if any of them are irreversible) on human populations or environmentally or socially important areas?

☐ NO (to all of the above)

X TO BE DETERMINED

☐ YES (to any of the above)

If TBD or Yes, please provide details here.

Although ICI project Component 1 is focused on providing direct financial support to IPLC-led initiatives in priority areas that achieve global environmental benefits through improved large-scale management of IPLC lands, territories, and resources; the current available information is not sufficient to affirm that the subprojects will not cause adverse environmental and social impacts (site-specific and some irreversible) and that all projects would be classified as Category C. In this sense, as a precautionary measure, it is maintained as a potential risk related to this safeguard.

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

X NO

This screening is deemed adequate for assessing any potential issue arising from Component 1.

☐ YES (If Yes, answer the following)

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

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

ESS 2: Protection of Natural Habitats and Biodiversity Conservation

Will the project:
(a) involve adverse impacts on Critical Habitats[8], including forests that are Critical Habitats, including from the procurement of natural resource commodities, except for adverse impacts on a limited scale that result from conservation actions that achieve a Net Gain of the Biodiversity values associated with the Critical Habitat;
(b) contravene applicable international environmental treaties or agreements; or
(c) introduce or use potentially invasive, non-indigenous species?
(d) affect species identified as threatened at the local and/or global levels?
(e) implement habitat restoration activities?

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

ICI Component 1 includes activities in different productive areas that could potentially affect species identified as threatened at the local and/or global levels and introduce or use potentially invasive, non-indigenous species.

The project could potentially present this risk specifically through the activities in *Outcome 1.1.: Inclusive Conservation Initiative (ICI) subprojects are led by IPLC organizations* in the following outputs:

- Output 1.1.4: Activities implemented for improving management of natural and cultural resources in IPLC Lands and Territories.
- Output 1.1.5: Activities implemented for addressing the drivers of environmental degradation affecting IPLC sustainable development.
- Output 1.1.6: Activities implemented to support the economic and financial sustainability of IPLC-led conservation.

The potential risks considering the subprojects activities related to this safeguard are[9]:

- Forest fires may occur, mostly in adjacent areas and spread to indigenous conservation forests where areas of dry leaves have greatly been accumulated and, thus, are easily ignited and difficult to extinguish and negatively impact the local ecology.
- The need of external market in using NTFPs by outsiders who do not understand the traditional ways of forest management and/or intentionally violating the community's regulations. This will

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

[9] The information provided here has been sourced from additional information provided by the subprojects. When no reference to a specific project is provided, it means that the risk has been identified for several subprojects. Please consider the same criteria for all the ESS.

result in the encroachment of community conservation areas to collect NTFPs. For example, the collection of forest mushrooms, bamboo worms, bamboo shoots, honey, herbs & plants, and wildlife can decidedly impact on and upset the local ecology. Re-setting this balance takes some time.

- The use of non-timber forest products (NTFP) under a new national park law is not clear whether it is allowed only for household consumption or this can be sold also. This issue is not elaborated in clear detail and, thus, can impact villagers charged with practicing their livelihood through the collection and selling of forest products.
- Management, conservation and use of natural resources based on traditional indigenous wisdom has not yet been fully accepted or supported, such as rotational agriculture, local forest fire management, and community land use mapping.
- A misinterpretation by Indigenous Peoples and Local Communities (IPLCs) of inclusive conservation, considering that it is a process motivated by those who have supported and continue to support strict integral conservation and the creation of protected areas, who have deprived the IPLCs of access to the resources of their traditional territories, and even the governance and management of their territories of life.
- A poorly framed orientation and choice made by the IPLCs of alternative activities such as those generating income to strengthen resilience to the different kinds of threats to biodiversity.
- Some subprojects also require cooperation from public and private biodiversity conservation stakeholders with differing ideas about how conservation should be done. For example, predominant conservation organizations working in the Upper and Mid Ewaso Ng'iro River Basin adhere to mainstream/settler/western approaches to conservation that marginalize other approaches and knowledge systems.
- Given the complexity of the biodiversity conservation landscape in the Upper and Mid Ewaso Ng'iro River Basin, a further risk arising from this subproject is the possibility of increased tension or dispute between conservation stakeholders. The organizations foresee such tensions being particularly likely when it comes to securing land for Indigenous Peoples and Local Communities (IPLCs) in a landscape that has been historically dominated by settlers, political elites, and foreign conservation finance.
- Relatedly, as ecosystems and landscapes across the Upper and Mid Ewaso Ng'iro River Basin are restored through the subproject, improved grazing lands and water sources could attract pastoralists and their livestock from across the region – particularly during times of drought or hardship. Growing demand for improved land and natural resources could escalate existing tensions between certain pastoralist groups and lead to new disputes over rights of access. This risk will also be mitigated by ensuring that appropriate grievance and conflict resolution mechanisms are in place and publicized.
- Choice of wrong/exotic species that grow fast for reforestation/afforestation activities could impact the natural ecology.
- Adoption of non-adaptation agricultural practices to build climate resilience could displace natural crop varieties.
- Limited design and implementation of an approach toward sustainable tourism development strategies that do not promote nature integrity with socio-economic benefit to the people.
- Limited management of coastal fisheries and food security activities.
- Among others.

ESS 3: Resettlement, Physical and Economic Displacement

Will the project

(a) involve the voluntary or involuntary resettlement of people;

(b) restrict land use and access; or

(c) cause economic displacement of people?

X NO (to all of the above)

ICI project Component 1 is focused on providing direct financial support to IPLC-led initiatives in priority areas that achieve global environmental benefits through improved large-scale management of IPLC lands, territories, and resources.

☐ TO BE DETERMINED (TBD)

☐ YES (to any of the above)

If TBD or Yes, please provide details here.

ESS 4 : Indigenous Peoples [10]

Does the project plan to:

(a) work in lands or territories traditionally owned, customarily used, or occupied by indigenous peoples?

(b) cause impacts on land and natural resources, including restrictions on land use or loss of access to natural resources, subject to traditional ownership or under customary use or occupation, or the location of a project or program on such land or the commercial development of such natural resources;

(c) cause relocation of Indigenous Peoples from land and natural resources subject to traditional ownership, or under customary use or occupation; or

(d) cause significant impacts on an Indigenous People's cultural heritage that is material to the identity and/or cultural, ceremonial, or spiritual aspects of the affected Indigenous People's lives, or the use of such cultural heritage for commercial purposes;

(e) work with indigenous practices, traditions and knowledge to reduce the risk of unwanted environmental and social impacts and to inform international environmental policies.

☐ NO (to all of the above)

☐ TO BE DETERMINED (TBD)

X YES (to any of the above)

In relation to criteria (a) to (d) above, no harmful impacts on Indigenous peoples from Component 1 activities are expected. However, through Components 1 of the ICI there is an expectation to work with and to promote indigenous practices and knowledge while actively involving Indigenous Peoples in international fora.

[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 f) Self-identification and identification by others as members of a distinct cultural group".*

The project could potentially present this risk specifically through the activities in *Outcome 1.1.: Inclusive Conservation Initiative (ICI) subprojects are led by IPLC organizations* in the following outputs:

- Output 1.1.3: Activities implemented for enhancing IPLC rights and governance of natural resources.
- Output 1.1.4: Activities implemented for improving management of natural and cultural resources in IPLC Lands and Territories.
- Output 1.1.5: Activities implemented for addressing the drivers of environmental degradation affecting IPLC sustainable development.
- Output 1.1.6: Activities implemented to support the economic and financial sustainability of IPLC-led conservation.
- Output 1.1.7: ICI subproject governance structures designated and supported.

The potential risks considering the subprojects activities related to this safeguard are:

- The low gender participation, considering the local customary barriers on issues of management and governance of natural resources and land and forests in indigenous communities.
- Some projects require cooperation between several different indigenous communities. Each of these communities has their own unique relationship with the land and environment. At times, this has resulted in competing claims to land and natural resources as well as inter-communal conflict.
- Unlikely but possible impact on Indigenous People's cultural heritage (see risks identified in ESS 6).

ESS 5: Resource Efficiency and Pollution Prevention

Will the project:

(a) promote the trade in or use of any substances listed under the Stockholm Convention on Persistent Organic Pollutants, or other chemicals or hazardous materials subject to international bans, restrictions or phaseouts due to high toxicity to living organisms, environmental persistence, potential for bioaccumulation, or potential depletion of the ozone layer, consistent with relevant international treaties and agreements;

(b) generate wastes and effluents, and emissions of short- and long-lived climate pollutants;

(c) involve pest management measures, Integrated Pest Management or Integrated Management of Vectors and Intermediate Hosts;

(d) procure pesticides; or

(e) use energy, water and other resources and material inputs, where significant water consumption is involved and would cause adverse impacts on communities, other water users, and the environment?

☐ NO (to all of the above)

X TO BE DETERMINED (TBD)

☐ YES (to any of the above)

ICI project component 1 includes activities in different productive areas such as agriculture that could

potentially affect criteria b, d and e.

The project could potentially present this risk specifically through the activities in *Outcome 1.1.: Inclusive Conservation Initiative (ICI) subprojects are led by IPLC organizations* in the following outputs:

- Output 1.1.4: Activities implemented for improving management of natural and cultural resources in IPLC Lands and Territories.
- Output 1.1.5: Activities implemented for addressing the drivers of environmental degradation affecting IPLC sustainable development.
- Output 1.1.6: Activities implemented to support the economic and financial sustainability of IPLC-led conservation.

The potential risks considering the subprojects activities related to this safeguard are:

- Conflict among communities, especially those that have changed considerably and now produce commercial crops and want to use more resources (e.g. water and land) for increased production. Since their own geographical area is insufficient, they wish to expand into areas with more abundant resources, most of which lie within the boundaries of this Project.
- A misinterpretation by Indigenous Peoples and Local Communities (IPLCs) of inclusive conservation, considering that it is a process motivated by those who have supported and continue to support strict integral conservation and the creation of protected areas, who have deprived the IPLCs of access to the resources of their traditional territories, and even the governance and management of their territories of life.
- A poorly framed orientation and choice made by the IPLCs of alternative activities such as those generating income to strengthen resilience to the different kinds of threats to biodiversity.
- Relatedly, potential situations as the one identified by the AEs at the Upper and Mid ewaso Ng'iro River Basin can be found in other subprojects: as ecosystems and landscapes across the basin are restored through the subproject, improved grazing lands and water sources could attract pastoralists and their livestock from across the region – particularly during times of drought or hardship. These arriving pastoralists will not have benefitted from the program's capacity building activities and thus may bring practices that are not efficient or that do not prevent pollution.
- Adoption of non-appropriate adaptation agricultural practices to build climate resilience could displace natural crop varieties.

ESS 6: Cultural Heritage[11]

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

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

☐ NO
☐ TO BE DETERMINED (TBD)
X YES

It is expected that Component 1 will make a positive contribution to promoting cultural practices that are socially, and environmentally beneficial in a focused manner.

In general, the activities of the subprojects have the objectives of preserving and recovering the knowledge and practices of Indigenous Peoples and will therefore seek to protect cultural heritage. This is true for both capacity strengthening and investment activities, especially *Output 1.1.4 Activities implemented for improving management of natural and cultural resources in IPLC Lands and Territories* and *Output 1.1.5 Activities implemented for addressing the drivers of environmental degradation affecting IPLC sustainable development*. It is expected that subprojects' ESMPs will need include, above all, considerations regarding the cultural heritage represented by sites with unique natural values, since all the subprojects are located in places with high ecological value and inserted in or adjacent to National Parks, Key Biodiversity Areas, Key protected areas, World Heritage sites, and areas with other legal protection figures. In addition, some subprojects will seek to identify and obtain legal recognition of new areas of conservation (e.g. Democratic Republic of Congo).

Special attention should be given to new economic activities to be promoted in the activities related to *Output 1.1.6 Activities implemented to support the economic and financial sustainability of IPLC-led conservation*. Cultural heritage in unique landscapes are interesting for developing or further developing economic activities related to tourism, for example. AEs should take the necessary precautions with respect to cultural heritage, to avoid being affected by these new economic activities.

Regarding the capacity building activities such as those included in *Output 1.2.2 Capacity-building activities delivered to ICI subproject lead organizations in subproject geographies*, there is a potential risk related to the protection of Intellectual Property rights, and the lack of knowledge of the Subproject lead organizations regarding the protection of cultural heritage.

ESS 7: Labor and Working Conditions

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

(a) the fundamental rights of workers, consistent with the International Labour Organization's (ILO) Declaration on the Fundamental Principles and Rights at Work are respected and protected;
(b) written labour management procedures are established in accordance with applicable national laws;
(c) workers are provided with clear and understandable documentation of employment terms and conditions, including their rights under national law to hours of work, wages, overtime, compensation and benefits;
(d) workers are provided regular and timely payment of wages; adequate periods of rest, holiday, sick, maternity, paternity, and family leave; and written notice of termination and severance payments, as required under national laws and the labor management procedures;
(e) decisions relating to any aspect of the employment relationship, including recruitment, hiring and treatment of workers, are made based on the principles of non-discrimination, equal opportunity and fair treatment, and not on the basis of personal characteristics unrelated to inherent job requirements;
(f) appropriate measures are in place to prevent any kind of harassment (physical, psychological, sexual, etc.), intimidation, and exploitation, and to protect vulnerable workers, including but not limited to women,

children of working age, migrants and persons with disabilities;

(g) workers who participate, or seek to participate, in workers' organizations and collective bargaining, do so without interference, are not discriminated or retaliated against, and are provided with information needed for meaningful negotiation in a timely manner;

(h) forced labor and child labor are not used in connection with the project or program;

(i) occupational health and safety (OHS) measures are applied to establish and maintain a safe and healthy working environment, including supply chain workers;

(j) workers are informed of applicable grievance and conflict resolution systems provided at the workplace level; and

(k) workers may use these mechanisms without retribution, and the grievance and conflict resolution systems does not impede access to other judicial or administrative remedies available under the law or through existing arbitration procedures, or substitute for grievance systems provided through collective agreements?

☐ NO (to any of the above)

X TO BE DETERMINED (TBD)

☐ YES (to all of the above)

If TBD or NO, please provide details here.

Both CI and IUCN have the necessary policies, procedures, systems, and capabilities in place to ensure adherence with this ESS. However, under Component 1 the local organisations will be undertaking the contracting processes for consultants and services for the execution of the subprojects. At this stage it is not clear, whether and to what extent local organizations and their potential sub-contractors also have instruments in place to ensure adherence with the standard. The ESMF therefore specifies that the global EAs will flow respective safeguards expectations to the local level when they carry out due diligence, sign grant agreements or contracts with local EAs.

Specific comments related to women discrimination have been raised by the organizations: in many cases, the formal labor force participation rate for indigenous women is lower than men, and women experience more limited economic opportunities than men in general. This is partly due to lower education and literacy levels among women, and partly because many economic opportunities in the area are poorly suited to women with domestic care responsibilities. The ESMPs to be developed for each subproject will need to articulate with the Gender Management Plan of Component 1 in order to ensure that these aspects are addressed.

ESS 8: Community Health, Safety and Security

Will the project:

(a) potentially expose communities including special needs, disadvantaged or vulnerable groups or Individuals in particular women and children to both accidental and natural hazards, particularly where the structural

elements of the project or program are accessible to members of the affected community, or where their failure could result in injury to the community;

(b) be implemented in a conflict or post-conflict context;

(c) impact the provisioning and regulating ecosystem services that are directly relevant to community health and safety;

(d) expose community to health risks;

(e) create potential risks to communities by the use of rangers, eco-guards, or similar security personnel, whether armed or unarmed;

(f) create potential risks to rangers, eco-guards, or similar security personnel, whether armed or unarmed, in the course of performing their job/duties;

(g) potentially cause or exacerbate threats to human security through the risk of escalation of personal or communal conflict and violence; and

(h) procure equipment to support rangers, eco-guards etc. to carry out law enforcement?

☐ NO (to all of the above)

☐ TO BE DETERMINED (TBD)

X YES (to any of the above)

The activities of Component 1 do not intend to create any risk to participants or community members or other stakeholders. However, the context of the pandemic and in some cases hostility to indigenous peoples or situations of conflict, makes program implementation a potential new element of risk.

In the context of the COVID-19 pandemic and other possible future pandemics, the risk of transmission of infectious diseases is increased among the indigenous population participating in the project, which in general are already highly susceptible to external pathogens. The risks are especially high in certain scenarios, including field activities, meetings and workshops, travel and exchanges, and are exacerbated in those geographical sectors of the project where there are shared territories between indigenous communities and highly vulnerable peoples in isolation and initial contact (present e.g. in the Andes/Amazon Subproject in Peru).

Another threat to security is the presence of environmental crime mafiosi (drug trafficking, illegal gold mining, illegal logging, wildlife trafficking, human trafficking) who attack communities, deforest, destroy habitats, and contaminate the natural environment (e.g. Peru).

On the other hand, the processes and activities planned to empower people and strengthen governance and the defense of rights in their territories, may encounter resistance and opposition from the State and other external actors. In Latin America, for instance, there is a growing degree of violence and hostility towards environmental and human rights defenders.

In a similar vein, a further risk arising from the implementation of subprojects is the possibility of increased tension or dispute between conservation stakeholders. This risk is identified by, e.g. IMPACT in the East Africa Drylands (Kenya), were tensions are likely to arise when it comes to securing land for Indigenous Peoples and Local Communities (IPLCs) in a landscape that has been historically dominated by settlers, political elites, and foreign conservation finance. ESMPs will need to include mitigation measures that include the presence of qualified experts, IPLCs, and other relevant stakeholders in all stages of the project, ant the establishment of grievance and conflict resolution mechanisms in case disputes do arise.

Enhanced ecosystems can be a source of conflict. For instance, as reported by the organizations, improved grazing lands and water sources in the East Africa Drylands could attract pastoralists and their livestock from across the region – particularly during times of drought or hardship. Growing demand for improved land and natural resources could escalate existing tensions between certain pastoralist groups and lead to new disputes

over rights of access. In relation to this kind of conflicts, the way the subprojects prioritize some territories over others might also be a source of disagreement.

The subprojects' ESMPs must include precautionary measures to ensure that Component 1 activities do not unintentionally put people and communities at risk. As well for reasons of personal security and for the foreseeable future in relation to COVID-19, provisions need to be taken to ensure the safe movement of ICI stakeholders when participating in the execution of the subproject investment activities (e.g. *Outputs 1.1.4, 1.1.5 and 1.1.6),* as well as in training and capacity building events (activities under *Outcome 1.2: Project implementation capacity of ICI subproject lead organizations in subproject geographies substantially increased*). To this end, safety and security plans for travel may be required under the ESS on community health, safety and security. CI and IUCN will ensure that events are planned with anticipation and communicated with safety and security directors.

ESS 9: Private Sector Direct Investments and Financial Intermediaries

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

X NO

While the ICI Component 1 will directly stimulate economic development, the project does not plan to make either direct investments in private sector firms, or channels funds through Financial Intermediaries.

☐ TO BE DETERMINED (TBD)

☐ YES (to any of the above)

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

ESS 10: Climate Risk and Related Disasters

Please refer to guidance notes to answer the questions below:

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

Argentina and Chile: During the last decades, effects of climate change are manifested in low rainfall and increasingly prolonged periods of drought. This has led to an increase in forest fires which represent a great threat to Futa Mawiza. The decrease in precipitation is associated with an increase in temperature that is more accentuated in the mountain range, as a consequence, the snow melts earlier than expected, with rivers flowing early and consequently drier in the summer, which generates a series of chain effects with impacts on the population and communities that inhabit and guard the forests as well as in the lowlands. Future scenarios in **Argentina** show that the combination of trends towards higher temperatures and lower rainfall, even in the case of small reductions, sets up a scenario of a trend towards greater aridity in the Patagonian region, exacerbating the described potential risks for the population. With regards to the composition and dynamics of the region's ecosystems, these should be expected to change significantly due to the occurrence of more intense and/or prolonged periods of drought. The ecotones of forest-steppe vegetation will suffer changes in structure with a greater dominance of species more tolerant to drought, so a retraction of species such as cypress and araucaria can be expected. In geographical terms, the main changes in vegetation that would be expected include retraction and displacement of the boundaries of tree vegetation on the eastern edge of the forest. From the **Chilean** side, models also show increases in temperature and decreases in precipitation.

However, the analyses show an increase in maximum flows and a decrease in minimum flows. The explanation is associated with the effect of the increase in temperature and the consequent rise in the snow line and, therefore, the increase in the expected flows in a storm event. This implies that water reserves will be consumed during the first decades of the century and that there is no replacement due to lack of rainfall. These scenarios predict a century with a high impact projection on the livelihoods of the Patagonian people. We should add to this effect that climate predictions for this century in the central and northern regions of the country could cause the farming areas that are currently being developed there to be forced to migrate southwards with the consequent increase in pressure on the territories of the original Patagonian peoples.

Guatemala, Panama: Fires in the pine forests, often caused by humans, are aggravated by the increase in temperature caused by climate change. In this process several rivers are decreasing their flow and the hydrological cycle is being altered by the irregularities of the climate patterns. Assessments at the country level, indicate that in **Guatemala** a reduction in the availability of water resources is expected due to the reduction of annual rainfall and higher temperatures in the medium and long terms. Projections on water availability indicate a reduction from 5% to 30% by 2050 over the 2010. Small farmers are expected to be seriously impacted by droughts associated to climate change. Assessments shows that farmers lose, on average, 55% of their basic grain production during drought periods. In Panama, the main water-related impacts of climate change include the increase in the frequency of extreme precipitation events and the consequent increase in floods/slides and periods of drought.

Peru: it is estimated that 40% of the territory in the regions of Cajamarca, Cusco and Huancavelica would have a very high probability of the occurrence of landslides, while 60% of the territory in the regions of Huánuco, Moquegua and Pasco would have a high probability of the occurrence of landslides. Likewise, the regions of Ica, La Libertad, Lambayeque, Lima, Piura, Puno, Tacna, and Tumbes would have high probabilities of flooding due to the occurrence of hydro-meteorological events. In the case of the population of the Amazon, where per capita fish consumption can vary between 250 and 800 grams per person per day, climate change is increasing the temperature of the rivers, decreasing the volume of rainfall, causing the migration of species and increasing sedimentation in the rivers, which greatly affects the food security of this population.

Nepal: Warming trends of both maximum and minimum temperatures during the entire 21st century over whole country, in general, with higher intensities at higher altitude regions have been predicted by the models. Overall annual precipitation in the country is found to be decreasing by 2% of the baseline amount by 2020s. However, it increases by 6% and 12% of the baseline by 2050s and 2080s respectively. IPLCs in Nepal are highly vulnerable to climate change due to the steep topography, tectonically active geology, and related risks of the natural disasters. The high dependency on climate -sensitive natural resources will lead climate trends to increase their degree of vulnerability.

Kenya: The increasing variability in climate and the projected incremental changes in air and sea temperatures, precipitation and sea level, together with changes in the frequency and severity of extreme events will have significant implications for social, economic and environmental systems. Changes in precipitation patterns are likely to directly increase the likelihood of short-term crop failures and long-term production declines. Rain-fed agriculture is and will remain the dominant source of staple food production and the livelihood foundation of most of the rural poor in Kenya. The high inter-annual unpredictability in precipitation is already having devastating consequences on rural livelihoods in Kenya, including the Drylands where the subproject area is located.

Tanzania: Climate change may increase the frequency of flooding, drought and land degradation, and subsequently affect the wildlife in both Lake Manyara National Park and the Masai Mara Game Reserve, which are closely connected to seasonality and climatic conditions. It is predicted that changes in climate as well as changes in the lake and hydrological conditions may alter migration patterns, breeding of birds and other wildlife dependent on the lake. As the growth of grass and vegetation changes in the Serengeti with altered rainfall patterns, annual migrations will also shift. More frequent droughts may increase the pressure on the

reserve by pastoralists. Changed local climate may also change the human use of land adjacent to the reserve, on which wildlife in the reserve interacts. In the rangeland areas, changes in the mean temperature and rainfall, and the increased variability of rainfall, result to prolonged length of dry seasons and increased severity of periodic droughts that reduces water and pastures availability for the livestock. Limited availability of pastures and water has often resulted into resource use conflicts between crop cultivators and livestock keepers, particularly in the catchment areas and crater basins.

Democratic Republic of Congo: With regard to near-surface atmospheric temperature, all the models evaluated indicate a significant warming towards the 2100s, in all seasons, regardless of the baseline scenario. On the whole, the temperature rise forecasts are slightly below average in the north and slightly above average in the center of the Congo Basin region. On the other hand, for extreme temperatures (frequency of cold/hot days and nights), a resurgence of hot days and nights is to be expected in the future. The assessment of climate change in the Congo Basin revealed that it is unlikely that the predicted changes in precipitation are leading to widespread water shortages in the region. On the other hand, the assessment revealed a greater likelihood of prolonged and more frequent periods of drought.

Fiji: El Niño and La Niña events will continue to occur in the future, but there is little consensus on whether these events will change in intensity or frequency. Annual mean temperatures and extremely high daily temperatures will continue to rise. There is a range in model projections in mean rainfall, with the model average indicating little change in annual rainfall but an increase in the wet season, with more extreme rain events. The proportion of time in drought is projected to decrease slightly. Sea-level will continue to rise. Ocean acidification is expected to continue. The risk of coral bleaching is expected to increase. Wave height is projected to decrease across the area in the wet season, with a possible small increase in dry season wave heights. Tropical cyclones (TCs) are projected to be less frequent but more intense.

Thailand: Thailand has seen a marked increase in temperatures and changes in rainfall patterns over the past thirty years. Both changes have a significant effect on food production, particularly rice—the yields of which are essential to national food security (MSTE, 2000). Thailand's long coastlines, fragile agriculture system and susceptibility to extreme weather events make it vulnerable to the effects of climate change. Thailand is susceptible to extreme weather events such as tropical storms, floods, and drought. The main natural resources in Thailand are the fishery resources, offshore oil supplies, fertile agriculture land in the central and eastern regions and the large areas of land covered in forests. There has been a problem with deforestation despite the government banning logging in 1989.

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

From the description of the climate scenarios, ICI will have to deal with very different hazards in the different geographies: floods, landslides, drought, forest fires, land degradation, diseases, sea level rise, ocean acidification and tropical cyclones.

These hazards can lead the IPLCs to situations that can prevent them from participating in the project activities, due to lack of connectivity, e.g. floods that impede the use of roads, change in their priorities, e.g. personal or material losses caused by a tropical cyclone or a severe drought, forest fires that are urgent to be attended, resource use conflicts derived from the degradation of the soil and water shortages.

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

The main exposures and vulnerabilities expressed by the IPLCs organizations, that are exacerbated by climate change, are related to the factors described below. The project will need to consider these different factors

when designing activities for providing all the possible guarantees for facilitating their execution, both at the logistical level and for ensuring participation.

- **Lack of ownership and use rights:** both historical and due to new creation of protected areas. E.g. in the case of the Democratic Republic of Congo, the creation of protected areas has led to the loss of access to the resources of these areas by the indigenous peoples and local communities. The latter remain concretely marginalized and official recognition of their participation in the governance and management of natural resources is almost non-existent. E.g. in the case of Thailand sub project area, it is reported that forest laws and policies have increasingly impacted the traditional lifestyles of the indigenous communities.
- **Loss of social values and traditional leadership:** mostly associated to with globalization and economic development. In the case of Fiji & Cook Islands, organizations claim that climate change exacerbates impacts are exacerbated by the loss of traditional and cultural management tools to guide stewardship of natural resources. This loss has resulted in overexploitation, which threatens both ecological and community resilience, particularly the ability for ecosystems and local communities to recover after extreme natural disasters.
- **Dependency on quality of ecosystems and local resources for food security, income, cultural services, and other benefits.** Anthropogenic resource degradation will further increase the climate change threat on the traditional way of life for indigenous peoples, as described e.g. in Fiji and the Cook Islands, where the projections indicate that coastal fisheries will be unable to supply the fish needed for local consumption by 2030 due to changes in fish stock diversity and abundance; e.g. Thailand sub project area reporting increase of floods caused by deforestation and climate change.
- **Increased growth in infrastructure development and extractive activities:** such as overexploitation of sand and gravel (e.g. Nepal), mining (e.g. Central America, Argentina and Chile), hydropower projects without consultations (e.g. Peru, Nepal), expansion of the agricultural frontiers (e.g. Central America, Peru, Argentina). These activities have a high ecological, environmental and cultural impact, since they apply all kinds of pressure mechanisms to get indigenous people to sell their lands, leading to the rupture of the traditional social fabric.
- **Environmental Pollution:** due to increased tourism in some of the areas, garbage generation have become significantly high, and treatment has not been effective. Also, expanding the unplanned settlements (e.g. Nepal) close to the riverbanks of mountain region increases the pollution in river and land basically due to sewage and solid waste.
- **Crime:** indigenous territories as spaces invaded by environmental crime mafiosi (drug trafficking, illegal gold mining, illegal logging, wildlife trafficking, human trafficking) who attack communities, deforest, destroy habitats, and contaminate the natural environment (e.g. Peru).
- **Human and Wildlife Conflict** (HWC): Reported in Nepal, HWC are due to major carnivorous animals like the Snow Leopard and Common leopard for livestock depredation; omnivorous animals like the Black Bear for human injury and crop damage; and herbivores like the Porcupine and Rhesus monkey for crop damage in the area.

Remoteness and lack of connectiveness: due to inadequate supply arrangements and prevalent economic and social conditions.

There is a wide range of situations in the different communities of the 9 subprojects. Some report poor connection with no means of communication, others have communication through the radio, and the least, with internet and/or satellite phone (e.g. Peru, Tanzania). Others report having viable signals in urban and rural areas (e.g. Mainland South East Asia -Thailand). In several cases, indigenous leaders are reported to have and easily manage mobile phones.

In many cases, the EEs count with the means and capacity to communicate and articulate (e.g. FENAMAD Peru) while some of the counterparts participating in the same subproject in different areas have greater difficulties (e.g. FENAMAD).

In some cases, the organizations receive support from the government, through social welfare/assistance offices/programs, that facilitate tools like community internet, community & distance education (e.g. Mainland South East Asia-Thailand).

Road access is difficult in many areas (e.g. reported some locations in Nepal), and transport by ship is not regular in seascapes like the Lau islands (Fiji).

Solar energy is reported as a common source of power across the Congo Basin, although the network remains patchy in some locations.

Finally, organizations that have physical presence in the communities make up for the lack of connective and physical infrastructure. This approach has proven effective e.g. for IMPACT in East Africa Drylands (Kenya) in carrying out activities among communities dispersed across a large geographic area and is planning to establish information hubs in remote/rural areas.

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

- Consider climate change scenarios and exposures and vulnerability of the IPLCs when defining strategies for guiding the execution, e.g. in *Output 1.1.2.: Subproject Impact Strategies finalized to guide project implementation*.

- During the execution of all the activities under Component 1, organize actions and plan meetings taking into account the context of exposures and vulnerability suffered by each of the sub project IPLCs. For instance, activities in the field to be planned outside of the rainy season.

- Have the flexibility to make changes in the organization of activities in case of the unexpected arrival of an extreme event. For example, make sure to agree with the material supplier on possible changes in the terms of delivery.

- Assess needs of security measures in case of areas with high level of crime, to ensure the safe travel and participation of IPLCs in the activities.

- Monitor over time, in a sex-disaggregated way, whether engagement seems to be influenced by weather patterns or extreme weather events that are likely caused by climate change, and use the information to adjust execution modalities to the extent possible.

- Ensure that the organization of activities are effectively communicated, by different means (internet, mobile phone, radio, other), to avoid misinformation due to lack of connectiveness.

- Take advantage of the physical presence or the EEs in many communities within the river basin, which often makes up for the lack of connective and physical infrastructure. This approach has proven effective for IMPACT (East Africa Drylands, Kenya) in carrying out project activities among communities dispersed across a large geographic area. IMPACT plans to build on this approach by establishing information hubs in remote/rural areas in order to aid in the delivery of the subproject. Information hubs could be as simple as an individual embedded in a community with a tablet that contains crucial information pertaining to the project. Use of Radio talk shows through community radios has been utilized in the past in disseminating information. This approach will still come handy under this project where the communities through the community hubs access necessary information and can utilize the community radios fully. ICI could promote this approach.

(e) If one or more risks are accepted, please provide a justification.
Not applicable

Annex 4. Methodology for Conducting ESIAs

Introduction

1. This Appendix provides a methodology for conducting ESIAs, including requirements of the ESMF safeguard policies that must be incorporated for all funded projects. In accordance with the ESMF, the CI and IUCN Project Agencies will require Environmental and Social Impact Assessments (ESIA) of proposed projects to help ensure their environmental and social soundness and sustainability.

2. The ESIA identifies and assesses the potential impacts of a proposed project on physical, biological, socio-economic and cultural heritage, including transboundary concerns and potential impacts on human health, safety and security; evaluates alternatives; and proposes appropriate avoidance, minimization, mitigation, or offset alternatives, as well as management and monitoring measures.

3. Not all projects require ESIAs. Each project is screened as early as possible to determine whether an ESIA is warranted. If so, safeguard screening will also help determine the extent and type of ESIA required so that appropriate studies are undertaken proportional to potential risks and to direct impact as well as indirect, cumulative, and associated impacts as relevant. Strategic, sectoral or regional environmental assessments may be used, where appropriate. There are several types of ESIA instruments, but the guidance in this document will focus on the general ESIA process and outcomes.

4. The ESIA must also comply with national requirements. However, where there are differences between the CI and IUCN and national requirements, the project must follow the more stringent requirements/standards.

ESIA Process Overview

5. An ESIA process (see Figure 1):

a) Begins with safeguard screening at the earliest stage of the project cycle and continues in an iterative manner throughout the cycle as plans are developed and implemented;
b) Looks at all relevant levels of biodiversity, habitat, and community information;
c) Addresses both direct, indirect, and cumulative impacts by considering ecological, social and economic changes; and
d) Analyzes and responds to the interaction between environmental and social issues.

6. For effective protection of the natural, human and social environment, the CI and IUCN Project Agencies will require a multi-stage ESIA concept; which are outlined in subsequent paragraphs.

7. The CI-GEF/GCF Project Agency recognizes that stakeholder consultation and public disclosure are instrumental in achieving a balanced ESIA and stipulates that the Executing Agency:

a) Makes a draft ESIA report available to all stakeholders for comment before the final decision about the proposed project; and
b) Structures consultations and takes subsequent actions in ways that will further the objectives of promoting and achieving gender equality.

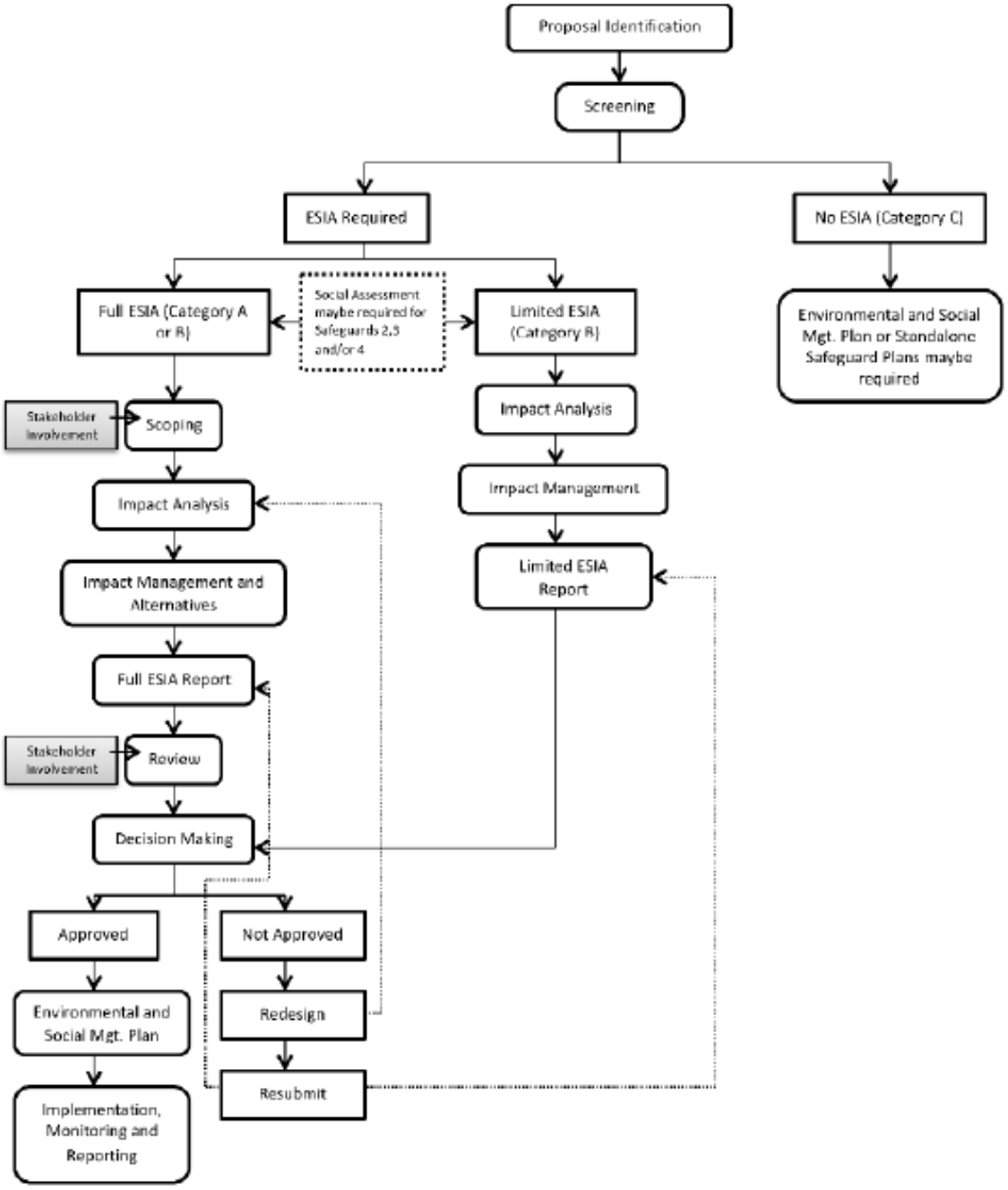
8. ESIA stages include:

a) Safeguard Screening: The CI and IUCN Project Agencies 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;
b) The preliminary Safeguard Screening will take place on the final version of the Project Identification Form (PIF) or Concept Note (CN) utilizing a Project Safeguard Screening Form

(Appendix I) to cover all safeguards standards. The screening outcomes may result in a project being designated as Category A, B or C (see paragraph 12 for details).

c) Scoping: The Executing Agency develops a preliminary examination of the impacts likely to occur as a result of the proposed project, and which should be covered by the ESIA. The scoping phase must include stakeholder engagement to help identify issues. Based on the results of the scoping phase, the Executing Agency will draft the TOR for the full ESIA (see below for details). Specifically, the Executing Agency will ensure that:
    i. The draft TOR is disclosed to stakeholders prior to the submission of the TOR to the CI-GEF/GCF Project Agency; and
    ii. Approval is received from the CI and IUCN Project Agencies for the TOR before any work can commence.
d) Implementation of the (full) ESIA: Overall project assessment and any specialist studies, as identified during the Scoping Phase, are to be conducted. Special studies are guided by the safeguard issues raised during scoping. They deal with the concerns of stakeholders in these areas. For adverse impacts, alternatives are identified to establish the most environmentally sound and benign option(s) for achieving project objectives;
e) Draft Report: The Executing Agency presents the ESIA findings as an ESIA document/report. This discusses mitigation and impact management (measures to avoid, minimize, mitigate, or offset adverse impacts), monitoring and reporting. Where appropriate, draft mitigation plans are incorporated into a draft ESMP. The document/report must be clear, impartial, publicly available, and address stakeholder concerns;
f) Review and Final Report: It is the responsibility of the CI and IUCN Project Agencies to review and approve the final ESIA report to ensure that it complies with the Terms of Reference and stakeholder engagement requirements, and appropriately addresses GEF and GCF concerns;
g) Decision-making: Final decision on whether to support a proposed project will be made by the CI-CI and IUCN Project Agencies after consultations with in-country authorities with jurisdiction over the project. The CI-GEF/GCF Project Agency does reserve the right to not pursue a project if the ESIA indicates that the proposed minimizing or mitigating measures are too costly/risky; and
h) Monitoring, reporting, and enforcement: The CI and IUCN Project Agencies will monitor whether the Executing Agency 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 and IUCN GEF Project Agencies)

9. Safeguard Screening is a preliminary review assessing the presence or absence and scale of potential environmental and social impacts.

10. To comply with this policy, the CI and IUCN GEF Project Agencies will implement a Safeguard Screening process for all funded projects. The purpose of this screening is to categorize projects according to their potential environmental and social impacts.

11. The preliminary Safeguard Screening will take place on the final version of the Project Identification Form (PIF)/Concept Note (CN) utilizing the CI-IUCN Safeguard Screening Form (Appendix I) to cover all safeguards standards.

12. Based on the results of the Safeguard Screening process, the proposed project will be classified into one of three categories, depending on the type, location, sensitivity, and scale of the project and the nature and magnitude of its potential environmental and social impacts.

Category A: A proposed project is classified as Category A if it has the potential for significant adverse environmental and social impacts that are sensitive, diverse, or unprecedented. These impacts may affect an area broader than the sites or facilities subject to physical works (i.e., the area of influence). The ESIA for a Category A project examines the project's potential negative and positive environmental and social impacts, compares them with those of feasible alternatives (including the business-as-usual scenario), and recommends any measures needed to prevent, minimize, mitigate, or offset for adverse impacts and improve environmental and social performance. For a Category A project, the project Executing Agency 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 projects. However, specific safeguard plans might be required by the CI and IUCN GEF Project Agencies to strengthen the project compliance with the ESMF policies.

13. Since projects in Category A are likely to have significant adverse impacts, they will require a full ESIA to address them. Projects in Category B also require an ESIA, but depending on the project, can be more limited scope given their more limited adverse impacts (limited ESIA).

14. Information that may be required in a safeguard screening report include:

a) A broad description of the proposed project including its main activities;

b) Applicable policies, plans and regulations, including environmental and social standards and objectives;

c) The characteristics of the environment, including its importance to global biodiversity, ecological functions, local/national/international designation, existing environmental problems and threats, significant resources, pollution and emission, etc.;

d) The socio-economic condition of the proposed project area(s), including sex-disaggregation population, livelihood, income and poverty data, presence of gender-based violence, special needs and vulnerable groups, historical and existing conflicts, land tenureship, importance of area to local/national economy, presence of indigenous and local communities, etc.

e) The potential impacts of the proposed project and their likely significance; and

f) The degree of public concern about and interest in the proposed project.

15. Important functions of this stage are:

a) Ascertain the need for an ESIA and its scope;

b) Anticipate both positive and negative impacts;

c) Assess potential impacts of the proposed project to physical, biological, socioeconomic, cultural, and cultural heritage, including transboundary concerns, and potential impacts on human health and safety;

d) Feasible investment, technical, and siting alternatives, including the — business as usual/alternative, are assessed, as well as potential impacts, feasibility of mitigating these impacts, their capital and recurrent costs, their suitability under local conditions, and the institutional, training and monitoring requirements associated with them.

Project Safeguard Screening Criteria

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

17. In the full proposal, the Executing Agencies/Entities will describe potential environmental and social issues and how these have been assessed and the outcome of any consultations with indigenous peoples and local communities.

18. For Category C projects that do not require an ESIA, the Executing Agency (in the full proposal) will describe appropriate mitigation measures and a monitoring system to avoid, minimize or mitigate any adverse impacts.

19. Any required safeguard documents (Draft of an ESIA, PMP, IPP, V-RAP, Process Framework, etc.) will be submitted to the CI and IUCN Project Agencies with the full proposal.

The CI-GEF/GCF Project Agency will review the appropriateness of scope and level of safeguard measures, if any, when reviewing projects to determine readiness prior to approval.

21. For a full or a limited ESIA, if any of the following safeguards are triggered: Involuntary Resettlement or Indigenous Peoples or Cultural Heritage, the CI-GEF/GCF Project Agency will require the ESIA to include the following issues:

a) Social diversity and gender: Examine how men and women are organized into different social groups, based on the status ascribed to them at birth – according to their ethnicity, clan, gender, locality, language, class, or other marker – or on the status or identity they have achieved or chosen – civil servant, worker, environmentalist, etc. Importantly, an analysis of social diversity 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, disadvantaged 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; etc.). Otherwise excluded groups affected by the project as well as project beneficiaries should be brought into the ESIA process, and appropriate mechanisms to sustain such participation in project implementation and monitoring should be deployed; and

e) Social risks: Identify social risks (e.g. country risks, political economy risks, institutional risks, exogenous risks, and vulnerability risks, including but not limited to those that may trigger CI and IUCN 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 Agency)

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

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

Content of a Scoping Report

23. The information gathered through the scoping process, from the site visit and from the Executing Agency 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

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

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

b) Define what issues need to be investigated;

c) Define what 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)

25. For a full ESIA, once the scoping process in completed and the ToRs for the full ESIAs 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 project-level 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

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

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

27. 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.

28. In identifying project alternatives for funded projects, the principles set out in the CI and IUCN Project Agencies Safeguards system need to be considered for each alternative proposed.

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

29. 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

30. 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 IndigenousIndigenous 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 "business as usual" situation--in terms of their potential environmental impacts; the feasibility of mitigating these impacts; their capital and recurrent costs; their suitability under local conditions; and their institutional, training, and monitoring requirements. For each of the alternatives, quantifies the environmental and social impacts to the extent possible, and attaches economic values where feasible. States the basis for selecting the particular project design proposed and justifies recommended emission levels and approaches to pollution prevention and abatement.

g) Mitigation measures: Establishes the measures that are necessary to avoid, minimize, mitigate, or offset predicted adverse impacts and, where appropriate, to incorporate these into an environmental management plan or system.

h) Management plans: Aims to structure the environmental and social management processes and procedures applicable to the project to avoid, minimize, mitigate or offset potential impacts.

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.

31. 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

32. 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.

33. 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.

34. 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

35. Projects must involve stakeholders, including project-affected groups, indigenous peoples, and local CSOs, as early as possible in the preparation process and ensure that their views and concerns are made known and taken into. The CI and IUCN Project Agencies will also ensure that consultations are continued throughout project implementation as necessary to address ESIA-related issues that affect them.

36. Benefits of Stakeholder Engagement include:

a) Letting interested and affected parties participate in decision-making to give them more control and ownership;

b) Sharing information and facilitating understanding;

c) Building legitimacy and support for decisions;

d) Fostering constructive working relationships among stakeholders;

e) Building consensus and generating support for the project;

f) Reducing conflict;

g) Tapping into the local, specialist knowledge of stakeholders to inform assessment and design; and

h) Improving the end decision and aiding sustainability.

37. Ideally, Stakeholder Engagement should involve the public in problem-solving. The joint effort by stakeholders, in-country representatives, executing entities, CI and IUCN Project Agencies ensure better results. Executing Agencies/Entities must ensure that the key principles of the CI and IUCN Gender Mainstreaming Policy, ensuring that both men and women are given equal access to information and decision-making processes – are incorporated throughout stakeholder engagement.

38. 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.

39. Stakeholder engagement usually begins before the ESIA process and extends well beyond it. Once the ESIA has been completed, stakeholder engagement focuses on the implementation of the project. This would include the monitoring, employment and recruiting, resettlement, the development of accommodation for workers, social development projects, contracts with out-growers, etc. It is recommended that the ongoing stakeholder processes continue throughout the life of the project.

Annex 5: Stakeholder Engagement Framework

1. Project Safeguard System Guidelines

CI and IUCN are committed to ensuring meaningful, effective, and informed participation of stakeholders in the formulation and implementation of GEF programs and projects.

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

Purpose

To seek and incorporate the knowledge and contributions of rightsholders, partners and stakeholders to ensure that funded projects result in lasting and fundamental improvements for nature and human well-being.

Therefore, all funded projects must:

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

Definitions

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).

Stakeholder Engagement is process where intervening agencies practice a partnership ethos; treating all other parties with equity and inclusivity, such that stakeholders have meaningful and measurable influence in the conceptualization, design, implementation, and evaluation of programmatic activities.20

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

Requirements

The CI and IUCN GEF Agencies require that stakeholder engagement be included in all its supported projects/programs and throughout their respective project/financing cycles.

The CI and IUCN GEF Project Agencies will oversee the Executing Agency to ensure the involvement of all key stakeholders, including project-affected communities, indigenous peoples, and local CSOs, as early as possible in the design/preparation process to ensure that their views and concerns are made known, taken into account, all adverse effects are avoided and opportunities to benefit local needs are incorporated. The CI and IUCN GEF Project Agencies recognize that projects are context specific, and that the requirements of Policy 3 listed below may be achieved in different levels depending on said context.

Efforts should be made to ensure that stakeholder groups of historically vulnerable or marginalized people (e.g. women, youth, elders, religious/ethnic minorities) are able to fully and effectively participate in this process, which may require separate or targeted engagement.

Ideally, stakeholder engagement should involve the public in problem-solving and solutions/changes should be shared in public forum. The joint effort by stakeholders, in-country representatives, Executing Agencies/Entities, and the CI and IUCN Project Agencies ensure better results. Executing Agencies must ensure that the key principles of the CI and IUCN policies on Gender Mainstreaming – ensuring that both men and women are given equal access to information and decision-making processes - is incorporated throughout stakeholder engagement.

Executing Agencies should identify the range of stakeholders that will be affected by project activities or may be interested in their actions and consider how external communications might facilitate a dialogue with all stakeholders. Participatory stakeholder mapping methods should be used to ensure updated or accurate identification is achieved.

Stakeholders should be informed and provided with information regarding project activities in a language and format that is easily understood by them. Where projects involve specifically identified physical elements, aspects and/or facilities that are likely to generate adverse environmental and social impacts to affected communities the Executing Agency will identify the affected communities and will meet the relevant requirements described below.

The Executing Agency is responsible for drafting and executing the Stakeholder Engagement Plan (SEP) for all funded projects that is scaled to the project risks and impacts and development stage, and be tailored to the characteristics and interests of the affected communities, recognizing that some community members may not be able to effectively communicate outside of the local language. A SEP encompasses all project activities during design, implementation and closure.

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 Agency 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.

Design and any update of SEP should incorporate stakeholder input.

The CI and IUCN GEF Project Agencies will review and approve all SEPs and oversee their execution.

For Category A projects (high risk), stakeholder engagement through consultations must occur in a formalized/documented manner at a minimum twice during the project design phase:

a) The first instance of consultation must occur at scoping where the Terms of Reference (TOR) for the ESIA must be distributed to the project affected people and other stakeholders in order to receive additional requirements for the ESIA report; and
b) The second instance where consultation must occur is prior to approval of the project by the CI and IUCN GEF Project Agencies. In both instances, the CI and IUCN GEF Project Agencies will require documentation of the consultations to first approve the ESIA report and finally to approve project.

Once the ESIA has been completed, stakeholder engagement will focus on the implementation of the project. Plans to ensure ongoing stakeholder engagement processes must continue throughout the life of the project. The nature, frequency, and level of effort of stakeholder engagement may vary considerably and will be commensurate with the project's risks and adverse impacts, and the project's phase of development.

Should the Executing Agency be required to develop a stand-alone ESMP, 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. In addition, disclosure will also be made in the country of project implementation and at multiple locations within country of execution in a form, manner and language appropriate for the local context. In cases where confidentiality is necessary to protect stakeholders from harm, statistical information will be recorded and made publicly available. Disclosure will occur in the following stages:

a) Disclosure of assessment documents (e.g., draft ESIA) and draft safeguard documents (e.g., IPP) during project preparation. Disclosure during project preparation aims to seek feedback and input from indigenous peoples and local communities, and as appropriate other stakeholders, on the safeguard issues identified and the measures incorporated in project design to address them.
b) Disclosure of all assessments prior to project approval;
c) Disclose of all assessments when they have been finalized and approved by the CI and IUCN Project Agencies (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.

2. Stakeholder engagement process to date and planned institutional framework

The objective of ICI is to enhance Indigenous Peoples and Local Communities (IPLCs) efforts to steward land, waters and natural resources that deliver global environmental benefits through access to resources required for large-scale conservation and natural resource management activities. Thus, IPLCs are the primary stakeholders for engagement in the entire process from PIF development, through the PPG phase and project implementation. While IPLCs are the primary stakeholders for ICI, the Agencies will engage with local organizations, national governments and donors throughout the process to ensure coherence and relevance, mitigate conflict and leverage financial or technical resources. The goal of stakeholder engagement is to involve all project stakeholders, as early as possible in the design and implementation and to make sure their views and input are received and taken into consideration.

In all cases, IPLC-led organizations will be the primary decision makers. FPIC will be a guiding principle in the selection of ICI-supported projects. Proponents will be asked to demonstrate how FPIC was obtained with the targeted communities.

Engagement with the GEF Indigenous Peoples Advisory Group (IPAG)

Upon selection of the ICI Implementing Agencies, a two-day consultation meeting was held with GEF's IPAG to review the Agency proposal and consult on further inputs specifically pertaining to geographies, traditional knowledge and overall project scope. The Implementing Agencies, CI and IUCN, then incorporated comments and feedback from the IPAG into the PIF. Upon approval of the PIF, CI and IUCN worked with the IPAG to design the consultation process for the project preparation phase. This included the terms of reference and formation of the ISC.

The ICI Implementing Agencies will continue to engage the IPAG throughout the life of the project. The role of the IPAG regarding the ICI both formally and informally will be to provide advice and guidance on the project's implementation of the Inclusive Conservation approach as defined by GEF rather than to serve as a decision-making group. The ICI Implementing agencies will engage the IPAG on an annual basis at the IPAG annual meeting to provide updates on ICI and seek guidance on the project.

Establishment of an Interim Steering Committee (ISC)

An ISC was created and convened by the Implementing Agencies during the PPG phase to inform and advise on the structure and membership of the SC and on full project development, including selection of subproject geographies. The ISC has also guided the development of the full project SC through the development of a terms of reference. The ISC is composed of five members: two indigenous members of the GEF IPAG, two additional indigenous representatives and one member of the GEF Secretariat. The addition of two non-GEF-IPAG members allowed for a broader regional balance and technical expertise of the ISC. The ISC convened (in person or virtually) at the beginning, midpoint and end of the PPG phase to review the final project design. The ISC was called upon during the PPG phase for technical advice, to discuss targets, for the final selection of subprojects and validated the stakeholder engagement process and selection process. There was one in person meeting and three virtual meeting to complete the work. CI and IUCN also worked with the ISC to develop a Stakeholder Engagement Plan (SEP) and conduct a complete safeguards screening analysis during the PPG phase. The CI and IUCN GEF Implementing Agencies were responsible for convening the ISC as part of the PPG process. There will be a transitionary period between the ISC and the establishment of the ICI Steering committee to transfer responsibilities.

The ICI Project Global Steering Committee (GSC) will be selected through a gender inclusive consultative process with the subproject organizations as defined in the detailed SC Terms of Reference (Annex 1).

<u>ICI Steering Committee during project Implementation</u>:

A Global Steering Committee (GSC) will lead the governance of the ICI. As outlined in the TOR (Annex 1), the GSC will be composed of senior IPLC representatives, supported by a GEF Secretariat staff member and two representatives from the PMU. Key roles and responsibilities of the GSC will be to provide strategic guidance on ICI approaches and partnership, review and provide inputs to project work planning, approve annual work plans and budgets, and provide guidance on the development and implementation of key project outputs as well as advice on indigenous issues pertinent to the project. To facilitate successful project execution, it is anticipated that GSC members will also serve as "ambassadors" for the ICI with key audiences and support global or cross-cutting capacity and policy engagement activities in accordance with their interests and areas of expertise. The GSC will also engage in outreach and communication to leading global IPLC organizations and other global institutions, think tanks, foundations

and funders to maintain ongoing engagement and pursue partnerships to support IPLC action in their lands and territories.

Engagement with IPO Networks

CI and IUCN have initiated and will continue engagement with CI's Indigenous Advisory Group and IUCN's member IPOs to further facilitate discussions with regional, national and international organizations and networks throughout the life of the project. CI and IUCN will also continue to hold virtual discussions, and where possible have in-person meetings with regional organizations, such as the Coordinating Body of Indigenous Peoples of the Amazon (COICA), Indigenous Peoples of Africa Co-ordinating Committee (IPACC), Asia Indigenous Peoples Pact (AIPP) and others, as well as with international caucuses such as the Indigenous Women's Biodiversity Network (IWBN), International Indigenous Forum on Biodiversity (IIFB), International Indigenous Peoples Forum on Climate Change (IIPFCC), IP Major Group on the SDGs, and with other international organizations and networks such as the DGM Global Steering Committee and the ICCA Consortium. These organizations and fora have their own dynamics and priorities that will be taken into consideration during the implementation of ICI. During the PPG process, IUCN and CI engaged in discussions via our in-country offices working with IPLCs to get input from our partners on ICI as well as the IPO network organizations during the consultation process (see spreadsheet of consultations in Appendix 4.1).

Throughout the project implementation, Global Steering Committee (GSC) meetings will serve as venues to engage, seek synergies and open discussions on the implementation of ICI. They will also serve to gather input for the development of activities related to components 2-4. International meetings, where a significant number of IPLC representatives are present, will also be utilized to gather inputs. There will be a particular emphasis on engaging with regional IPLC organizations at the initial stages of the project implementation. Virtual meetings will also be convened, where possible, to reach other IPLC organizations that are not part of the regional formations.

A special focus will be on networks of indigenous youth, at national, regional, and global levels. Recognizing the skill sets that the youth have (very necessary in terms of documenting the progress of the projects) and the ability to communicate in multiple languages, the youth will be an important stakeholder in this initiative. Aside from the fellowship component, they will also be targeted in the various capacity building activities. Care will be taken to respect the community protocols in transferring knowledge systems with regards age and gender.

Engagement with other Stakeholders

Given that ICI investments under Component 1 will take place at sites located in countries where other stakeholders such as national and subnational governments, communities, NGOs and donors will be present, ICI will conduct ongoing outreach with stakeholders in and around proposed ICI sites as part of the development of the impact strategies for the pre-selected subprojects. It is anticipated that this broad engagement will also generate ideas and inputs for Component 2-4 activities (e.g., to inform capacity building, learning and knowledge activities). During the PIF and PPG stages, initial outreach was conducted with select organizations on leverage opportunities such as the GEF's SGP, Nia Tero, The Tenure Facility, NICFI, National Geographic, Climate Investment Funds, Global Wildlife Conservation, the World Bank, and the UN Permanent Forum on Indigenous Issues. Collaborations with many of these organizations have been identified as well as co-financing so engagement with those list as well as other will continue during project implementation.

ICI will continue to seek opportunities to partner with other public and private institutions to access more funding for expansion of the coverage of ICI geographies and/or add investments to existing sites.

NGOS and coalitions that work on promoting Indigenous People rights will also be approached to find synergies or in some cases to provide support in activities that ICI may not be able to, e.g., Human Rights organizations to provide training and support for environmental rights defenders; research institutions, including those specializing in participatory mapping activities

Development actors, such as extractives who may have interest to partner with specific projects type of activities – the specific executing agency will decide based on their own internal process the extent of partnership they can enter into. Though ICI may facilitate the exchange of information between such actors, the final decision will rest on the specific executing agency.

When needed and applicable representatives of such institutions may be invited in some of the activities of ICI to provide technical and financial support. The GSC will decide on the extent of the partnerships.

In accordance with the CI and IUCN Agencies' discussions with GEF's IPAG, all consultations during the stakeholder engagement process should be clear, open, and transparent. During the PPG phase, the CI and IUCN GEF Agencies worked with the ISC to prepare an action plan to conduct broad-range global consultations to refine selection of the project geographies.

Upon confirmation of the subproject geographies at the GEF Council meeting in December 2019, CI and IUCN engaged IPLCs, local organizations, and national and subnational governments as prescribed in the ICI SEP.
Once sites are defined and EAs are selected, the EAs will also call upon their indigenous and non-indigenous partners' field offices to provide insights and inputs on the potential areas of focus and site level project design. Care will be taken to ensure that the consultations will include groups that are not often part of regional or international gatherings.

Events were highlight for engagement during the PPG phase and an initial calendar of stakeholder engagement had been outlined. Due to COVID, a limited number of these engagements took place prior to global lockdowns and subsequent engagements, meetings and consultations moved to a virtual format. (see calendar and spreadsheet of consultations in Appendix 4.1).

3. A Gender inclusive SEP process

Gender is one of the most fundamental social characteristics that contributes to one's use and knowledge of natural resources, one's ability to control and make decisions about resources, and one's ability to participate, and ultimately benefit, in natural resource management. Gendered use of natural resources is often even more apparent among IPLCs, who rely so heavily on natural resources in their day-to-day lives. General conclusions from extensive research and observation include that women tend to depend more on natural resources than men, their access and control of resources is more limited, and their ability to participate and make decisions about natural resources is restricted by gender norms and structural constraints. The ecological knowledge that men and women hold can be highly gendered as well.

Against that backdrop, this project – one that focuses on *inclusive* conservation – will take proactive and strategic steps to ensure that women and men can participate equitably and make decisions and benefit from the project activities equitably. To this end, the ICI has developed a Gender Mainstreaming Plan (GMP), based on a gender analysis, during the PPG phase, that is fully aligned with the GEF Gender Equality Action Plan. This will help create a gender-responsive project that closes gender gaps in IPLC natural resource management and mitigates potentially adverse effects of the project on women and men. Particular efforts will be exerted to engage with indigenous women both at the regional, national and local levels to ensure that their specific concerns will be included.

4. High-level identification of project stakeholders

The table below presents a high-level identification of project stakeholders. This assessment shall be performed at the subproject level when preparing the Stakeholder Engagement Plans.

Project Stakeholders

Stakeholder	Interests in the Project	Stakeholder Influence in the Project	Project Effect(s) on Stakeholder	Relevant Component(s)
GEF IPAG (PPG and Implementation)	Proponent of the Project within the GEF.	Their support for the project will be important for success politically	If successful, GEF IPAG has potential to influence GEF funding in the future	PPG and Project Implementation
Interim Steering Committee	To ensure that the project is designed in the most appropriate manner taking into account the IPLC needs and GEF requirements	● Their performance largely determines the performance of the project as a whole. ● Advice on the subject matter; support in outreach. Validation of project		PPG Phase
ICI Steering Committee	To ensure project implementation, provide advice and input, planning and approval of budget for components 2-4	● Their performance largely determines the performance of the project as a whole. ● Advice to the subject matter; support in outreach. Validation of project	● High-level of outreach and engagement. IPLC voice for the project ● Potential to influence future investments ● Negative: With Components 2-4, given there will be investment in IPO networks and learning, there could be conflicts created	Project Implementation
Indigenous Peoples Networks	Project will benefit indigenous territories directly	● High level of interest for investment in territories ● Can support priorities within IPLC territories ● Support for IPLC rights	● Positive: investment in supporting IPLC-led efforts ● Ongoing engagement in the implementation of ICI via subproject implementation and components 2-4 ● Negative: resources will only support a select few	PPG and Project Implementation

Stakeholder	Interests in the Project	Stakeholder Influence in the Project	Project Effect(s) on Stakeholder	Relevant Component(s)
			geographies.	
Conservation NGOs	Work in the similar themes; interested in collaboration with ICI	Support in subgrant project selection; encourage their IPLC grantees to engage with ICI	● Synergies and mutual improvement in activities; financial support	PPG and Project Implementation
Indigenous Peoples and/ or Communities occurring in the project sites	Project activities and outcomes may improve/deteriorate their livelihood and in some cases could improve one person's livelihood while deteriorating someone else'.	Their active participation and collaboration will be critical in starting the portfolio projects in the first place, and eventually achieving the subgrant projects' contribution to the project objective.	● Indigenous Peoples and/ or Communities occurring in the project sites ● Potential synergies and co-financing ● Negative: potential conflict among communities involved in ICI project and other projects	PPG and Project Implementation
GEF Small Grants Programme	Explore opportunities to scale up thematic outputs from the SGP Innovation Programmes, including work on youth and climate change, indigenous peoples' access to energy, artisanal and small-scale gold mining (ASGM), and the blue economy	Provide recommendations from IPLC partners who are SGP grantees and graduate organizations that may be potential candidates for Inclusive Conservation investments in selected geographies and territories;	Engage in policy initiatives with the SGP in ICI countries, including appropriate recognition of indigenous peoples' and community conserved areas and territories (ICCAs), and post-2020 United Nations Convention on Biodiversity (CBD) negotiations; Build on and coordinate with the SGP's existing mechanism and experiences with IPLCs for consultation and coordination in target ICI geographies and territories;	Project Implementation

Stakeholder	Interests in the Project	Stakeholder Influence in the Project	Project Effect(s) on Stakeholder	Relevant Component(s)
Women	Inclusion in ICI ● Benefits to their territory	● integration of gender considerations into the project, including relevant and specific gender indicators, to make the activities gender responsive to women's and men's needs and interests, and provide opportunities for men and women's organizations to participate and benefit from ICI project activities.	● Improved gender mainstreaming in the ICI project with gender-inclusive benefits	PPG and Project Implementation
Other Stakeholders	● broad engagement, potential for technical inputs, reduce or mitigate any potential conflicts ● leverage of financial or technical resources.	● Identify areas for co-investment ● Avoid duplication of efforts and conflicts. ● Explore funding opportunities	● Joint outreach; knowledge consolidation ● Nia Tero, The Tenure Facility, NICFI, National Geographic, Climate Investment Funds, Global Wildlife Conservation, the World Bank and the UN Permanent Forum on Indigenous Issues. ● Private and Public Funding Institutions ● Development Actors	

5. Stakeholder engagement in the ESMF's high-level action plan

The high-level action plan prepared for the Environmental and Social Management Framework identified a risk related to stakeholder engagement related to ESS Indigenous Peoples:

R4.1: The subprojects do not implement effective participation and engagement of Indigenous Peoples and most vulnerable groups (e.g., indigenous women) in the preparation of the ESIA and during execution of activities.

Geographical scope: All project sites.

Description: The project will work in lands or territories traditionally owned, customarily used, or occupied by indigenous peoples and could potentially present risks related to level of participation and engagement of indigenous communities during ESIA preparation process.

Budget allocated: From PPG funds, approximately $90,000 (10k/subproject for Impact Strategy development including stakeholder engagement)

Grievance mechanism: Tiered grievance & redress mechanism

Mitigation measures and indicators:

Mitigation measure	Indicator
MM4.1.1: Implement effective consultation processes with the affected indigenous peoples' communities to fully identify their views and to seek their FPIC for project activities affecting them, assessing risks and opportunities to improve the understanding of the local context and affected communities in order to incorporate them in ESIA.	**I4.1.1:** Number of ESIA developed that incorporate FPIC process.
MM4.1.2: Develop specific mechanism culturally appropriate and accessible to affected indigenous peoples as part of grievance redress mechanism, taking into account the availability of judicial recourse and customary dispute settlement mechanisms among indigenous peoples/communities.	**I4.1.2:** Number of grievance redress mechanisms which include specific mechanism culturally appropriate and accessible to affected indigenous peoples. **I4.1.3**: Number of grievances raised in the context of indigenous people engagement and participation process.
MM4.1.3: Engage local stakeholders, using a culturally appropriate and gender-sensitive approach, in all capacity building activities, in line with traditional knowledge.	**I4.1.3:** Number of stakeholders (disaggregated by gender) participating in capacity building activities that were communicated and held using a culturally appropriate and gender sensitive-approach, in line with traditional knowledge, including reports recording local knowledge.

6. Stakeholder Engagement and the specific context of Indigenous Peoples

As stated in the Indigenous Peoples Framework (see Annex 7), one of the main risks for Indigenous Peoples is related to 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.

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.

The Executing Agency undertakes a process of consultations with indigenous peoples during project preparation: to inform them about the project, fully identify their views, inform/adapt the project design, and to seek 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.

For projects affecting indigenous communities, whether positively or adversely, a more elaborate consultation process is required in specific a FPIC. 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.

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:

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.

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, etc.). he 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.

The Executing Agency 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.

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.

7. Standard outline for Stakeholder Engagement Plan

The Stakeholder Engagement Plans should include at least the following:

a. Description of the subproject activities.
b. Requirements regarding stakeholder engagement
    - National requirements, if applicable
    - Stakeholder engagement in ICI Project Safeguards System
    - IPLCs experience in Stakeholder engagement
c. Stakeholder identification and analysis
d. Stakeholder engagement action plan
e. Grievance mechanism
f. Monitoring and Reporting

Appendix 5.1: Record of stakeholder engagement activities

A robust stakeholder engagement with IPLCs and other partners took place from January 2020 through project submission. The following is a description of the participatory processes carried out in the pre-COVID stages and during the pandemic. During the latter, the meetings were held virtually.

Stakeholder Engagement Pre-COVID

During January and February 2020, the following activities were carried out:

- COICA SC Meeting: Rio de Janeiro, Brazil.
- GEF Interim Steering Committee Meeting/ PPG Kickoff, Arlington, VA USA.
- Global Thematic Workshop on Human Rights in the CBD Post 2020Framework: Chiang Mai, Thailand.
- ICI GEF Stakeholder Engagement [Minnie]Chiang Mai with AIPP Executive Committee, Thailand
- 2nd Meeting of the OEWG on the Post 2020 Framework: Kunming, China (Moved to Rome)

During COVID pandemic

March-June 2021: Outreach for Expression of Interest (EoI) Process:

- Communications with IPO Networks globally
- Circulation via Equator Initiative Network reaching 40,000.
- Circulation via DGM Global Newsletter reaching 1,000+
- Circulation via GEF Sec to Agencies
- Circulation via CI and IUCN Networks
- Circulation via ICCA Consortium: 152 Member organizations
- GEF SPG

Convening of the Interim Steering Committee:

- June 2020: Check in on process.
- August 2020: Selection of Investment sites.

The following tables summarize the meetings held with stakeholders during program's preparation from March to December 2020, organized by region: Latin America, Africa, and Asia.

For most of these sessions, a full presentation on the ICI Project was done. Previous to the call, the presentation was sent to the organizations via email, so that they could follow the presentation during the call. The presentation usually took between 35 to 45 minutes and then allowed a time for questions, answers and discussion. That took another 35 to 40 minutes. Sessions that were follow up calls, usually focused on additional questions and inquiries that the organizations had, after their first attempt at preparing their EOIs, but needed clarification on certain issues, before they move forward.

Table 16: Meetings with organizations in Latin America facilitated by the ICI Team

Note: Names of individual participants are not included to maintain their privacy

Session	Date	Country	Organization (s) Present	General comments/ Questions
1	09-mar	Peru	AIDESEP (5 participants, 2 women and 3 men)	Provided AIDESEP with an overview of the ICI Project. They shared their experience working with other entities such as the DGM and GTZ. They asked about the role of the executing agency and whether working with a fiduciary entity would be permitted. They also asked if we were only focusing on national and regional organizations or if we were also speaking with thei members organizations. It was communicated that this was open to everyone, but it would likely be important to speak with their members as well as with COICA to coordinate strategies and efforts. They share their work on their early warning system. Here is the http://cipta.ddns.net/.
2	10-mar-20	Peru	ANECAP (15 participants, 6 women, 9 men)	Provide a presentation to the ANECAP board which is composed of the IP leader of the 10 indigenous reserves that make of the Co-management arrangement with CONAP in Peru. Expressed interest in the project and wanted to do something collectively with the 10 reserves recognizing that they also were just provided for a full project for the GCF. Would likely apply as ANECAP and several reserves have capacity on the financial side so they can also support training among the reserves.
3	10-mar-20	Peru	WWF-USAID AIRR Project (1 participant, 1 female)	Met with Heidi Rubio regarding the USAID AIRR Project. It was a good discussion and ideally plenty of synergy potential between ICI and AIRR. She provided a presentation with the project overview. Investment areas are Putomayo, Northern Peru, Tapajos in Brazil with minor investments in Guyana and Suriname. Would like to keep dialogue going as we identify investment sites.
4	11-mar-2020	IUCN IPOs from South America: Ecuador, Peru, Paraguay	COICA, FENAMAD, FAPI, AIDESEP (5 participants, 1 female, 4 male)	The IUCN IPOs of South America welcomed and support the ICI Project. They value that expressed that they value that the program is taking an inclusive approach to workong with IPs and that it seeks to ensure that investment reaches IPOs directly. COICA asked what's the composition of the ISC and how were ISC members selected? We explained that the ISC is made up of 4 Indigenous Persons globally and 1 GEF rep.. Further, explanation was given that the ISC IP members were selected based on their individual expertise and capacity; and that it is not a representative role. COICA highlighted that for Indigenous Peoples, collective decision is central to their decision-making processes and that they consider and strongly recommend that these selection processes (for future committees and the design of the ICI project), take IPs forms of decision making into consideration. This COICA position was reaffirmed by FENAMAD. FENAMAD also gave the same recommendations as COICA. Questions discussed: 1. COICA: is the investment expected to be in only one or two countries, or can COICA develop its EOI focusing on the 9 countries that it serves? 2. Will binational (more than one site) EOIs be given higher priority? 3. FAPI: What happens if the IPO does not have the administrative/financial capacity required? 4. FENAMAD/ COICA/ FAPI: Can the EOI be developed in relation to our current strategic and programmatic plans?

Session	Date	Country	Organization (s) Present	General comments/ Questions
5	12-mar-2020	Chile	Observatorio Ciudadano (4 participants, 1 female, 3 males)	Discussion with members of the Observatorio Cuidano based in Temuco Chile. They are members of the ICCA consortium and are working with leaders on both the Chilean and Argentine size of the Mapuche territory. Staff are indigenous and non-indigenous. Questions: regarding the role of the EA and the level of experience they needed to have. Could a consortium be formed for the project? Please to see that Southern Cone was considered in this process.
6	12-mar-2020	**IUCN IPOs from Central America:** Guatemala, Honduras, Panama,	Asociación SOTZ`IL, MOPAWI, Asociación Ak'Tenamit, Asociación de Desarrollo Productivo y de Servicios Tikonel, Fundación Laguna Lachuá, Fundación para la Promoción del Conocimiento Indígena. (9 participants, 3 females, 6 males)	The IUCN IPOs of Central America welcomed and expressed their support to the ICI Project. They value that the GEF is working along with IUCN and CI, through an inclusive approach to working with IPs and that it seeks to ensure that investment reaches IPOs directly, because this is always one of the major challenges for Indigenous Peoples. For this call, our team partner Luis Barquin from CI was present. The presentation, questions, answers and discussion session was done jointly. IUCN IPOs expressed that they appreciate and highly value that IUCN and CI were both present during this working session and showed that this project is being approached and jointly developed as a team. **Questions Discussed:** **1.** Will the IUCN IPOs be given preference in the selection process or will we be competing like every other IPO? **2.** How small of an IPO can apply to this ICI project? **3.** Should small IPOs apply on their own or should they form consortiums? **4.** Should an EOI include both forest and marine areas, or can it focus on one? **5.** Is there any special focus on gender equality in the ICI?
7	13-mar-2020	Southern Chile IX Region Lado Budi	MAPLE Micro Desarollo Rekuluwum (2 participants, 1 female, 1 males)	MAPLE Microdeasrollo is working with Mapuche -Lafkenche community of Lake Budi, ancestral territory of Pacific Northern Patagonia (yes, a completely different region and context!), to create with them a "community banking model" for holistic indigenous asset management in a context of a rapidly monetarizing indigenous economy. The prototype has been gradually self-managed since 2014, under Mapu che cultural protocols and Indigenous Peoples' human rights international framework. MAPLE Micro development is among the few work. Many questions related to the EA role and a consortium approach. Concerned that mapuche organizations were fairly weak but growing. Working directly with indigenous (Mapuche) communities to co-design and materialize the institutional tools that are enabling them to strengthen self-managed assets at a family and community levels, following article 4 of the U.N. Declaration of the Rights of Indigenous Peoples. Together with Rekuluwun, literally "leaning on each other") has been working un der indigenous norms and protocols since 2014.During these 5 years, it has also gained full self-management, securing to this day a 100% devolution rates, and has sustainably generated positive measurable impacts on the environmental and financial health of family livelihoods, generative assets, and community savings. They are currently working together in a Ramsar site in the region with the community.

Session	Date	Country	Organization (s) Present	General comments/ Questions
8	14-mar-2020	Souther Chile-Mapuche	1.Confederacion Economica Mapuche 2. DevLabs 3. Universidad de la Frontera 4. Malwehefe (8 participants, 4 females, 4 males)	Met with various Mapuche stakeholders representing several groups of cooperatives plus university collaborators. Provided an overview of ICI and an orientation to the GEF. Many were not as familiar with the GEF so reviewed in detail the history and objectives Questions and Issues: 1. Looking at size and potentially a regional level in for Mapuche 2. Asked detailed questions about the EA role and if they could work in a consortium mode with a fiduciary body 3.Want to focus regionally to support Mapuche initiatives recognizing that the Mapuche are not in territories like the Amazon. 4. Also want to include components of restoration 5. Already working with impact investors in the region so have experience with investing in indigenous businesses and leveraging policy in the region.
9	20-mar-2020	Honduras	MOPAWI (1 participant, male)	**Questions Discussed:** **1.** What type of annexes are expected in the EOI? **2.** Do we need to include maps of our territories and the areas we work in? **3.** We are partnering with another organization, do we need to show our past experience in projects like these, or only the big organization will show that? **4.** Will projects on women have any special consideration?
10	30-mar-2020	Guatemala	Aktenamit (2 participants, 1 female, 1 male)	**Questions Discussed:** **1.** Is there a specific percentage of the budget expected to be for gender related actions? **2.** Is there any specific focus to youths? **3.** Will projects focusing on women be prioritized? **4.** Do we need to get a letter of endorsement from the government of Guatemala or only our lead organization needs to get that?
11	30-mar-2020	Colombia	Coor Proyecto Interétnico Resguardo Indígena Cañamomo (1 participant, male)	**Questions Discussed:** **1.** What size of project is expected from us. We are a small organization. **2.** What size and type of co-financing is expected from us? **3.** Would the ICI include projects on Payment for Environmental Services? **4.** Can we be in a consortium with a network of IPLCs? **5.** How are small organizations working in other regions?

Session	Date	Country	Organization (s) Present	General comments/ Questions
12		Argentina	Fundacion URDIR (4 participants, 3 females, 1 male)	NGO working in the Chaco region of Argentina. They wanted ton understanding more about the process and if a consortium could be done recognizing that the situation of IPs in the Chaco was limiting in terms of opportunities and experience and there would definitely need to be significant capacity building.
13	13-abr-2020	Paraguay	FAPI (1 participant, 1 female)	**Questions Discussed:** **1.** Should only one organization responsible for the EOI be named? **2.** In part 3 of the EOI form should we include the particulars of this coordinating organization or should the information of all members be included? **3.** Can we join up with an NGO to support us? **4.** We can only apply for a maximum of $700,000 for the 5 years. Is this acceptable or not? **5.** What percentage of our proposed budged is acceptable for administrative costs?
14	14-abr-2020	Guatemala/Panama	Asociación SOTZ`IL, Fundación para la Promoción del Conocimiento Indígena. (2 participants, 2 males)	**Questioned Discussed:** **1.** We are working in meso-America, covering both forest and marine ecosystems, what is the maximum budget that we can apply for? **2.** Can we apply for 2.5 million? **3.** Can we use up to 10% of our total budget for administrative costs? **4.** Can the project be less than 5 years? **5.** Do we need to present in the EOI, our global components? **6.** How much of our budget should we assign to the global components? **7.** When components 2, 3 and 4 are developed, will they also be involved in that process? How will that be? Will that be an additional budget to the 2 million that they are already proposing now?
15	15-abr-2020	ICCAS (see additional notes in the ICCA folder)	Latin America (8 participants, 4 females, 4 males)	**Questions Discussed:** 1. There are fishing communities that have conflicting relationships with governments. How are they considering expressing this in the EOI? 2. How can this challenge of recognizing these conflicting territories be expressed? 3. What happens in situations where territories are not formally recognized? 4. How can this project be made more flexible to ensure that those territories not formally recognized have the opportunity to apply? 5. Can non-formal organizations apply? 6. Can interest in global issues be related to global processes, for example, FAO's global processes? 7. Can the proposal have a transnational approach? 8. Will this type of project be given higher priority? Is component 2 a separate process? 10. How can small indigenous organizations be incorporated, if they are obliged to join with large organizations or the usual NGOs? 11. How do you ensure the autonomy of indigenous communities in this area?

Session	Date	Country	Organization (s) Present	General comments/ Questions
16	22-abr-2020	Guatemala	Asociación de la Comunidad de Palin (2 participants, 1 female, 1 male)	**Questions Discussed:** **1.** What level of detail is expected for the presentation of the budget in the EOI? **2.** Will this ICI project finance the start of processes? For example, feasibility studies, wind energy studies, eco-tourism studies, and gender processes? **3.** With regards to co-financing, does this come from the community/organization applying, or does the ICI provide that? **4.** What level of financial, administrative capacity is expected from the IPOs/IP communities? **5.** How detailed are our annexes expected to be? - do these need to be at the level of past contracts, reports on past projects? Current financial account status? **6.** What are the minimum administrative requirements? **7.** What strategy will you use to ensure that the EOIs submitted by the organizations actually represent the interests of the communities and come from the communities? **8.** How will the ICI ensure that small organizations/communities will really have access to these funds?
17	30-abr-2020	Ecuador	Fundacion Cieba (2 participants, 2 females)	1.Wanted clarification if that would qualify as they are on the Pacific Side of the Andes 3. Entertained the idea of a binational approach as well. 2. Wanted to also understand the IPLC definition
18	11-may-20	Guatemala	Asociación de la Comunidad de Chilar/Pailn (4 participants, 1 female, 3 males)	Met directly with community leader. Comunidad Indigena de Chilar, 14 members. Community is 40 kilometers de Guatemala. Lots of questions regarding what a portfolio would look like. Major focus on management and protection of indigenous lands.
19	26/05/2020	Ecuador	Nacionalidad Awa del Ecuador (1 participant, male)	1. General information 2. Deadline 3. Eligibility 4. Geographies
20	27/05/2020	Mexico	CONANP, Comunidades de Lagunas de Montebello (1 participant, male)	1. General information 2. Deadline 3. Eligibility 4. Geographies
21	26/05/2020	Ecuador	Asociación de Mujeres Waorani (1 participant, female)	1. General information 2. Deadline 3. Eligibility 4. Geographies
22	07/04/2020	Guatemala	FCG	Shared EoI to disseminate with FCA Guatemala Small Grants Program

Session	Date	Country	Organization (s) Present	General comments/ Questions
			(1 participant, female)	
23	30/04/2020	DGM Network	DGM Global	Shared EoI in DGM Newsletter
24	27/05/2020	Mexico	Oficina de Asuntos Internacionales, CONANP (1 participant, male)	1. Dissemination process of EoIs 2. Deadline 3. Eligibility 4. Partnerships

Table 17: Meetings with organizations in Africa

Session	Date	Country	Organization (s) Present	General comments/ Questions
1	20-mar	Kenya	WEDO (1 participant, female	Porok
2	18-may-20	Kenya	Coastal & Marine Resource Development (COMRED) | (3 participants, male)	They are working on the coastal area and have been designated as a strategic partner to SGP, they want to scale up with woke they have been doing with the communities to extend the area as well as to build the capacities of the community organizations; they are concerned with the timeline of the project because of COVID 19.

Table 18: Meetings with organizations in Asia

Session	Date	Country	Organization (s) Present	General comments/ Questions
1	Feb 3-7, Bali, Indonesia	Regional Meeting	CI Asia Pacific Field Programs (100 participants, 40 females, 60 male)	Presented the general concept and process for the ICI and asked CI field programs to share this information with IPLC partners; Philippines, Fiji, Indonesia, East Timor were enthusiastic
2	Feb 16-22, Chiang-mai, Thailand	International Seminar on Human Rights and the Post 2020 Biodiversity Framework	Multiple organizations present	These were one on one discussions with the persons/organizations
3	Feb 18	Global	ICCA Consortium (1 participant, female)	Questions ranged from geographical scope to role of intermediary organizations
4	Feb 18	Global	Forest Peoples Programme (1, participant, female)	Suggestions on adding a granting mechanism to respond to urgent alerts from IP communities
5	Feb 19	Global	Nia Tero, 1 participant, female)	

Session	Date	Country	Organization (s) Present	General comments/ Questions
7	2/22/2020,	Thailand	AIPP (3 participants, 1 female, 3 male	Gam presented an update on the situations of member organizations and priority themes of AIPP; ICI was then presented - objectives, process, etc.
8	February 22,	Thailand	IMPECT, IPF, Karen HillTribes Sustainable Development Fdn., Women's Network (6 participants, 2 female, 4 male)	4-hour discussion on ICI - themes, objectives, ideas on activities and then a thorough assessment by the group on the possibilities for Thailand; discussions included possibilities of expanding to include parts of Laos/Cambodia
9	February 22	Philippines	KAMP (1 participant)	shared ICI and discussed possibilities for Philippine IP groups
10	February 23	Philippines	Indigenous Navigator Program (1 participant, female	As the area that they are working is in Palawan, it was worth discussing if there are possibilities for IP organizations to apply, the situation is that the IP communities are very fragmented, though there is an existing provincial wide organization (NATRIPAL) that could be a potential partner
11	February 23	Philippines	GCF- Safeguards specialist (1 participant, female	more of sharing the initiative and discussing possibilities in the region
FB messenger	12-mar	Thailand	Thailand IPF (1 participant male)	follow-up questions from the Thailand group on whether they have to work with the IUCN in Thailand
skype call	April 14 and 21	Nepal	CIPRED (1 participant, female	questions on eligibility of FECOFUN and if they can submit jointly; discussions on objectives and possible activities

Session	Date	Country	Organization (s) Present	General comments/ Questions
whatsapp	aApril 9	Indonesia	AMAN (1 participant, male)	discussions on which AMAN community would best fit the initiative and whether it would be better to submit nationally or regionally
FB messenger	28-abr-2020	Nepal	FECOFUN (1 participant, female)	more specific questions on their joint proposal with CIPRED
skype calls	May 12, 13, 18	Nepal	NEFIN (1 participant, male	clarification on Himalayas as a geography; whether they can be a lead in one proposal and be included in another regional proposal, question on co-financing
skype calls	5/18/2020; May27	Thailand	AIPP (1 participant, male)	follow-up question on needed co-finance, inclusion of non priority geographies in a regional proposal
FB messenger	March, Aprl, May	Philippines	ICCA, (1 participant, male)	budget, role of ISC vis-a-vis selection, process of building coalition
skype calls	April 27, May 18	West Papua	CI-Indonesia (1 participant, female)	overview of ICI and possibilities in Raja Ampat; issue whether CI-Indonesia can be the proponent on behalf the communities given the relative newness of the community organizations, very little capacity to manage funds but are very actively undertaking conservation work at community level; issue of language and the restrictions on working in West Papua there should be flexibility on the issue of partner organizations
skype calls	12-may-2020	Fiji and Cooks	CI-Fiji, CI-NZ and Lau community (5 participants, 2 females, 3 male)	follow-up to a previous presentation with Kristen, the idea of submitting a joint proposal from the Cooks and Fiji to be led by the Lau council and the House of Ariki, clarifying the role of CI as a partner

Annex 6: Framework for Natural Habitats and Biodiversity Conservation

1. The Executing Agency is required to include in the project concept and the safeguard screening document a description of activities that may involve adverse environmental impacts, any known environmental sensitivities, and any sites with known or potential archaeological, paleontological, historical, religious or cultural values.

2. For Category B projects with potential minor and manageable adverse environmental and social impacts, a targeted risk assessment or limited ESIA might be undertaken. Such assessments 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. If a limited ESIA or full ESIA is required in light of the final screening results, the process described in chapter 8 of the present ESMF must be followed.

4. The scope of any environmental review and mitigation measures will be determined by the CI and IUCN Project Agencies in consultation with the Executing Agency through the safeguard screening and approval process. If needed, the CI and IUCN Project Agencies may request further information or a more detailed environmental and social review prior to approving a project.

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[12]. 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.

8. Physical Cultural Property: There is a possibility that project activities may result in damage to physical cultural property unless these are identified early on. The CI and IUCN Project Agencies 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

[12] For further guidance, CI and IUCN encourage 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).

archaeological, paleontological, historical, architectural, religious, aesthetic, or other cultural significance). Recognizing that physical cultural resources may be present in projects areas, the safeguard screening criteria and review process aims to ensure that they are identified, and adverse effects are avoided and/or mitigated.

9. Project proposals with activities that may occur in areas with possible physical cultural resources will specify procedures for identifying physical cultural property and for avoiding impacts on these, including:

a) Consultations with the appropriate authorities, subject experts and local inhabitants to identify known or possible sites during project planning;
b) Siting of project activities to avoid identified sites (including identifying such areas in protected and natural resource management planning and zoning);
c) "Chance finds" procedures will include cessation of work until the significance of a "find" has been determined by the appropriate authorities, subject experts and local inhabitants, and until fitting treatment of the site has been determined and carried out;
d) Construction contracts will include the same procedures for dealing with "chance finds;"
e) Buffer zones or other management arrangements to avoid damage to cultural resources such as "sacred" forests and graveyards. Indigenous peoples and local communities to which these areas belong should decide access procedures and should not be excluded from accessing these areas.

10. The ESMF highlights the importance of community participation (noted in the Involuntary Resettlement, Physical and Economic Displacement, and Indigenous Peoples ESS standards) since local and traditional knowledge is important in identifying, designing and planning the implementation of practical mitigation measures. It is especially important where the success depends on community support and action, both in implementing mitigation measures and in monitoring their success.

Standard Outline of a Natural Habitats and Biodiversity Plan

The Natural Habitats and Biodiversity Plan, 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.

The Natural Habitats and Biodiversity Plans should include the following contents:

a. Biodiversity context
b. Project objectives and activities that might cause environmental impact
c. Identified risks and mitigation measures
d. Implementation action plan, that defines the party/person that will be responsible for the implementation and follow-up of the mitigation measures, schedule, and cost.
e. Stakeholder engagement.
f. Monitoring and reporting, that establishes reporting schedule. Definition of indicators and targets for each mitigation measure. Minimum indicators from the High-level action plan to be included in the Plan are:

Mitigation measure	Indicator
MM2.1: Develop a Biodiversity Management Plan (BMP) as part of ESMP including specific measures for ESS2.	**I2.1:** Number of BMP developed.
MM2.2: Engage local stakeholders, using a culturally appropriate and gender-sensitive approach, in the identification of suitable and sustainable options for new economic enterprises, in line with traditional knowledge.	**I2.2:** Number of workshops per sites about suitable options for new economic enterprises, in line with traditional knowledge, including reports recording local knowledge.
MM2.3: Provide training on Invasive alien species (IASs) and native species differentiation.	**I2.3:** Number of trainings about IASs and native species differentiation.
MM2.4: Provide training on forest fires prevention.	**I2.4:** Number of trainings about forest fires prevention.

The table above shows illustrative adverse environmental and social impacts, standard mitigation measures and sample monitoring indicators. These examples shall be taken into account when developing the Natural Habitats and Biodiversity Plans in the subproject sites, which could include specific indicators such as:

- Increased area of sustainably managed ecosystems (hectares)
- Increased area of legally protected habitats (hectares)
- Number of grievances raised in the context of reforestation happening in sites with valuable ecosystems, reforestation conflicts with current use or water flows have been manipulated.
- Percentage of these grievances that have been resolved satisfactorily.

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

PROJECT ACTIVITY	POTENTIAL IMPACTS	STANDARD MITIGATION MEASURES	MONITORING AND INDICATORS
Construction of basic infrastructure (e.g. shelters, trails)	• Minor, short-term potential impacts on already disturbed and small areas of vegetation – mainly due to soil excavation, dust and noise	• Consult affected communities or biodiversity experts to determine appropriate siting of infrastructure to minimize impacts • 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. • Obtain any permits required by national and local regulations prior to construction • Choose most appropriate timing for construction to avoid or minimize impacts • Infrastructure will be designed in accordance with local traditions, local architecture, and good environmental practices • Appropriate management/disposal of waste+ debris	• Construction of basic infrastructure (e.g. shelters, trails)
Change in natural resource use and management (e.g. restoration of gallery forest, re-engineering water flows in wetlands)	• 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)	• Consult with affected communities and biodiversity experts to determine appropriate land and resource management regimes • Use only native species for restoration • Consider compensation and/or avoidance mechanisms to minimize crop loss and conflict	• Indicator species are monitored • Consultation processes with communities and their free, prior and informed consent are recorded
Reintroduction of captive-bred threatened species	• Introduction of disease into the wild	• Undertake health checks prior to release	• Monitor introductions and disease outbreaks

PROJECT ACTIVITY	POTENTIAL IMPACTS	STANDARD MITIGATION MEASURES	MONITORING AND INDICATORS
		• System for avoiding and mitigating disease outbreaks	
Increase in recreational use of protected areas	• 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 • Lack of maintenance of trails leading to erosion on slopes • Social impacts on affected communities	• Support training and TA to develop skills for effective tourism management • Promulgate rules and guidelines for visitors • Provide waste and toilet facilities • Minimize risk of species introductions, e.g. prohibit firewood transport or transport of boats between water bodies	• Monitoring number of tourists • Monitor habitat disturbance • Consultation processes with communities and their free, prior and informed consent are recorded
Fire suppression	• Impact on fire-dependent ecosystems	• Perform prescribed burns to nurture fire-dependent species	• Monitor fire-dependent indicator species response
IAS removal (by mechanical means)	• Native species accidently removed	• Provide training on IAS and native species differentiation • Isolate native species through demarcation	• Monitor native indicator species for ecosystem response

Annex 7: Indigenous Peoples Framework

1. This section provides guidance for applying the minimum standards for ESS4: Indigenous Peoples.

2. Throughout this section, the CI and IUCN Project Agencies has referred specifically to indigenous peoples in recognition of their unique cultural and socio-economic circumstances, historic and current vulnerability, place-based culture, and the internationally recognized rights afforded them, such as under International Labour Organization's Convention No 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, the CI and IUCN Project Agencies 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 Project Safeguard System 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 ESS 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 Agency/Entities will follow during the preparation and implementation of 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, funded 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. The funded projects are required to screen for the presence of indigenous peoples early during project preparation.

10. For the purpose of the ESS 4, the term indigenous peoples is used in a generic sense to refer to a distinct social and cultural group possessing the following characteristics in varying degrees:

a. Self-identification as members of a distinct indigenous social and cultural group and recognition of this identity by others;

b. Collective attachment to geographically distinct habitats, ancestral territories, or areas of seasonal use or occupation as well as to the natural resources in these areas;

c. Customary cultural, economic, social, or political systems that are distinct or separate from those of the mainstream society or culture; and,

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

11. The safeguard screening process can be based on literature review and secondary sources but would usually also include consulting experts on the local context. Safeguard screening may also involve consultations with affected communities, indigenous peoples' organizations, CSOs, and government representatives, as appropriate. In situations of uncertainty, disagreements, or controversy, the CI and IUCN Project Agencies may seek guidance from the GEF or GCF.

12. Once it has been determined that indigenous peoples are present in the project area, the Executing Agency 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 Agency 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 seeking 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 Agency undertakes a process of consultations with indigenous peoples during project preparation: to inform them about the project, fully identify their views, inform/adapt the project design, and to seek 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, including a process to seek FPIC. 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, etc.). he 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 Agency 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 CI and IUCN Project Agencies.

22. If a project also involves physical and economic displacement, a V-RAP and an IPP should be prepared in tandem and with the participation of affected indigenous communities. In cases where indigenous peoples are the sole or the overwhelming majority of direct project beneficiaries and the project focus is delivery of these benefits, a stand-alone IPP is not required; instead the elements of an IPP can be included in the overall project design document.

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 Agency (and any other agency) concerning indigenous peoples' issues;

j) If the Executing Agency 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 Agency is responsible for incorporating the policy requirements of the CI and IUCN Project Agencies into project design and executing the project in conformity with them. This includes defining monitoring indicators and reporting on progress of their achievement.

25. The CI and IUCN Project Agencies will monitor implementation of the project level ESMP and any IPP. The CI and IUCN Project Agencies will review and approve the ToR for ESIA and the ESIA Report. In addition, the CI and IUCN Project Agencies will review and approve the elements of project-specific IPPs and other measures concerning indigenous peoples in GEF/GCF-funded projects and will monitor the implementation of these plans. During project preparation and implementation, the CI and IUCN Project Agencies 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 CI and IUCN Project Agencies 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 (sex-disaggregated), social, cultural, and political characteristics of the affected indigenous peoples' communities, the land and territories that they have traditionally owned or customarily used or occupied, and the natural resources on which they depend;

b) 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) A plan of measures to ensure that indigenous peoples receive social and economic benefits that are culturally appropriate, including, if necessary, measures to enhance the capacity of the project executing agencies/entities to ensure that they are delivered and/or sustained;

g) When potential adverse project effects on indigenous peoples are identified, an appropriate 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 Agency 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.

k) Monitoring and reporting, that establishes reporting schedule. Definition of indicators and targets for each mitigation measure. Minimum indicators from the High-level action plan to be considered in the Plan are:

Mitigation measure	Indicator
MM4.1.1: Implement effective consultation processes with the affected indigenous peoples' communities to fully identify their views and to seek their FPIC for project activities affecting them, assessing risks and opportunities to improve the understanding of the local context and affected communities in order to incorporate them in ESIA.	**I4.1.1:** Number of ESIA developed that incorporate FPIC process.
MM4.1.2: Develop specific mechanism culturally appropriate and accessible to affected indigenous peoples as part of grievance redress mechanism, taking into account the availability of judicial recourse and customary dispute settlement mechanisms among indigenous peoples/communities.	**I4.1.2:** Number of grievance redress mechanisms which include specific mechanism culturally appropriate and accessible to affected indigenous peoples. **I4.1.3:** Number of grievances raised in the context of indigenous people engagement and participation process.
MM4.2: Develop an Indigenous Peoples Plan (IPP) describing measures to avoid adverse impacts and enhance culturally appropriate benefits that may have a direct or indirect impact on indigenous individuals or communities.	**I4.2.1:** Number of IPP developed.

Appendix 7.1: Letters from communities in support for EoIs

Please refer to letters in attached folder.

Annex 8: Environmental and Social Safeguard Screening Form to be used by subprojects to perform their final screening.

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

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

☐ **Secondary Screening** (check if performed at GEF Project Preparation Grant (PPG) Stage or GCF Project Preparation Facility (PPF) Stage

Guidance Notes

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

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

II. PROJECT CONTEXT
Project Location • Indicate where the project will take place AND provide a legible map highlighting the project intervention areas, towns/communities/indigenous territories, protected areas, and main rivers/watersheds):
Biological Context of Project Area • Indicate global significance (e.g. biodiversity hotspot, Ramsar site, Key Biodiversity Area) of the project area. • Identify endemic and IUCN Red Listed species. • Describe the environmental conditions of the area including pollution, threats to biodiversity, and natural disasters.
Socio-economic Context of Project Area • Describe the broad economic, social and cultural context of, and local communities living in, the area of the proposed project including information on number of men, women, indigenous people, disadvantaged/vulnerable/disabled groups, economic/livelihood activity, household income • Describe how men and women access, use, manage and govern the natural resources that the project seeks to focus on • Describe the extent of gender-based violence (GBV). Is GBV relatively high at the national and project level? Is the project planning to introduce activities that may perpetuate or exacerbate GBV?
Institutional Capacity • Describe the institutional experience in implementing environmental and social safeguards, gender and stakeholder engagement. • Indicate the number of staff dedicated (part/full-time) to safeguards, gender and stakeholder engagement. • Describe the capacity of the above staff (are they subject experts such as gender specialist or have they been trained in safeguards, gender and stakeholder engagement).
Additional Information • Describe any risks or factors that may affect or contribute to the project implementing safeguard measures/plans.

III. ESMF EXCLUSIONS

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

Will the project:		**Yes**	**No**
I.	Contravene major international and regional conventions on environmental issues?	☐	☐
II.	Propose to create or facilitate significant degradation and/or conversion of natural habitats of any type (forests, wetlands, grasslands, coastal/marine ecosystems, etc.) including those that are legally protected, officially proposed for protection, identified by authoritative sources for their high conservation value, recognized as protected by traditional local communities, or have significant negative socioeconomic and cultural impacts that cannot be cost-effectively avoided, minimized, mitigated and/or offset?	☐	☐
III.	Involve adverse impacts on critical natural habitats, including forests that are critical natural habitats, including from the procurement of natural resource commodities, except for adverse impacts on a limited scale that result from conservation actions that achieve a net gain of the biodiversity values associated with the critical natural habitat?	☐	☐
IV.	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?*	☐	☐
V.	Propose the introduction of species that can potentially become invasive and harmful to the environment, unless there is a mitigation plan to avoid this from happening?	☐	☐
VI.	Involve *involuntary resettlement, land acquisition, and/or the taking of shelter and other assets* belonging to local communities or individuals; through coercion and/or undue influence?	☐	☐
VII.	Contravene major international and regional conventions on human rights, including rights specific to indigenous peoples?	☐	☐
VIII.	Propose activities that result in the exploitation of and access to outsiders to the lands and territories of indigenous peoples in voluntary isolation and in initial contact?	☐	☐
IX.	Propose the use and/or procurement of materials deemed illegal under host country laws or regulations or international conventions and agreements, or subject to international phase-outs or bans, such as: a. ozone depleting substances, polychlorinated biphenyls (PCBs) and other specific, hazardous pharmaceuticals, pesticides/herbicides or chemicals; and b. wildlife or products regulated under the Convention on International Trade in Endangered Species or Wild Fauna and Flora (CITES)?	☐	☐
X.	ozone depleting substances, polychlorinated biphenyls (PCBs) and other specific, hazardous pharmaceuticals, pesticides/herbicides or chemicals?	☐	☐
XI.	wildlife or products regulated under the Convention on International Trade in Endangered Species or Wild Fauna and Flora (CITES)?	☐	☐

XII.	Propose the use and/or procurement of pesticides and hazardous materials that are unlawful under national or international laws, the generation of wastes and effluents, and emissions of short- and long-lived climate pollutants?	☐	☐
XIII.	Involves the removal, alteration or disturbance of any non-replicable or critical cultural heritage, or the use of any intangible cultural heritage without the Free, Prior and Informed Consent of the communities who it belongs to?	☐	☐

IV. SIMPLIFIED APPROVAL PROCESS (GCF Projects ONLY)

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

Will the project:		**Yes**	**No**
XIV.	Involve associated facilities[13] and require further due diligence of such associated facilities?	☐	☐
XV.	Involve trans-boundary impacts including those that would require further due diligence and notification to downstream riparian states?	☐	☐
XVI.	Adversely affect working conditions and health and safety of workers or potentially employ vulnerable categories of workers including women or child labor?	☐	☐
XVII.	Generate hazardous waste and pollutants including pesticides and contaminate lands that would require further studies on management, minimization and control and compliance to the country and applicable international quality standards?	☐	☐
XVIII.	Involve the construction, maintenance, and rehabilitation of critical infrastructure (i.e. dams, water impoundments, coastal and river bank infrastructure) that would require further technical assessment and safety studies?	☐	☐
XIX.	Involve the resettlement and dispossession, land acquisition, and economic displacement of persons and communities?	☐	☐
XX.	Be located in protected areas and areas of ecological significance including critical habitats, key biodiversity areas and internationally recognized conservation sites?	☐	☐
XXI.	Affect Indigenous Peoples that would require further due diligence, free, prior and informed consent (FPIC) and documentation of development plans?	☐	☐
XXII.	Be located in areas that considered to have archeological (prehistoric), paleontological, historical, cultural, artistic, and religious values or contains features considered as critical cultural heritage?	☐	☐

[13] Associated facilities are those that are not funded as part of the project, and that would not have been constructed or expanded if the project did not exist and without which the project would not be viable.

V. ENVIRONMENTAL AND SOCIAL SAFEGUARDS (ESS) SCREENING

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

ESS1: Environmental and Social Impact Assessment

Will the project potentially:

(a) cause significant adverse environmental and social impacts (which may affect an area broader than the project area) that are sensitive, diverse, or unprecedented; or

(b) cause adverse environmental and social impacts (which are site-specific and few if any of them are irreversible) on human populations or environmentally or socially important areas?

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

If TBD or Yes, please provide details here.

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

☐ NO
☐ YES (If Yes, answer the following)

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

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

ESS 2: Protection of Natural Habitats and Biodiversity Conservation

Will the project:
(a) involve adverse impacts on Critical Habitats[14], including forests that are Critical Habitats, including from the procurement of natural resource commodities, except for adverse impacts on a limited scale that result from conservation actions that achieve a Net Gain of the Biodiversity values associated with the Critical Habitat;
(b) contravene applicable international environmental treaties or agreements; or
(c) introduce or use potentially invasive, non-indigenous species?
(d) affect species identified as threatened at the local and/or global levels?
(e) implement habitat restoration activities?

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

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

ESS 3: Resettlement, Physical and Economic Displacement

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

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

If TBD or Yes, please provide details here.

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

ESS 4 : Indigenous Peoples [15]

Does the project plan to:

(a) work in lands or territories traditionally owned, customarily used, or occupied by indigenous peoples?

(b) cause impacts on land and natural resources, including restrictions on land use or loss of access to natural resources, subject to traditional ownership or under customary use or occupation, or the location of a project or program on such land or the commercial development of such natural resources;

(c) cause relocation of Indigenous Peoples from land and natural resources subject to traditional ownership, or under customary use or occupation; or

(d) cause significant impacts on an Indigenous People's cultural heritage that is material to the identity and/or cultural, ceremonial, or spiritual aspects of the affected Indigenous People's lives, or the use of such cultural heritage for commercial purposes;

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

If TBD or Yes, please provide details here.

ESS 5: Resource Efficiency and Pollution Prevention

Will the project:

(a) promote the trade in or use of any substances listed under the Stockholm Convention on Persistent Organic Pollutants, or other chemicals or hazardous materials subject to international bans, restrictions or phaseouts due to high toxicity to living organisms, environmental persistence, potential for bioaccumulation, or potential depletion of the ozone layer, consistent with relevant international treaties and agreements;

(b) generate wastes and effluents, and emissions of short- and long-lived climate pollutants;

(c) involve pest management measures, Integrated Pest Management or Integrated Management of Vectors and Intermediate Hosts;

(d) procure pesticides; or

(e) use energy, water and other resources and material inputs, where significant water consumption is involved and would cause adverse impacts on communities, other water users, and the environment?

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

If TBD or Yes, please provide details here.

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

ESS 6: Cultural Heritage[16]

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

☐ NO
☐ TO BE DETERMINED (TBD)
☐ YES

If TBD or Yes, please provide details here.

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

ESS 7: Labor and Working Conditions

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

(a) the fundamental rights of workers, consistent with the International Labour Organization's (ILO) Declaration on the Fundamental Principles and Rights at Work are respected and protected;

(b) written labor management procedures are established in accordance with applicable national laws;

(c) workers are provided with clear and understandable documentation of employment terms and conditions, including their rights under national law to hours of work, wages, overtime, compensation and benefits;

(d) workers are provided regular and timely payment of wages; adequate periods of rest, holiday, sick, maternity, paternity, and family leave; and written notice of termination and severance payments, as required under national laws and the labor management procedures;

(e) decisions relating to any aspect of the employment relationship, including recruitment, hiring and treatment of workers, are made based on the principles of non-discrimination, equal opportunity and fair treatment, and not on the basis of personal characteristics unrelated to inherent job requirements;

(f) appropriate measures are in place to prevent harassment, intimidation, and exploitation, and to protect vulnerable workers, including but not limited to women, children of working age, migrants and persons with disabilities;

(g) workers who participate, or seek to participate, in workers' organizations and collective bargaining, do so without interference, are not discriminated or retaliated against, and are provided with information needed for meaningful negotiation in a timely manner;

(h) forced labor and child labor are not used in connection with the project or program;

(i) occupational health and safety (OHS) measures are applied to establish and maintain a safe and healthy working environment, including supply chain workers;

(j) workers are informed of applicable grievance and conflict resolution systems provided at the workplace level; and

(k) workers may use these mechanisms without retribution, and the grievance and conflict resolution systems does not impede access to other judicial or administrative remedies available under the law or through existing arbitration procedures, or substitute for grievance systems provided through collective agreements?

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

If TBD or Yes, please provide details here.

ESS 8: Community Health, Safety and Security

Will the project:

(a) potentially expose communities including special needs, disadvantaged or vulnerable groups or Individuals in particular women and children to both accidental and natural hazards, particularly where the structural elements of the project or program are accessible to members of the affected community, or where their failure could result in injury to the community;

(b) be implemented in a conflict or post-conflict context;

(c) impact the provisioning and regulating ecosystem services that are directly relevant to community health and safety;

(d) expose community to health risks;

(e) create potential risks to communities by the use of rangers, eco-guards, or similar security personnel, whether armed or unarmed;

(f) create potential risks to rangers, eco-guards, or similar security personnel, whether armed or unarmed, in the course of performing their job/duties;

(g) potentially cause or exacerbate threats to human security through the risk of escalation of personal or communal conflict and violence; and

(h) procure equipment to support rangers, eco-guards etc. to carry out law enforcement?

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

If TBD or Yes, please provide details here.

ESS 9: Private Sector Direct Investments and Financial Intermediaries

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

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

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

1.1: Defined Project Elements	1.2: Time-frame	1.3: Geography	2: Climate Risks	3: Adaptive Capacity	4: Climate Risk Rating	5: Opportunities	6.1: Climate Risk Management Options	6.2: How Climate Risks Are Addressed in the Project	7: Next Steps for Activity Design/Implementation	8: Accepted Climate Risks
[List defined project elements]# Example: Improving livestock productivity.	[List time-frame] Example: 0-5 years	[List geog. scope] Example: Rural	[Enter description of climate risks] Example: Heat stress due to increasing extreme temperatures. Mortality from increasingly frequent/severe drought.	[Enter description of Information Capacity, Social and Institutional Capacity, Human Capacity, and Financial Capacity] Example: Farmers have low access to insurance and many do not have alternate sources of income.	[Enter rating for each risk: High, Moderate, or Low] Example: High	[Enter description] Example: Drought early warning systems. Conflict prevention with Democracy and Governance programs as water becomes scarcer. Leverage the government's increasing focus on climate change adaptation and agricultural extension.	[Enter management options for each climate risk] Example: Agricultural extension. Target support to more heat tolerant sheep/goats rather than cattle.	[Enter selected management options for each climate risk, if relevant] Example: Target support to more heat tolerant sheep/goats rather than cattle.	[Enter next steps for addressing risks in activity design/implementation, if relevant] Example: Analyze temperature projections in specific rural regions within the country in relation to heat tolerance of local sheep/goats.	[Enter if the risk is accepted and why, if relevant. This is required if 6.2 and 7 do not address this climate risk] Example: None.
Next step: Timeframe	Next step: Geog.	Next step: Climate Risks	Next step: Adaptive Capacity	Next step: Risk Rating	Next step: Opportunities	Next step: Risk Mgmt. Options	Next step: Selected Options	Next step: Next Steps	Next step: Accepted Risks	Finished!

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References

CI-GEF Project Agency. 2017. *Environmental and Social Management Framework (ESMF). Version 06*. Global Environment Facility, GEF.

IFC. Stakeholder Engagement: A Good Practice Handbook for Companies Doing Business in Emerging Markets.