



Inclusive Conservation Initiative

Environmental and Social Management Plan for:

Component 2: “Global IPLC Capacity Building”

Component 3: “IPLC Leadership in International Environmental Policy”

Component 4: “ICI Knowledge to Action”

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May 2021



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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 (ICI), 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**

This Environmental and Social Management Plan (ESMP) has been prepared specifically for **Components 2 to 4**, which 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; 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; and 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. Their expected outcomes are:

- ✓ **Outcome 2.1:** IPLC capacity substantially strengthened within and beyond ICI subproject geographies.
- ✓ **Outcome 2.2:** Cross-regional IPLC organization partnerships and networks strengthened through ICI Learning Exchanges.
- ✓ **Outcome 2.3:** IPLC organizational capacity increased to formulate sustainable financing strategies.
- ✓ **Outcome 3.1:** Strengthened influence of IPLCs in relevant regional and international decision-making processes.
- ✓ **Outcome 4.1:** The field of IPLC-led conservation advanced with improved knowledge management.
- ✓ **Outcome 4.2:** Expanded audience engaged in IPLC-led conservation.

Components 2-4 will be implemented involving the same sites that have been selected for implementation of component 1 of the ICI, as well as further sites that have not yet been identified. The selected subprojects for implementation of component 1 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 ESMP is to ensure that implementation of the planned 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 ESMP 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 Components 2 to 4.

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 it was determined that the Component 2 to 4 activities will not cause or enable to cause significant negative environmental and social impacts. Based on this conclusion, the Component is considered as **Category C** risk. For projects categorized as C, the Project Safeguard System does not require an ESIA action; however, specific project-level safeguard plans are required to strengthen the project compliance with the policies.

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 risks that were identified based on the available information as well as the corresponding action plan. Subsequent sections then include further detail on standard elements of accountability and grievances, stakeholder engagement, institutional capacities, gender mainstreaming as well as monitoring and evaluation.

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, and then the Stakeholder Engagement Plan (Annex 5) and Indigenous People Plan (Annex 5) are presented.

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, the Southern Cone, and the Congo Basin.

Components 2-4 will be implemented involving the same sites that have been selected for implementation of component 1 of the ICI, as well as further sites that have not yet been identified. The

selected subprojects are listed below; additional detail is provided in Section 2.4 and in Section 2 of the ProDoc.

- Fvta Mawiza Biocultural Territory (Argentina): in the province of Neuquén.
- Futa Mawiza Biocultural Territory (Chile): between the regions of Araucanía and Los Ríos.
- Southwest Amazon (Peru): Southwest Amazon. Corresponds to the Madre de Dios river basin (departments of Madre de Dios and Cusco) and includes four protected areas that are part of the Vilcabamba-Amboró Conservation Corridor.
- 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).
- Lau Seascape and Cook Islands (Cook Islands, Fiji).
- 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 ESMP

The main objective of the ESMP, including its Annexes, is **to ensure that implementation of the planned 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 Environmental and Social Management Plan focuses specifically on Components 2-4, the three global cross-cutting components. A separate Environmental and Social Management Framework has been developed for Component 1 (field-based subprojects). Therefore, while this document provides some background on the subproject geographical areas for context, it addresses relevant safeguards and safeguard measures only for Component 2 (on Capacity Building), Component 3 (on Global Policy) and Component 4 (on Knowledge and Communications).

Before identified risks and mitigation measures are presented, the document introduces to the project information (section 2) and the applicable social and environmental standards (section 3). Section 4 summarizes the status of each of the participant countries of the already identified sites with regards to the international law and commitments relevant to the applicable safeguards. Section 5 is the core of the document that includes the results of the initial screening and the action matrix. Subsequent sections then include further detail on standard elements of Environmental and Social Management Plans, including accountability and grievances, stakeholder engagement, as well as monitoring and evaluation. The annex includes draft versions of topical management plans, i.e., Stakeholder Engagement Plan.

It is important to note that these components are global and IPLCs from many more countries will participate in their implementation. In this sense, this ESMP presents information from the project sites

already confirmed but it will be expanded to other territories once the entire scope of these components will be confirmed.

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 7,615,066 hectares 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 CO₂ (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.

2.3. Description of Components 2-4

The expected Outcomes and Outputs of Components 2 to 4, for which this ESMP has been prepared are presented in the table below and subsequently described.

Table 1: Project components, and expected Outcomes and Outputs

Components	Expected Outcomes	Expected Outputs
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.	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. 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.

Components	Expected Outcomes	Expected Outputs
		<p>Output 3.1.2: ICI International Environmental Policy Negotiations Curricula developed and delivered.</p> <p>Output 3.1.3: ICI International Environmental Policy Fellows Program established and supported.</p> <p>Output 3.1.4: IPLC representation and recognition increased at the Rio Conventions and other relevant international conventions and platforms.</p>
<p>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.</p>	<p>Outcome 4.1: The field of IPLC-led conservation advanced with improved knowledge management.</p>	<p>Output 4.1.1: ICI Knowledge Management Platform established.</p> <p>Output 4.1.2: ICI Knowledge Products developed with IPLC organizations.</p> <p>Output 4.1.3: ICI Community of Practice established and supported.</p>
	<p>Outcome 4.2: Expanded audience engaged in IPLC-led conservation.</p>	<p>Output 4.2.1: ICI communications strategy developed based on needs assessment.</p> <p>Output 4.2.2: ICI Communications Program executed.</p> <p>Output 4.2.3: ICI communications training provided to project partners, reflecting gender mainstreaming.</p>

Component 2: Global IPLC Capacity Building: Strengthening IPLC capacity to improve management of lands and territories and increase access to public and long-term sustainable financing mechanisms.

Capacity building will ensure ICI project outcomes and the long-term sustainability of IPLC-led conservation from local to global levels. Component 2 focuses on increasing the sustainability of capacity-building investments and magnifying their reach by:

- Creating the tools, knowledge resources and platforms that will support and increase IPLC access to learning at all levels of the ICI.
- Involving a wider range of IPLC organizations and networks, from within and beyond project geographies.
- Building and certifying the organizational capacity of IPLC institutions in order to grow and secure financing for future work beyond the project term.

To 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 centre. 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.

A brief description of the outputs under Components 2 are listed below.

Table 2: Description of Outputs in Component 2

Outputs	Description
Outcome 2.1.: IPLC capacity substantially strengthened within and beyond ICI subproject geographies	
Output 2.1.1.: ICI Learning Academy Curricula designed.	The project will identify priorities for ICLA curricula, drawing on the ICPG partner needs assessments in Output 1.2.1 as well as consultations and learning from other IPLC capacity-building partners and initiatives. Based on these priorities, the project will design course materials and also identify and create links to existing capacity building resources available from other organizations. Curricula design will include the tools and modules for capacity building of ICI subproject lead organizations where needed to strengthen their ability to manage the ICPG investments. Social inclusion and gender components will be included in all capacity building programs.
Output 2.1.2.: IPLC Inclusive Conservation Learning Academy established.	The ICLA, a virtual learning center, will house culturally appropriate tools, modules and programs to support and expand organizational and technical global capacity-building of IPLC organizations, including by compiling and building on existing relevant materials. The ICLA will be part of the Knowledge Platform established under Component 4 as a repository for project publications, documents and communication products. To avoid duplication and enable longer-term sustainability, learning modules will be hosted on a dedicated section of the UNDP Learning for Nature platform. Modules will standardize the quality of content delivered in ICI and include the spectrum of topics, formats and learning methods suitable to address the capacity building needs of IPLCs according to the findings from Output 2.1.1., ensuring use of culturally appropriate formats and languages. ICLA will also make core content available offline if possible where internet access is limited.

Outputs	Description
Output 2.1.3.: Organizational Development and Capacity Building of IPLC organizations delivered through the ICLA.	Supported by the resources of ICLA, IPLC organizations with capacity building expertise or EA staff will deliver the capacity building activities following the needs identified and the plans developed and identified in Output 2.1.1. Online courses will be a primary mode of delivery, and trainings will also be linked to other in-person project activities such as workshops, learning exchanges, or sessions conducted locally by experts in the subproject areas. All capacity building activities will be culturally appropriate and will utilize methods best suited to the context of the ICPG and other IPLC organizations. Executing Agencies will participate in organizational and professional development, based on their needs assessment, throughout the life of the project. The EAs will also reach out to IPLC organizations that are not directly involved with ICI subprojects to participate in the capacity building program and expand the influence of ICI models.
Output 2.1.4: Learning Evaluation completed of IPLC Inclusive Conservation Learning Academy.	The project will evaluate the results of ICI capacity building and its effect on enhancing the performance of on-the-ground conservation projects. This evaluation will be conducted at the ICI project mid-term to document achievements and challenges related to ICI capacity building objectives, build the evidence base on how IPLC-led conservation works in practice, and identify opportunities and actions to sustain Inclusive Conservation learning activities beyond the project term. This evaluation will include assessment of the skills developed by participating IPLC organizations, such as by spot checking financial statements or reviewing management plans.
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.	Building on stakeholder mapping conducted as part of Impact Strategy development for each subproject, the project will undertake mapping of additional IPLC partners and networks that could contribute to the IPLC Learning Exchanges as well as to the ICI Community of Practice (Component 4). This mapping will be conducted with the participation of leading IPLC networks and will provide a basis for engagement with and outreach to IPLC organizations within and beyond the subprojects in order to build linkages, enhance cross-learning and strengthen inclusive collaborations for IPLC-led conservation. The project defines “inclusive” to include gender mainstreaming.
Output 2.2.2: Inclusive Conservation Learning Exchanges delivered.	CI, IUCN and subproject IPLC organizations will consult with wider IPLC networks and the ICI Steering Committee to define topics for Learning Exchanges. Learning Exchanges will include IPLC participants from beyond ICI subproject geographies to draw on and link to their wider experience and areas of expertise. Sessions will be linked to IPLC-led project objectives, such as livelihoods

Outputs	Description
	development, sustainable forest management, or rights and inclusion. The Learning Exchanges will be designed and organized to be gender inclusive and will also contribute to fostering the ICI Community of Practice under Component 4.
Outcome 2.3: IPLC organizational capacity increased to formulate sustainable financing strategies	
Output 2.3.1: Financial Opportunity Analysis completed	The ICI will contract dedicated expertise to conduct an Opportunity Analysis to identify long-term finance mechanisms and impact investment opportunities in subproject geographies. The analysis will define which financial mechanisms are appropriate to the subproject context and to identify potential partners and sustainable finance investors to support the development of long-term financing mechanisms.
Output 2.3.2: Capacity Building in Sustainable Financing delivered.	The ICI will support capacity building of IPLC organizations to understand sustainable financing options, how different mechanisms function, and the types of investors, partners or government agencies who will fund them. Drawing on capacity with respect to sustainable financing within CI and IUCN, supplemented by additional expertise as needed, the ICI will include relevant learning modules through the ICLA. Capacity-building activities under this output will include targeted training sessions and technical support to refine and execute sustainable financing strategies. The ICI will compose a panel of sustainable financing experts to review the strategies and inform their joint implementation by ICI and IPLC organizations.

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.

Table 3: Description of Outputs in Component 3

Outputs	Description
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.	The ICI project will work with existing and emerging IPLC policy platforms to enhance engagement and coordinate participation across conventions. The purpose of this output is to increase synergies of various efforts relating to the Rio Conventions that affect IPLCs. The ICI will carry out this work in conjunction with platforms and forums actively engaged at the Rio and other relevant Conventions and global fora, including recognized entities such as the IIPFB, IIPFCC and others. ICI will work with these bodies to facilitate communications, provide training on policy engagement, and convene pre-conference preparatory meetings to maximize the impact of IPLC participation in global policy processes. In cases where leading coordination bodies have not yet emerged (e.g. the Minamata Convention), the ICI team will work with partners to fill this gap.
Output 3.1.2: ICI International Environmental Policy Negotiations Curricula developed and delivered.	Capacity building to enhance negotiation skills will be delivered through this Output. Attendance at the conventions will provide hands-on experience of the workings of the Rio Conventions and scoping of other relevant conventions where IPLC voices are needed, such as the Minamata Convention and CITES. ICI capacity building resources in the ICLA will support delivery of this output, as will training offered by IPLC policy forums and caucuses. The focus will be on targeted engagement working in conjunction with the above-mentioned bodies, based on clear policy objectives and communication goals, and on skills to link global policy engagement to national policy engagement within the subproject geographies.
Output 3.1.3: ICI International Environmental Policy Fellows Program established and supported.	The ICI International Environmental Policy Fellows Program will recruit 15 IPLC participants to focus on building the next generation of female and male leaders in IPLC policy advocacy, building on experiences such as CI's Indigenous Leaders Conservation Fellowship. The Program will select one-year fellowship recipients through annual calls for applications emphasizing specific themes. The topics of the themes remain to be finalized and sequenced, and will be subject to Steering Committee approval, but will include themes that are broadly relevant across most ICI subprojects such as the CBD, ICCAs, and the Minamata Convention. Applicants will be asked to indicate how issues under the theme are affecting their communities; what related activities they intend to pursue within their communities; and how they will use their community-level experience to inform regional or global policy engagement. Selection of the Fellows will be managed by CI and IUCN, with final selection made by the ICI Steering Committee. The selection criteria will be finalized with Steering Committee input by the second quarter of the first year of the implementation phase but will pursue gender

Outputs	Description
	inclusivity while expanding the group of skilled IPLC policy advocates able to influence environmental policy. The Fellowship will include concrete deliverables such as participation in ICLA training and global networks, reporting on community projects and policy engagement, and contributions to communications materials. ICI support through the Fellowship will include small budgets for community-level projects and stipends to enable participation in Fellowship gatherings and global policy events.
Output 3.1.4: IPLC representation and recognition increased at the Rio Conventions and other relevant international conventions and platforms.	The ICI will work with existing IPLC Policy platforms and caucuses and other partners to organize high-level events and networking opportunities at policy meetings prioritized by IPLC partners (for example, these may include the Minamata Convention, Rio Conventions, CITES, Equator Initiative, New York Declaration on Forests, DGM, IUCN, ICCA Consortium). IPLC representatives will share lessons from project activities related to biodiversity conservation, climate mitigation and sustainable livelihoods, highlighting the relevance of large-scale, on-the-ground action by IPLCs to international environmental policy. By convening IPLC representatives at these events, they will be able to align messaging and communications and harmonize policy engagement strategies.

Component 4: ICI Knowledge to Action: Transforming Inclusive Conservation Knowledge and Lessons Learned into demonstration models that expand support and advance the 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 communications 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.

Table 4: Description of Outputs in Component 4

Outputs	Description
Outcome 4.1.: The field of IPLC-led conservation advanced with improved knowledge management.	
Output 4.1.1: ICI Knowledge Management Platform established.	The ICI Knowledge Management Platform will host the evidence base (increased by this project) for large-scale impacts from IPLC-led projects, and disseminate Inclusive Conservation results to local and global audiences in culturally appropriate and inclusive formats and languages. The Knowledge Management Platform will build on



Outputs	Description
	<p>existing successful IPLC learning platforms and activities such as the IUCN Panorama and Gender and Environment Resource Center. It will provide access to the ICI Learning Academy developed under Component 2 and hosted on UNDP Learning for Nature, gather and share knowledge resources on Inclusive Conservation approaches, experience and results, and serve as a virtual hub for the ICI Community of Practice. The Platform will also link to other relevant knowledge sources such as the ICCA Registry, the US National Aeronautics and Space Administration’s (NASA’s) Earth Observations for Indigenous-led management, the DGM Global Network, the IUCN/TRAFFIC/International Institute for Environment and Development (IIED) learning platform People Not Poaching, and IUCN Panorama among others. Working in collaboration with the “Friends of ICI” advisory group, the Knowledge Platform will serve as a go-to resource on inclusive conservation and ensure broad ownership of the approach and related knowledge resources.</p>
<p>Output 4.1.2: ICI Knowledge Products developed with IPLC organizations for local application in multiple languages and culturally appropriate formats.</p>	<p>The project will generate evidence, lessons learned, best practices and innovative solutions to deliver GEBs through IPLC-led conservation. It will also explore and pursue opportunities for global analysis to fill knowledge gaps and marshal impactful evidence. To advance the global state of knowledge with respect to IPLC-led conservation, Knowledge Products will be tailored for particular audiences and applications, including preparation of materials in multiple languages and culturally appropriate formats. These materials will be available not only to IPLCs, but also to the wider range of stakeholders (e.g. government agencies, NGOs, etc.) with an interest in IPLC-led conservation. These materials will be available not only to IPLCs, but also to the wider range of stakeholders (e.g. government agencies, NGOs, etc.) with an interest in IPLC-led conservation. In addition to being hosted on the Knowledge Platform, information will be disseminated through a variety of methods and platforms, including written publications, radio/audio programs, video storytelling, blogs, webinars and social media. ICI subproject lead organizations and ICI International Environmental Policy Fellows will be encouraged to organize community meetings to share project activities and results, and to engage government, private sector and other stakeholders and partners to enable sharing and expansion of ICI models.</p>
<p>Output 4.1.3: ICI Community of Practice established and supported.</p>	<p>The ICI Community of Practice will bring together subproject grantees and other organizations and networks working to achieve common Inclusive Conservation goals. To ensure wide outreach, the Community of Practice will sponsor virtual interactions, such as webinars, facilitated through the Knowledge Management Platform. The Community of Practice will also connect participants through other in-person project activities such as the ICI Learning Exchanges (Outcome 2.2) and other global policy events or partner initiatives (such as the Equator Initiative), By participating in the Community of Practice, IPLC organizations will be empowered with substantive information they can use in their own activities to achieve IC and IPLC objectives and will further strengthen their networks and collaborations with other IPLC organizations and international partners. The Community of Practice will enable ICI subproject lead organizations to discuss management methods and progress toward</p>

Outputs	Description
	their impact targets for improving IPLC-led biodiversity conservation and share methodologies and results of the ICI within and beyond project geographies. The project will work with members of the “Friends of ICI” advisory group to leverage support for continuation of the Community of Practice beyond the project term, including to further advance inclusive conservation approaches in the GEF-8 period.
Outcome 4.2.: Expanded audience engaged in IPLC-led conservation	
Output 4.2.1: ICI communications strategy developed based on needs assessment.	The ICI will contract a consultant to conduct a needs assessment to understand key audiences and address communication gaps and develop a communications strategy. The scope of the communications strategy will be the ICI as a whole, taking into consideration targeted contributions to the subproject Impact Strategies. The messages and communications channels identified will seek to expand awareness of and support for gender-responsive ICI models and approaches at subproject and global levels. The ICI communications strategy will also complement and reinforce activities relating to empowerment of IPLC participation in international fora and policy processes.
Output 4.2.2: ICI Communications Program executed.	Based on the Communications Strategy, the ICI will execute a comprehensive and consistent Communications Program to address communications needs at subproject and global levels and ensure the flow of information within the project and to outside audiences and stakeholders. ICI will develop guidance on standard communications products (logo, templates, photography), communication channels (website, social media, blogs, press releases), and key messaging for use by all project partners.
Output 4.2.3: ICI communications training provided to project partners	Each ICI subproject lead organization will be required to identify a communications lead who will act as point person for ICI communications. The subproject communications leads will receive training on the implementation of the ICI Communications Program (including messaging, social media management, crisis communications, and performance analytic tools), to ensure consistent messaging and presentation across all the subprojects. The training also will provide opportunities to fine tune alignment between subproject communications needs and activities and the ICI Communications Program.

2.4. Sites for implementation of Components 2-4

Components 2-4 of the ICI will involve individuals and organizations from the subproject geographies where component 1 will be implemented, but also individuals and organizations from beyond these geographies. Since the full range of individuals and organizations will be identified in the course of project implementation, the information provided in this section refers to the sites currently identified.

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. These criteria were related to i) experience and strengths relevant to the proposed Indigenous territory, landscape/seascape; ii) quality and ability of the proposed approach and

interventions to achieve transformational impact that generate the global environmental benefits; and iii) qualifications and experience of the Organization.

In the context of components 2-4 of the ICI, the connectivity situation in the selected subproject geographies is of special importance due to the implications it could have in the implementation of the activities. Therefore, the connectivity conditions reported by each subproject are described below. These connectivity details were sourced from the additional information requested from the local EAs by CI and IUCN. However, since this is a global component that will also be implemented in other geographies, the connectivity situation will have to be assessed in each of these additional cases.

❖ **Connectivity in the Fvta Mawiza Biocultural Territory (Argentina):**

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.

❖ **Connectivity in the Fvta Mawiza Biocultural Territory (Chile):**

As described above, there is a stable and constant connection to different types of communication. However, due to the high portion of rural communities, access may be more challenging. Curarrehue and Panguipulli on the Chilean side stand out for that, here spaces with a stable connection should be sought, and a census of the companies that have an area of influence in their network in these more remote places be conducted.

❖ **Connectivity in the Southwest Amazon (Peru):**

FENAMAD reports that the EEs count with the means and capacity to communicate and articulate.

❖ **Connectivity in the Annapurna Conservation Area (Nepal):**

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.

❖ **Connectivity in the Indigenous Territories Ru K'ux Abya Yala (Guatemala, Panama):**

No information on connectivity has been provided.

❖ **Connectivity in the Ewaso Ng'iro River Basin (Kenya):**

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.

❖ **Connectivity in Northern Tanzania (Tanzania):**

The target areas are remote and, in most cases, not accessible on local phone let 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.

❖ **Connectivity in the DR Congo (Democratic Republic of Congo):**

The three 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.

❖ **Connectivity in the Lau Seascape and Cook Islands (Cook Islands, Fiji):**

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.

❖ **Thailand (Thailand):**

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.

2.5. Institutional framework for implementation of Components 2-4 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.

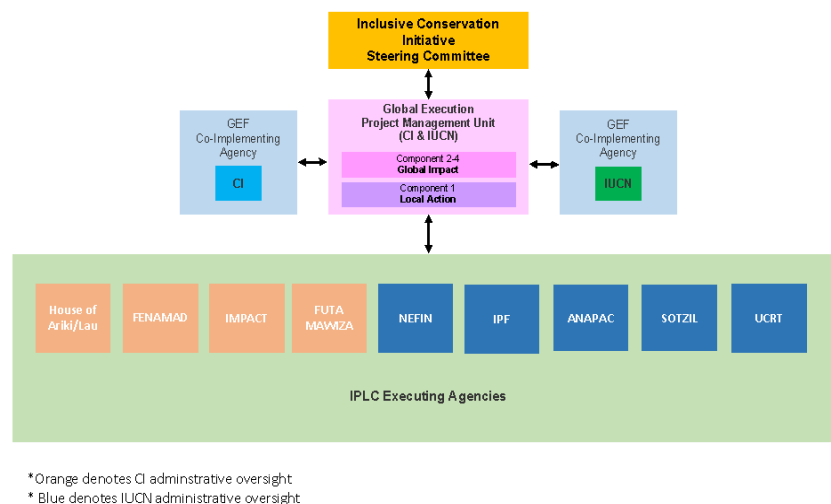
The primary focus of ICI delivery and financing is to nine ICI subprojects. IPLC Executing Agencies leading each of these nine ICI subprojects have been pre-selected as part of the project preparation process and will be contracted through sub-grants in the first phase of implementation (Output 1.1.1). 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



- **Steering Committee:** A Global Steering Committee (GSC) will lead the governance of the ICI. As outlined in the Global Steering Committee ToR (see 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. To facilitate successful project execution, GSC 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 GSC 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 GSC 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. However, the same 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.

- IPLC Executing Agencies of the nine subprojects are:
 - Fundación Ambiente y Recursos Naturales (Argentina).
 - El Observatorio Ciudadano (Chile)
 - Sotz'il (Guatemala) – leading the regional consortium of organizations in Guatemala and Panama.
 - FENAMAD (Peru)
 - 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)
- Advisory Committee: ICI will establish an advisory committee to provide periodic advice and promote synergies with other complementary projects. Terms 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/GCF 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 both the GEF and GCF 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 5.

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

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 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 Project Agencies and the Executing Agency in the safeguard process during project identification, preparation, and implementation:

Figure No. 1 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-level 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 to outsiders to the lands and territories of indigenous peoples in voluntary isolation and in initial contact;
9. Propose the use and/or procurement of materials deemed illegal under host country laws or regulations or international conventions and agreements, or subject to international phase-outs or bans, such as:
 - a. Ozone depleting substances, polychlorinated biphenyls (PCBs) and other specific, hazardous pharmaceuticals, pesticides/herbicides or chemicals;
 - b. Wildlife or products regulated under the Convention on International Trade in Endangered Species or Wild Fauna and Flora (CITES);
10. Propose the use and/or procurement of pesticides and hazardous materials that are unlawful under national or international laws, the generation of 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/GCF Agencies have not been accredited for the GEF Minimum Standard 7, Safety of Dams).

The CI and IUCN 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 and IUCN Project Agencies will be responsible for ensuring appropriate response.

Table 5: 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.	<ul style="list-style-type: none"> • To comply with this Standard, the CI-GEF/GCF 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/GCF 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/GCF 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/GCF 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/GCF 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.

		<ul style="list-style-type: none"> • 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.
<p>ESS 2: Protection of Natural Habitats and Biodiversity Conservation</p>	<p>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.</p>	<ul style="list-style-type: none"> • To protect natural habitats and in accordance with international agreements, the CI-GEF/GCF 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).

		<ul style="list-style-type: none"> • 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.
<p>ESS 3: Resettlement and Physical and Economic Displacement</p>	<p>To avoid, minimize, mitigate and/or compensate the potential adverse socioeconomic and cultural impacts of resettlement processes and displacement that some projects might create.</p>	<ul style="list-style-type: none"> • This Standard applies to situations involving: <ul style="list-style-type: none"> 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: <ul style="list-style-type: none"> a) Any gaps of past activities against this Standard; and 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: <ul style="list-style-type: none"> 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;

		<ul style="list-style-type: none"> 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. <ul style="list-style-type: none"> • Where economic displacement occurs, affected persons with title or a claim recognizable under national law shall be provided with: <ul style="list-style-type: none"> 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.
<p>ESS 4: Indigenous Peoples</p>	<p>To ensure that:</p>	<ul style="list-style-type: none"> • ESS4 is informed by CI’s Institutional Policy/Rights Based Approach, “Indigenous Peoples and Conservation International”, which is aligned with IUCN’s Indigenous Peoples policies, states that

<p>a) Projects respect indigenous peoples' rights, including their rights to Free, Prior, and Informed Consent (FPIC);</p> <p>b) Indigenous peoples involved in the design of the project receive culturally appropriate benefits that are negotiated and agreed upon with the affected peoples;</p> <p>c) Potential adverse impacts are avoided or adequately addressed or negotiated and agreed upon through a participatory and consultative approach; and</p> <p>d) The implementation of the project, any required Indigenous Peoples Plan or Framework, and project benefits are monitored by qualified professionals.</p> <p>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.</p>	<p>must respects 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).</p> <ul style="list-style-type: none"> • All funded projects are required to: <ul style="list-style-type: none"> a) Conduct safeguard screening for indigenous peoples as early as possible during the project preparation phase; b) Implement effective participation of indigenous peoples in the preparation of environmental and social impact assessments to assess risks and opportunities and to improve the understanding of the local context and affected communities; c) Implement effective consultation processes with the affected indigenous peoples' communities to fully identify their views and to seek their FPIC for project activities affecting them. FPIC builds on and expands the process of meaningful consultation described in Policy 3 of this ESMF (Stakeholder Engagement) and will be established through good faith negotiation between the Executing Agency 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.
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		<ul style="list-style-type: none"> • 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.
<p>ESS 5: Resource Efficiency and Pollution Prevention</p>	<p>The objectives of this Standard are as follows:</p> <p>a) To avoid or minimize adverse impacts on human health and the environment by avoiding or minimizing pollution from project activities;</p> <p>b) To promote more sustainable use of resources, including energy and water;</p> <p>c) To reduce project-related emissions of Greenhouse Gas (GHG);</p> <p>d) To avoid or minimize generation of hazardous waste; and</p> <p>e) To minimize and manage the risks and impacts associated with pesticide use.</p> <p>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.</p>	<ul style="list-style-type: none"> • 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), • 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/GCF 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/GCF 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

		<p>renewable and low-carbon energy sources; energy efficiency; and ecosystem-based adaptation and mitigation measures.</p> <ul style="list-style-type: none"> • 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 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.
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<p>ESS 6: Cultural Heritage</p>	<p>To ensure that cultural resources, both tangible and intangible, are appropriately preserved and their destruction or damage is appropriately avoided.</p>	<ul style="list-style-type: none"> • Among other requirements. • 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 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.
<p>ESS 7: Labor and Working Conditions</p>	<p>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.</p>	<ul style="list-style-type: none"> • 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: <ol style="list-style-type: none"> 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) The elimination of all forms of forced or compulsory labor.

	<p>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.</p> <p>155. The ESS applies to workers directly engaged by the Executing Agency, including direct workers, contracted workers, as well as workers engaged by the Executing Agency's primary suppliers (primary supply workers).</p>	<ul style="list-style-type: none"> • 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/GCF 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: <ul style="list-style-type: none"> a) Identification of potential hazards to workers, particularly those that may be life threatening; b) Provision of preventive and protective measures, including modification, substitution, or elimination of hazardous conditions or substances; c) Training of workers and maintenance of training records; d) Documentation and reporting of occupational accidents, diseases and incidents; e) Emergency prevention and preparedness and response arrangements to emergency situations; and f) Remedies for adverse impacts such as occupational injuries, deaths, disability and disease. • 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/GCF 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/GCF 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.
<p>ESS Community</p>	<p>8: To ensure that risks or potential impacts to the health, safety and</p>	<ul style="list-style-type: none"> • 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:

<p>Health, Safety and Security</p>	<p>security of project-affected communities are identified, avoided and mitigated.</p> <p>ESS 8 encourages an integrated risk assessment. The health, safety, and security of project affected people must be assessed and mitigated as interconnected 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 or intensification of impacts due to project activities.</p> <p>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.</p>	<ol style="list-style-type: none"> 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. <ul style="list-style-type: none"> • 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
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		<p>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.</p> <ul style="list-style-type: none"> • Where a project requires the engagement of security providers/personnel, the Executing Agency/Entity will ensure that such security arrangements do not violate international human rights standards or principles. 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.
<p>ESS 9: Private Sector Direct Investment and Financial Intermediaries</p>	<p>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).</p> <p>The nature of financial intermediation means that the FIs will assume delegated responsibility for environmental and social assessment, risk</p>	<ul style="list-style-type: none"> • 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: <ol style="list-style-type: none"> 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.

	<p>management and monitoring as well as overall portfolio management. The effectiveness of the FI's environmental and social risk management will be evaluated and monitored by the CI-GEF/GCF and IUCN Project Agencies on a continuous basis throughout the project lifecycle in line with the requirements of this ESMF.</p>	<ul style="list-style-type: none"> 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. <ul style="list-style-type: none"> • Among other requirements.
<p>ESS 10: Climate Risk and Related Disasters</p>	<p>The purpose of this Standard is to:</p> <ul style="list-style-type: none"> a) Ensure alignment of CI GEF/GCF projects with the goals of the Paris Agreement and other international frameworks; b) Ensure that proposed activities are screened and assessed for climate change and disaster risks and impacts both of-and-to projects; c) Apply the mitigation hierarchy in project design; d) Strengthen resilience of communities to address risks of climate change impacts and climate related disasters; and, e) Increase the ability of communities to adapt to the adverse impacts of climate change, and foster climate 	<ul style="list-style-type: none"> • Climate change analysis (impact of climate change on projects): The CI-GEF/GCF 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/GCF 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. • 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 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/Entity must seek to reduce direct as well as indirect greenhouse gas emissions.

	resilience and low greenhouse gas emitting projects that do not threaten food production.	
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Regarding other policies included in this PSS, the below table provides their main purpose:

Policies	Purpose
Policy 2: Gender Mainstreaming	To mainstream gender through designing, implementing, and monitoring projects in such a way that projects: <ul style="list-style-type: none"> 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: <ul style="list-style-type: none"> 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/GCF 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 ESMP.

This chapter provides an 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 initially 9 subprojects selected for Component 1 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 during program execution. The present ESMP provides the international law perspective to provide an indication of the ambition of the countries of already identified territories, while the program will need to make the same identification at the inception phase for the not yet identified ones, to potentially highlight safeguards topics that may need particular attention in certain countries, and to allow for a high-level comparison between sites. It is important to note that additional territories will be part of these components; in this sense, once the entire scope will be defined more details will be incorporated.

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).

Table 6: International conventions, treaties and or processes ratification of completion per country (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)

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	Light Green	Light Green	Light Green	Light Green	Light Green	Light Green	Light Green	Light Green	Light Green	Light Green	Light Green	Light Green
American Convention on Human Rights 1969	All	Light Green	Light Green	Light Green	Light Green	Light Green	White	White	White	White	White	White	White
Additional Protocol to the American Convention on Human Rights in the Area of Economic, Social and Cultural Rights (Protocol of San Salvador) (1988)	All	Light Green	Orange	Light Green	Light Green	Light Green	White	White	White	White	White	White	White
African Charter on Human and Peoples' Rights	All	White	White	White	White	White	White	Light Green	Light Green	Light Green	White	White	White
Sustainable Development Goals	All	Light Green	Light Green	Light Green	Light Green	Light Green	Light Green	Light Green	Light Green	Light Green	Light Green	Light Green	Light Green
Convention on the Elimination of all Forms of Discrimination Against Women (CEDAW)	ESS 1	Light Green	Light Green	Light Green	Light Green	Light Green	Light Green	Light Green	Light Green	Light Green	Light Green	Light Green	Light Green
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	White	White	White	White	White	White	Light Green	Light Green	Light Green	White	White	White
Eight core ILO Conventions	ESS 4, 7	Light Green	Light Green	Light Green	Light Green	Light Green	Orange	Orange	Light Green	Light Green	Light Green	Orange	Orange
ILO Convention no 169	ESS 4	Light Green	Light Green	Light Green	Light Green	Light Green	Light Green	Dark Red	Dark Red	Dark Red	Light Green	Dark Red	Dark Red
United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP)	ESS 4	Orange	Orange	Orange	Orange	Orange	Orange	Dark Red	Orange	Orange	Orange	Orange	Orange

International treaty / convention / Declaration / Voluntary submission	Safeguard correspondence	Argentina	Chile	Peru	Guatemala	Panama	Nepal	Kenya	Tanzania	Democratic Rep. Congo	Fiji	Cook Islands	Thailand
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												
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 ESMP, 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 comply of ESMF exclusions list and safeguards that the project may likely trigger. Related to ESMF exclusions list the project do not contravene, propose or it is involved in any activity identify in this list.

The following table presents the results related to safeguards triggered by ICI project Components 2-4.

Table 7: Results of initial screening of the subprojects

Safeguard Triggered	Yes	No	Disclosure
ESS1: Environmental and Social Impact Assessment		X	ESMP
Justification: ICI project Components 2-4 are focused on achieving outputs on matters such as peer learning, network building, knowledge sharing and training and improving financial and project management capacity. As such, no significant environmental or social impacts are anticipated.			
ESS 2: Protection of Natural Habitats and Biodiversity Conservation		X	ESMP
Justification: ICI project Components 2-4 are focused on achieving outputs on matters such as peer learning, network building, knowledge sharing and training and not activities that could directly result in adverse impacts on natural habitats or biodiversity.			
ESS 3: Resettlement, Physical and Economic Displacement		X	ESMP
Justification: ICI project Components 2-4 are focused on achieving results on matters such as peer learning, network building, knowledge sharing, international policy development and training and not activities that could directly result in any disruption of people or communities.			
ESS 4: Indigenous Peoples	X		ESMP
Justification: In relation to criteria (a) work in lands or territories traditionally owned, customarily used, or occupied by indigenous peoples and (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 harmful impacts on Indigenous peoples from Component 2-4 activities are expected. However, through Components 2-4 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 to enrich peer learning, knowledge management and inform environmental policy. Increased involvement of Indigenous Peoples and Local Communities in such fora would also likely support their empowerment by providing access to an audience closely linked to international and national decision-making. These activities will be organized and overseen by the Implementing Agencies at			

global level together with the Indigenous EAs. The overall impact from Components 2-4 will thus be positive.

ESS 5: Resource Efficiency and Pollution Prevention		X	ESMP
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Justification: No activities of Components 2-4 will involve productive activity or physical construction and there is no possibility that there will be any circumstances of large-scale resource inefficiency or pollution. Nevertheless, decision making related to resource efficiency and Component 2-4 activities needs to be taken seriously but in a different direction than described in ESS 5. ICI partners will be expected to look for opportunities to reduce waste such as the unnecessary use of paper and other materials. Where possible, preference should be given in the selection of event locations to physical spaces that embrace the concept of sustainability through energy and water efficiency, constructed with sustainable materials minimizing waste and incorporating natural features. As part of the training and capacity building elements under Components 2-4, it is expected that digital packets will be provided but, in many cases, materials for IPLC participants will also need to be printed. In addition, it may be necessary to acquire electrical devices, such as cameras, recording devices, and tablets. It will be important in relation to all these circumstances to limit purchases and printing, maximize energy efficiency, use digital platforms and where possible, ensure recycling procedures are in place and used.

ESS 6: Cultural Heritage	X		ESMP
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Justification: It is expected that Components 2-4 will make a positive contribution to promoting cultural practices (knowledge and skills) that are socially, and environmentally beneficial in a focused manner through activities such as peer learning, network building, and knowledge sharing and contributing to international environmental policies. To ensure that the contribution of Components 2-4 are indeed positive vis a vis Indigenous cultural heritage, measures will have to be taken in areas such as protecting Intellectual Property rights.

ESS 7: Labor and Working Conditions	X		ESMP
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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 Components 2-4 learning exchanges and development and/or delivery of training modules will be sub-contracted and at this stage it is not clear, whether and to what extent sub-contractors also have instruments in place to ensure adherence with the standard. The ESMP 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.

ESS 8: Community Health, Safety and Security	X		ESMP
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Justification: The activities of Component 2 to 4 do not intend to create any risk to participants or community members or other stakeholders. However, the ESMP/ESMF will include precautionary measures to ensure that Component 2-4 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 training and capacity building events under Components 2-4. To this end, safety and security plans for travel may be required under the ESS on community health, safety and security. Learning exchanges with international travel (if possible post-COVID) will require a safety and security plan prepared by event organizers in coordination with organization hosting event in

country. In the case of CI, this is planned with anticipation and communicated with safety and security directors.

ESS 9: Private Sector Direct Investments and Financial Intermediaries		X	ESMP
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Justification: While the ICI will directly stimulate economic development, this is within the mandate of Component 1 and not Components 2-4.

ESS 10: Climate Risk and Related Disasters		X	ESMP
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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 the IPLCs to situations that can prevent them from participating in the project activities.

In conclusion, the initial screening states that it was determined that the Component 2 to 4 activities will not cause or enable to cause significant negative environmental and social impacts. Based on this conclusion, the Component is considered as **Category C** risk. For projects categorized as C, the Project Safeguard System does not require an ESIA action; however, specific project-level safeguard plans will be required to strengthen the project compliance with the policies.

5.2 High-level action plan

The following table presents some supportive measures to address aspects highlighted in the initial screening. It should be noted that these supportive measures do not take all site-specific characteristics into account but serve to monitor the identified high-level aspects globally across all involved subprojects; taking into consideration that these components will be implemented in different project sites not identified yet. 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.

Table 8: Action plan for components 2-4 of the ICI

ESS	Aspect of importance	Risk Relevance by Project Sites	Explanation	Supportive measures (SM)	Indicators	Cost/Budget
ESS 4 Indigenous Peoples	A4.1: The activities do not implement effective participation and engagement of Indigenous Peoples and most vulnerable groups (e.g., indigenous women)	All project sites	The project Components 2-4 will work with indigenous peoples' organizations and could potentially present risks related to level of participation and engagement of indigenous communities during activities to promote indigenous practices and knowledge while actively involving Indigenous Peoples in international fora to enrich peer learning, knowledge management and inform environmental policy.	<p>SM4.1.1: Implement the 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.</p> <p>SM4.1.2: Implement effective consultation activities that guarantee indigenous peoples, men, and women, of all hierarchy levels full participation and engagement in the different fora through a Free, Prior and Informed Consent (FPIC) consultation process.</p> <p>SM4.1.3: Apply a specific mechanism culturally appropriate and accessible to affected indigenous peoples as part of Accountability Grievance Mechanism, taking into account the availability of judicial recourse and customary dispute settlement mechanisms among indigenous peoples/communities.</p>	<p>I4.1.1: Progress with implementation of the IPP</p> <p>I4.1.2: Number of FPIC consultation activities with diverse participation and engagement of indigenous peoples, men and women, of all hierarchy levels.</p> <p>I4.1.3(a): Accountability Grievance Mechanism which includes specific mechanism culturally appropriate and accessible to affected indigenous peoples.</p> <p>I4.1.3(b): Number of grievances raised in the context of indigenous people engagement and participation process.</p>	<p>Compliance will be part of staff lead/manager role.</p> <p>Compliance will be part of staff lead/manager role and in-house safeguard consultants (covered under component 1 budget) and with Steering Committee</p> <p>Compliance will be part of staff lead/manager role and governance staff and with Steering Committee</p> <p>Outcome 1.1 (USD\$72.000)</p>

ESS	Aspect of importance	Risk Relevance by Project Sites	Explanation	Supportive measures (SM)	Indicators	Cost/Budget
ESS 6 Cultural heritage	A6.1 Capacity building activities as part of Components 2-4 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, including risks of sharing Traditional Knowledge, and the lack of knowledge of the organization regarding the protection of cultural heritage.	<p>SM6.1.1: Where traditional knowledge on the use (e.g., cultivation) may lead to a new product for a green enterprise under sustainable financing activities, assure intellectual property rights to and equitably share benefits with the owners of that knowledge in line with national laws.</p> <p>SM6.1.2: Development of protocols to govern the access to the learning platform if elements of Traditional Knowledge are included in it. Such protocols will be developed at the local level to serve as guide to the global platform. The FPIC of knowledge holders must be sought prior to sharing these outside the specific community.</p>	<p>I6.1.1: 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.</p> <p>I6.1.2: Number of protocols to govern the access to the learning platform, that include considerations on sharing of Traditional Knowledge.</p> <p>I6.1.3: Number of FPIC consultation activities related to the sharing of Traditional Knowledge, with diverse participation and engagement of indigenous peoples, men and women, of all hierarchy levels.</p>	FPIC process will be part of staff lead/manager role and governance staff and with Steering Committee
ESS 7 Labor and Working Conditions	A7.1: The sub-contractors 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 Components 2-4 the sub-contractors will be undertaking services for the execution of the activities may not have the instruments to ensure this ESS requirements. At this stage it is not clear, whether and to what extent sub-contractors also have instruments in place to ensure adherence with the standard. Specific comments related to risk of women	<p>SM7.1.1: Include Occupational Health and Safety (OHS) measures in the subcontractors' contracts, specifying how the sub-contractors will follow respective safeguards expectations.</p> <p>SM7.1.2: Articulate measures with the Gender Mainstreaming Plan of</p>	<p>I7.1.1: Number of subcontractors' contracts with Occupational Health and Safety (OHS) measures for sub-contractors.</p> <p>I7.1.2: Number of subcontractors'</p>	Compliance will be part of staff lead/manager role

ESS	Aspect of importance	Risk Relevance by Project Sites	Explanation	Supportive measures (SM)	Indicators	Cost/Budget
			discrimination have been raised by the organizations.	Components 2-4 to ensure that the risk of women discrimination is addressed in the subcontractors' contracts.	contracts that have included measures from the Gender Mainstreaming Plan.	
ESS 8: Community Health, Safety and Security	A8: Participation of IPLCs in Component 2-4 activities implementation could bring a potential new element of risk related to health, safety and security.	All project sites	<p>The activities of Components 2-4 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.</p> <p>An additional consideration will be the health protocols that will be in place post-COVID: participation in trainings should not be limited to those who have access to vaccines or health services but at the same time, care should be taken to ensure that communities are not exposed to any danger arising from the participation of their representatives.</p>	<p>SM8.1.1: Assess needs of security measures related to pandemics and related to areas with high level of hostility and crime, as well as Incidents and accidents, to ensure the safe travel and participation of IPLCs in the activities to ensure that Components 2-4 activities do not unintentionally put people and communities at risk.</p> <p>SM8.1.2: Develop protocols that will be in place post-COVID that ensure that trainings are not limited to those who have access to vaccines or health services but at the same time, care should be taken to ensure that communities are not exposed to any danger arising from the participation of their representatives.</p> <p>SM8.1.3: Implement the subproject-specific Accountability Grievance Mechanism to track grievances related to health, safety or security measures.</p>	<p>I8.1.1: Number of measures included as part of the capacity building activities that consider health, safety and security assessment in the activities' execution strategy.</p> <p>I8.1.2.1: Number of protocols developed to ensure broad and safe participation.</p> <p>I8.1.3.1: Accountability Grievance Mechanism which considers tracking grievances related to ESS 8.</p> <p>I8.1.4.1: Number of grievances raised related</p>	<p>Compliance will be part of staff lead/manager role</p> <p>Compliance will be part of staff lead/manager role</p> <p>Compliance will be part of staff/lead manager role/governance staff and Steering Committee Outcomes 1.1 (USD \$72,000)</p>

ESS	Aspect of importance	Risk Relevance by Project Sites	Explanation	Supportive measures (SM)	Indicators	Cost/Budget
				SM8.1.4: Comply with CI's Code of Ethics and IUCN policies for staff and participants	to CI's Code of Ethics and IUCN policies for staff and participants in the context of the C2-4 activities.	
ESS 10 Climate Risk and Related Disasters	A10: A changing climate may impact the activities execution of the project.	All project sites	ICI partners 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 Component 2-4 project activities.	SM10.1: Consider climate change scenarios and exposures and vulnerability of the IPLCs when defining strategies and activities for Components 2-4.	I10.1.1: Number of activities where more than 25% of expected participants were unable to attend due to climate related hazards	Compliance will be part of staff lead/manager role and in-house safeguard consultants and GSC.

6. 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 Plan (GMP) has been prepared to serve as an overarching instrument to support gender mainstreaming during implementation of components 2-4. The purpose of the GMP, 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.

The GMP applies to the aforementioned global components of the ICI. It identifies specific gender-responsive activities and indicators critical to fulfilling and monitoring gender requirements for components 2, 3, and 4 of the ICI.

7. Stakeholder engagement

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.

In that regard, 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 project 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 further information, please also see the Stakeholder Engagement Plan included in Annex 4.

Related to the disclosure process for this project and considering the Project Safeguard System guidelines, the following activities will be in place:

- This ESMP will 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.
- Documents such as Stakeholder Engagement Plan, Indigenous People Plan, Gender Mainstreaming Plan, among others, 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:
 - Disclosure of 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.
 - Disclosure of all assessments prior to project approval;
 - Disclose of all assessments when they have been finalized and approved (prior to project implementation); and
 - Ongoing disclosure during and after conclusion of project activities to inform communities of implementation activities, potential impacts, measures taken to address them, etc.

As part of this process, different stakeholder's engagement activities have been developed which have been derived in the reception of no objection letters from the project sites (Appendix 4.1). Further activities will be held during the coming months, please refer to the Stakeholder Engagement Plan in Annex 4.

8. Accountability and Grievance Mechanism

The Project Safeguard System established 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 ICI'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.

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.

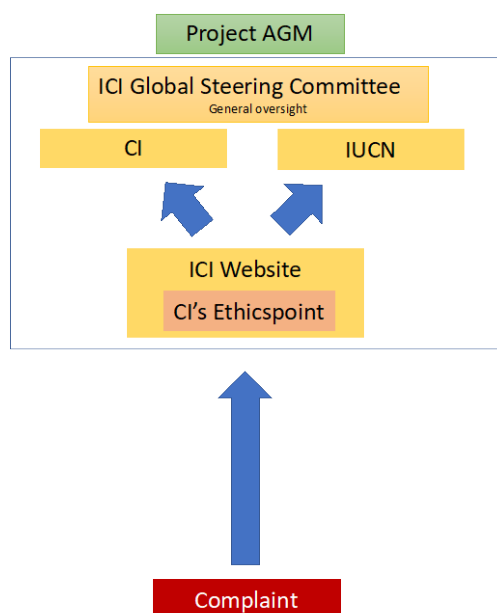
Conflict Resolution on a Project-by-Project basis

CI Ethics Point will be the first point of contact in the Accountability and Grievance Mechanism. The grievance may file a claim through CI's EthicsPoint Hotline at <https://secure.ethicspoint.com>. The Executing Agencies will be responsible for informing Affected Communities about the project commitments and ESMP provisions. Contact information of CI and IUCN will be made publicly available to all involved stakeholders. Complaints can be made through many different channels including, but not limited to face-to-face meetings, written complaints, telephone conversations or e-mail.

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.

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. 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:

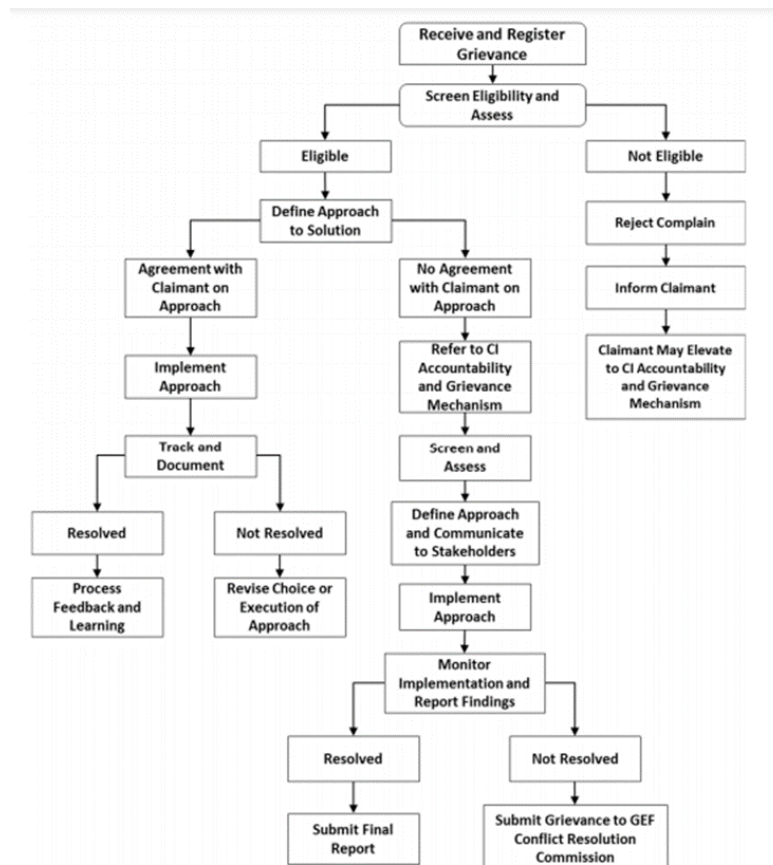
Mailing address: Director of Compliance
Conservation International
2011 Crystal Drive, Suite 500
Arlington, VA 22202, USA.

CI and IUCN 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 their responsibility to monitor any mitigating measures noted from the implementation of the GEF Environmental and Social Safeguards.

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 CI’s 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



9. Monitoring and Evaluation

Implementation of the ESMP 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 Entities. He/She will be responsible of 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 Entities. 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.

10. 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.

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 <i>Gender equality in the project design process</i>	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 <i>Previous identification of such risks</i>	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, marginalized 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 groups, including changes in land use and/or tenure arrangements, and including people coming from outside the project area such as internally displaced people.	Covered in different places of the CI-GEF ESMF, including EES8: Community Health, Safety and Security, paragraphs 176 and 180, and 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	<ul style="list-style-type: none"> • 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.

	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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 ESIA, 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 <ul style="list-style-type: none"> 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; o Formal complaints, investigations or press reports. 	<p>The point of potential impacts caused by activities in the context of establishment of or law enforcement in protected areas is covered under</p> <ul style="list-style-type: none"> ESS 1, paragraph 55a ESS 2, paragraph 68 (context natural habitats and biodiversity conservation) ESS 3, paragraph 98 The project screening form Appendix V (V-RAP) <p>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).</p>
17. Potential increase in human-wildlife conflict	<p>Human/wildlife conflicts are mentioned as an example impact of projects in Table III.1 but otherwise this aspect is not covered</p>

18. Weakening of community institutions or disruption of social interaction	<ul style="list-style-type: none"> Appendix V in paragraph 13 specifies that typical effects of displacement include the breakup of communities and social support networks. <p>No further reference to this point has been found.</p>
19. Exacerbation of existing conflicts or generation of conflicts in the project area	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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

<p>36. Project measures to enhance the adaptive capacity of communities and ecosystems</p>	<p>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.”</p>
<p>Standard on Involuntary Resettlement and Access Restrictions</p>	
<p>1. Project involving involuntary resettlement and/or land acquisition <i>Consideration of alternatives</i></p>	<ul style="list-style-type: none"> • 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.
<p>2. Forced eviction</p>	<ul style="list-style-type: none"> • 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
<p>3. Economic displacement caused by restricting peoples’ access to land or natural resources where they have recognized rights (legally or customarily defined)</p> <ul style="list-style-type: none"> • 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 • Negative effects on people’s livelihoods • Consideration of measures to avoid restrictions • Measures to minimize or compensate for impacts 	<ul style="list-style-type: none"> • 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.” • 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.

<ul style="list-style-type: none"> • Definition of transparent and fair eligibility criteria • Measures being culturally appropriate and gender sensitive • Process to obtain consent 	<ul style="list-style-type: none"> • 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.
<p>4. Acquisition of land for purposes other than conservation objectives</p>	<ul style="list-style-type: none"> • The CI-GEF/GCF ESMF does not specify or restrict the reasons for land acquisition
<p>Standard on Indigenous Peoples</p>	
<p>1. Project site overlapping with lands or territories claimed by indigenous peoples, tribal peoples or other traditional peoples</p>	<ul style="list-style-type: none"> • Covered in ESS 4 on Indigenous Peoples
<p>2. Potential effects on rights and livelihoods of IPs, even if they are not present on site</p> <ul style="list-style-type: none"> ○ Name and location of groups ○ Identification as indigenous ○ Traditionally inhabiting the project site or moved there ○ Risk of physical or economic displacement ○ 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 ○ Effects on cultural heritage through commercialization of traditional knowledge ○ Groups in voluntary isolation 	<ul style="list-style-type: none"> • 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 • 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)

<ul style="list-style-type: none"> ○ Consultation of legitimate representatives, FPIC process ○ Provision of benefits 	
Standard on Cultural Heritage	
1. Project location in or near cultural heritage site	<ul style="list-style-type: none"> ● Covered in ESS 6
2. Inclusion of important cultural resources in project site	<ul style="list-style-type: none"> ● 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 <ul style="list-style-type: none"> ● Development of infrastructure or construction of buildings ● Excavation or movement of earth, flooding or physical environmental changes <i>This includes the risk of harm to known or unknown (buried) cultural resources</i>	<ul style="list-style-type: none"> ● 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 or 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	<ul style="list-style-type: none"> ● Covered in ESS 6
5. Impacts on in-tangible cultural resources such as values, norms or practices of local communities	<ul style="list-style-type: none"> ● 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)	<ul style="list-style-type: none"> ● Partly covered under paragraph 150 of ESS 6
Standard on Biodiversity Conservation and Sustainable Use of Natural Resources	

<p>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</p>	<ul style="list-style-type: none"> • 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 financed by CI. • Points a), b) and c) on the left are covered under ESS 2, paragraph 63
<p>2. Risk of adverse impacts on biodiversity and integrity of ecosystems in areas described under point 1 <i>This refers to construction and use phase</i></p>	<ul style="list-style-type: none"> • Covered throughout ESS 2, e.g. paragraph 69
<p>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 <i>This refers to construction and use phase</i></p>	<ul style="list-style-type: none"> • 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.
<p>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 <i>Requests description of appropriate industry-specific sustainability verification practices</i></p>	<ul style="list-style-type: none"> • 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”.
<p>5. Accidental or intentional introduction or use of non-native species</p>	<ul style="list-style-type: none"> • Covered under ESS 2, paragraph 69 and also under ESS 5
<p>6. Risk of creating other pathways for spreading invasive species</p>	<ul style="list-style-type: none"> • No explicit reference has been found



Annex 3: Safeguards screening report of ICI components 2-4

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 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-GCF/GEF Project Agency and IUCN 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-GCF/GEF Project Agency and IUCN 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-GCF/GEF Project Agency and the IUCN do not fund projects that involve the construction or rehabilitation of large or complex dams, and resettlement of people. The CI-GCF/GEF Project Agency and the IUCN 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-GCF/GEF Project Agency and the IUCN 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-GCF/GEF Project Agency and the IUCN 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.



Asesoramiento
Ambiental
Estratégico



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 components 2, 3 and 4 of the ICI

Name of the Executing Agency/Entity: The Executing Agencies at the global level are Conservation International (CI) and the International Union for the Conservation of Nature (IUCN).

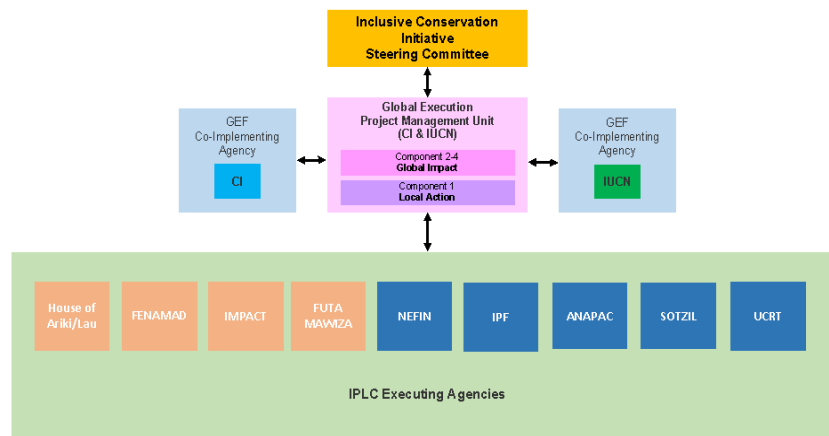
The Inclusive Conservation Initiative will be implemented and overseen through a set of institutional arrangements that maximize IPLC voices, authority and roles while also ensuring programmatic and financial management in accordance with GEF Implementing Agency requirements.

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 administrative oversight
 * Blue denotes IUCN administrative oversight

- **Steering Committee:** A Global Steering Committee (GSC) will lead the governance of the ICI. As outlined in the Steering Committee ToR, 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. To facilitate successful project execution, GSC 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 GSC 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 GSC 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:
 - Sotz'il (Guatemala) – leading the regional consortium of organizations in Guatemala and Panama
 - FENEMAD (Peru)
 - Fvta Mawiza Consortium through El Observatorio Ciudadano (Chile)
 - Fvta Mawiza Consortium through Fundación Ambiente y Recursos Naturales (Argentina)
 - ANAPAC (DRC)
 - Ujamaa Community Resource Team (Tanzania)
 - IMPACT (Kenya)
 - Indigenous Peoples' Foundation for Education and Environment (Thailand) – leading a consortium of organizations in Thailand



- Nepal Federation of Indigenous Peoples 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. Terms 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 components 2-4 will align the investment focus for IPLC lands and territories as follows:

- *Sustainable financing of IPLC-driven conservation: Capacity building and development of sustainable financing mechanisms in Component 2.*
- *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, waters and natural resources to deliver global environmental benefits.

The specific objectives for Components 2 to 4 are:

Component 2, **Global IPLC Capacity:** IPLC capacity strengthened and increased access to long-term sustainable financing mechanisms.

Component 3: **IPLC Leadership in International Environmental Policy:** Building the pathway from local action to global impact built through targeted engagement in international environmental policy fora and relevant international platforms.

Component 4: **ICI Knowledge to Action:** Transforming Inclusive Conservation Knowledge and Lessons Learned into Demonstrations models that expand support and advance field of the IPLC -Led Conservation.

Project Components and Main Activities Proposed:

The four ICI components are as follows. Please note that this screening is concerned uniquely with Components 2-4:

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. At least 80% of ICI project component funds will support IPLC organizations under Component 1. All ICI project grants will integrate gender responsive strategies.

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

Capacity building will ensure ICI project outcomes and the long-term sustainability of IPLC-led conservation from local to global levels. Component 2 focuses on increasing the sustainability of capacity-building investments and magnifying their reach by:

- Creating the tools, knowledge resources and platforms that will support and increase IPLC access to learning at all levels of the ICI.
- Involving a wider range of IPLC organizations and networks, from within and beyond project geographies.
- Building and certifying the organizational capacity of IPLC institutions in order to grow and secure financing for future work beyond the project term.

To 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.

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

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 the 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 communications 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: X11/19

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.

Components 2-4 of the ICI will involve stakeholders from all subproject geographies; however, the ICI through these components will also reach beyond these geographies and involve organizations working globally or in other areas. The activities of Components 2-4 are therefore considered to have a global reach. To date, there is no map available showing the pre-selected project locations.

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 follows²:

In Chile and Argentina, 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 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 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 Mount 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 Maraé Moana Marine Park with roughly 324,000 km² of seascape designated for protection. The other part of the pre-selected geography covers the Lau Seascape, which is estimated to be 335,000 km², 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 that are directly relevant to Components 2-4 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 biodiversity³.

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

³ This information has been extracted from the compendium information that was used in the pre-selection process of the subprojects 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.

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.

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 farm land.

Socio-economic Context of Project Area⁴

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. It is important for Component 2-4 activities to use its different platforms such as peer learning to ensure that greater understanding traditional management and use of natural resources are promoted and where appropriate, used to influence decision-making.

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 Barunglei
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

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.

Panama	Mesoamerica	Guna
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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 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 several 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 off-shore 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 in regards to 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 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.

⁵ Call for Expression of Interest for the ICI Thailand 2019

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 works and within international human rights, environment and climate policy fora. Underscoring CI and IUCN 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 2-4 of the ICI are considered minor. In fact, the most significant potential risks of these components are related to equal access to the planned training and capacity building opportunities for all stakeholders. Therefore, special attention needs to be paid to the gender and stakeholder engagement policies applicable to the project. The respective Gender Mainstreaming Plan and Stakeholder Engagement Plan will address possible concerns regarding gender equity and engagement throughout the project life cycle.



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?	<input type="checkbox"/>	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?	<input type="checkbox"/>	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?	<input type="checkbox"/>	X
iv. Propose to carry out <i>unsustainable</i> harvesting of natural resources -animals, plants, timber and/or non-timber forest products (NTFPs)- or the establishment of forest plantations in <i>critical natural habitats</i> ?	<input type="checkbox"/>	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?	<input type="checkbox"/>	X
vi. Involve <i>involuntary resettlement, land acquisition, and/or the taking of shelter and other assets</i> belonging to local communities or individuals; through coercion and/or undue influence?	<input type="checkbox"/>	X
vii. Contravene major international and regional conventions on human rights, including rights specific to indigenous peoples?	<input type="checkbox"/>	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?	<input type="checkbox"/>	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)?	<input type="checkbox"/>	X
x. ozone depleting substances, polychlorinated biphenyls (PCBs) and other specific, hazardous pharmaceuticals, pesticides/herbicides or chemicals?	<input type="checkbox"/>	X
xi. wildlife or products regulated under the Convention on International Trade in Endangered Species or Wild Fauna and Flora (CITES)?	<input type="checkbox"/>	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?	<input type="checkbox"/>	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?	<input type="checkbox"/>	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?	<input type="checkbox"/>	<input type="checkbox"/>
xv. Involve trans-boundary impacts including those that would require further due diligence and notification to downstream riparian states?	<input type="checkbox"/>	<input type="checkbox"/>
xvi. Adversely affect working conditions and health and safety of workers or potentially employ vulnerable categories of workers including women or child labor?	<input type="checkbox"/>	<input type="checkbox"/>
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?	<input type="checkbox"/>	<input type="checkbox"/>
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?	<input type="checkbox"/>	<input type="checkbox"/>
xix. Involve the resettlement and dispossession, land acquisition, and economic displacement of persons and communities?	<input type="checkbox"/>	<input type="checkbox"/>
xx. Be located in protected areas and areas of ecological significance including critical habitats, key biodiversity areas and internationally recognized conservation sites?	<input type="checkbox"/>	<input type="checkbox"/>
xxi. Affect Indigenous Peoples that would require further due diligence, free, prior and informed consent (FPIC) and documentation of development plans?	<input type="checkbox"/>	<input type="checkbox"/>
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?	<input type="checkbox"/>	<input type="checkbox"/>

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.



Asesoramiento
Ambiental
Estratégico



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?

X NO (to all of the above)

ICI project Components 2-4 are focused on achieving outputs on matters such as peer learning, network building, knowledge sharing and training and improving financial and project management capacity. As such, no significant environmental or social impacts are anticipated.

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?

X NO

This screening is deemed adequate for assessing any potential issue arising from Components 2-4.

YES (If Yes, answer the following)

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

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

ESS 2: Protection of Natural Habitats and Biodiversity Conservation

Will the project:

- (a) involve adverse impacts on Critical Habitats⁸, 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?

X NO (to all of the above)

ICI project Components 2-4 are focused on achieving outputs on matters such as peer learning, network building, knowledge sharing and training and not activities that could directly result in adverse impacts on natural habitats or biodiversity.

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?

X NO (to all of the above)

ICI project Components 2-4 are focused on achieving results on matters such as peer learning, network building, knowledge sharing, international policy development and training and not activities that could directly result in any disruption of people or communities.

TO BE DETERMINED (TBD)

YES (to any of the above)

If TBD or Yes, please provide details here.

ESS 4: Indigenous Peoples⁹

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)

YES (to any of the above)

In relation to criteria (a) to (d) above, no harmful impacts on Indigenous peoples from Component 2-4 activities are expected. However, through Components 2-4 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 to enrich peer learning, knowledge management and inform environmental policy. Increased involvement of Indigenous Peoples and Local Communities in such fora would also likely support their empowerment by providing access to an audience closely linked to international and national decision-making. These activities will be organized and overseen by the Implementing Agencies at global level together with the Indigenous EAs. The overall impact from Components 2-4 will thus be positive.

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 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 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?

X NO (to all of the above)

No activities of Components 2-4 will involve productive activity or physical construction and there is no possibility that there will be any circumstances of large-scale resource inefficiency or pollution. Nevertheless, decision making related to resource efficiency and Component 2-4 activities needs to be taken seriously but in a different direction than described in ESS 5. ICI partners will be expected to look for opportunities to reduce waste such as the unnecessary use of paper and other materials. Where possible, preference should be given in the selection of event locations to physical spaces that embrace the concept of sustainability through energy and water efficiency, constructed with sustainable materials minimizing waste and incorporating natural features. As part of the training and capacity building elements under Components 2-4, it is expected that digital packets will be provided but, in many cases, materials for IPLC participants will also need to be printed. In addition, it may be necessary to acquire electrical devices, such as cameras, recording devices, and tablets. It will be important in relation to all these circumstances to limit purchases and printing, maximize energy efficiency, use digital platforms and where possible, ensure recycling procedures are in place and used.

TO BE DETERMINED (TBD)

YES (to any of the above)

If TBD or Yes, please provide details here.

ESS 6: Cultural Heritage¹⁰

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

It is expected that Components 2-4 will make a positive contribution to promoting cultural practices (knowledge and skills) that are socially, and environmentally beneficial in a focused manner through activities such as peer learning, network building, and knowledge sharing and contributing to international environmental policies. To ensure that the contribution of Components 2-4 are indeed positive vis a vis Indigenous cultural heritage, measures will have to be taken in areas such as protecting Intellectual Property rights.

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

¹⁰ 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.

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)

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, there is the possibility that under Components 2-4 learning exchanges and development and/or delivery of training modules will be sub-contracted and at this stage it is not clear, whether and to what extent sub-contractors also have instruments in place to ensure adherence with the standard. The ESMP 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.

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.

The activities of Component 2 to 4 do not intend to create any risk to participants or community members or other stakeholders. However, the ESMP/ESMF will include precautionary measures to ensure that Component 2-4 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 training and capacity building events under Components 2-4. To this end, safety and security plans for travel may be required under the ESS on community health, safety and security. Learning exchanges with international travel (if possible post-COVID) will require a safety and security plan prepared by event organizers in coordination with organization hosting event in country. In the case of CI, this is 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 will directly stimulate economic development, this is within the mandate of Component 1 and not Components 2-4.

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 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. 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 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 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: not only at the logistical level and for ensuring participation, but also when defining the contents that respond better to the needs of the IPLCs in their environment and in the context of future climate change scenarios.

- **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.

(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?

- Define contents of learning modules that take into account the context of exposures and vulnerability suffered by each of the sub project IPLCs, considering climate change scenarios, to provide the adequate

tools and capacity building for facing them now and in the future.

- 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.
- Arrange learning modules as self-paced so that participants are more flexible and more likely to complete training courses. (e.g. if they cannot attend during a particularly heavy rainfall season, they will not be able to continue after if the course is time bound).
- 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 training modalities to the extent possible.

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

Not applicable

Annex 4: Stakeholder Engagement Plan

1. Description of the Project activities.

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.

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.

This Stakeholder Engagement Plan is specific to Components 2-4 which include the following activities:

Component 2: Global IPLC Capacity Building: Strengthening IPLC capacity to improve management of lands and territories and increase access to public and long-term sustainable financing mechanisms.

Capacity building will ensure ICI project outcomes and the long-term sustainability of IPLC-led conservation from local to global levels. Component 2 focuses on increasing the sustainability of capacity-building investments and magnifying their reach by:

- Creating the tools, knowledge resources and platforms that will support and increase IPLC access to learning at all levels of the ICI.
- Involving a wider range of IPLC organizations and networks, from within and beyond project geographies.
- Building and certifying the organizational capacity of IPLC institutions in order to grow and secure financing for future work beyond the project term.

To 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.

A brief description of the outputs under Components 2 are listed below.

Table 9: Description of Outputs in Component 2

Outputs	Description
Outcome 2.1.: IPLC capacity substantially strengthened within and beyond ICI subproject geographies	
Output 2.1.1.: ICI Learning Academy Curricula designed.	The project will identify priorities for ICLA curricula, drawing on the ICPG partner needs assessments in Output 1.2.1 as well as consultations and learning from other IPLC capacity-building partners and initiatives. Based on these priorities, the project will design course materials and/or identify and create links to existing capacity building resources. Curricula design will include the tools and modules for capacity building of ICI subproject lead organizations where needed to strengthen their ability to manage the ICPG investments. Social inclusion and gender components will be included in all capacity building programs.
Output 2.1.2.: IPLC Inclusive Conservation Learning Academy established.	The ICLA, a virtual learning center, will house culturally appropriate tools, modules and programs to support and expand organizational and technical global capacity-building of IPLC organizations, including by compiling and building on existing relevant materials. The ICLA will be part of the Knowledge Platform established under Component 4 as a repository for project publications, documents and communication products. It will standardize the quality of content delivered in ICI and include the spectrum of topics, formats and learning methods suitable to address the capacity building needs of IPLCs according to the findings from Output 2.1.1., ensuring use of culturally appropriate formats and languages. ICLA will also make core content available offline if possible where internet access is limited.
Output 2.1.3.: Organizational Development and Capacity Building of IPLC organizations delivered through the ICLA.	Supported by the resources of ICLA, IPLC organizations with capacity building expertise or EA staff will deliver the capacity building activities following the needs identified and the plans developed and identified in Output 2.1.1. Online courses will be a primary mode of delivery, and trainings will also be linked to other in-person project activities such as workshops, learning exchanges, or sessions conducted locally by experts in the subproject areas. All capacity building activities will be culturally appropriate and will utilize methods best suited to the context of the ICPG and other IPLC organizations. Executing Agencies will participate in organizational and



Outputs	Description
	<p>professional development, based on their needs assessment, throughout the life of the project. The EAs will also reach out to IPLC organizations that are not directly involved with ICI subprojects to participate in the capacity building program and expand the influence of ICI models.</p>
<p>Output 2.1.4: Learning Evaluation completed of IPLC Inclusive Conservation Learning Academy.</p>	<p>The project will evaluate the results of ICI capacity building and its effect on enhancing the performance of on-the-ground conservation projects. This evaluation will be conducted at the ICI project mid-term to document achievements and challenges related to ICI capacity building objectives, build the evidence base on how IPLC-led conservation works in practice, and identify opportunities and actions to sustain Inclusive Conservation learning activities beyond the project term. This evaluation will include assessment of the skills developed by participating IPLC organizations, such as by spot checking financial statements or reviewing management plans.</p>
<p>Outcome 2.2.: Cross-regional IPLC organization partnerships and networks strengthened through ICI Learning Exchanges</p>	
<p>Output 2.2.1: IPLC organizations mapped to strengthen collaboration within and beyond subproject geographies.</p>	<p>Building on stakeholder mapping conducted as part of Impact Strategy development for each subproject, the project will undertake mapping of additional IPLC partners and networks that could contribute to the IPLC Learning Exchanges as well as to the ICI Community of Practice (Component 4). This mapping will provide a basis for engagement with and outreach to IPLC organizations within and beyond the subprojects in order to build linkages, enhance cross-learning and strengthen inclusive collaborations for IPLC-led conservation. The project defines “inclusive” to include gender mainstreaming.</p>
<p>Output 2.2.2: Inclusive Conservation Learning Exchanges delivered.</p>	<p>CI, IUCN and subproject IPLC organizations will consult with wider IPLC networks and the ICI Steering Committee to define topics for Learning Exchanges. Learning Exchanges will include IPLC participants from beyond ICI subproject geographies to draw on and link to their wider experience and areas of expertise. Sessions will be linked to IPLC-led project objectives, such as livelihoods development, sustainable forest management, or rights and inclusion. The Learning Exchanges will be designed and organized to be gender inclusive and will also contribute to fostering the ICI Community of Practice under Component 4.</p>
<p>Outcome 2.3: IPLC organizational capacity increased to formulate sustainable financing strategies</p>	
<p>Output 2.3.1: Financial Opportunity Analysis completed</p>	<p>The ICI will contract dedicated expertise to conduct an Opportunity Analysis to identify long-term finance mechanisms and impact investment opportunities in subproject geographies. The analysis will define which financial mechanisms are appropriate to the subproject context and to identify potential partners and</p>

Outputs	Description
	sustainable finance investors to support the development of long-term financing mechanisms.
Output 2.3.2: Capacity Building in Sustainable Financing delivered.	The ICI will support capacity building of IPLC organizations to understand sustainable financing options, how different mechanisms function, and the types of investors, partners or government agencies who will fund them. Drawing on capacity with respect to sustainable financing within CI and IUCN, supplemented by additional expertise as needed, the ICI will include relevant learning modules through the ICLA. Capacity building activities under this output will include targeted training sessions and technical support for sustainable financing strategy development under each Impact Strategy. As part of each Impact Strategy, ICI subproject lead organizations will develop sustainable financing strategies and conduct outreach to establish collaborations needed to advance these strategies and put appropriate mechanisms in place. The ICI will compose a panel of sustainable financing experts to review the strategies.

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.

Table 10: Description of Outputs in Component 3

Outputs	Description
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.	The ICI project will work with existing and emerging IPLC policy platforms to enhance engagement and coordinate participation across conventions. The purpose of this output is to increase synergies of various efforts relating to the Rio Conventions that affect IPLCs. The ICI will carry out this work in conjunction with platforms and forums actively engaged at the Rio and other relevant Conventions and



Outputs	Description
	<p>global fora, including recognized entities such as the IIPFB, IIPFCC and others. ICI will work with these bodies to facilitate communications, provide training on policy engagement, and convene pre-conference preparatory meetings to maximize the impact of IPLC participation in global policy processes. In cases where leading coordination bodies have not yet emerged (e.g., the Minamata Convention), the ICI team will work with partners to fill this gap.</p>
<p>Output 3.1.2: ICI International Environmental Policy Negotiations Curricula developed and delivered.</p>	<p>Capacity building to enhance negotiation skills will be delivered through this Output. Attendance at the conventions will provide hands-on experience of the workings of the Rio Conventions and scoping of other relevant conventions where IPLC voices are needed, such as the Minamata Convention and CITES. ICI capacity building resources in the ICLA will support delivery of this output, as will training offered by IPLC policy forums and caucuses. The focus will be on targeted engagement working in conjunction with the above-mentioned bodies, based on clear policy objectives and communication goals, and on skills to link global policy engagement to national policy engagement within the subproject geographies.</p>
<p>Output 3.1.3: ICI International Environmental Policy Fellows Program established and supported.</p>	<p>The ICI International Environmental Policy Fellows Program will recruit 15 IPLC participants to focus on building the next generation of female and male leaders in IPLC policy advocacy, building on experiences such as CI's Indigenous Leaders Conservation Fellowship. The Program will select one-year fellowship recipients through annual calls for applications emphasizing specific themes. The topics of the themes remain to be finalized and sequenced, and will be subject to Steering Committee approval, but will include themes that are broadly relevant across most ICI subprojects such as the CBD, ICCAs, and the Minamata Convention. Applicants will be asked to indicate how issues under the theme are affecting their communities; what related activities they intend to pursue within their communities; and how they will use their community-level experience to inform regional or global policy engagement. Selection of the Fellows will be managed by CI and IUCN, with final selection made by the ICI Steering Committee. The selection criteria will be finalized with Steering Committee input by the second quarter of the first year of the implementation phase, but will pursue gender inclusivity while expanding the group of skilled IPLC policy advocates able to influence environmental policy. The Fellowship will include concrete deliverables such as participation in ICLA training and global networks, reporting on community projects and policy engagement, and contributions to communications materials. ICI support through the Fellowship will include small budgets for community-level projects and stipends to enable participation in Fellowship gatherings and global policy events.</p>

Outputs	Description
Output 3.1.4: IPLC representation and recognition increased at the Rio Conventions and other relevant international conventions and platforms.	The ICI will work with existing IPLC Policy platforms and caucuses and other partners to organize high-level events and networking opportunities at policy meetings prioritized by IPLC partners (for example, these may include the Minamata Convention, Rio Conventions, CITES, Equator Initiative, New York Declaration on Forests, DGM, IUCN, ICCA Consortium). IPLC representatives will share lessons from project activities related to biodiversity conservation, climate mitigation and sustainable livelihoods, highlighting the relevance of large-scale, on-the-ground action by IPLCs to international environmental policy. By convening IPLC representatives at these events, they will be able to align messaging and communications and harmonize policy engagement strategies.

Component 4: ICI Knowledge to Action: Transforming Inclusive Conservation Knowledge and Lessons Learned into demonstration models that expand support and advance the 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 communications’ 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.

Table 11: Description of Outputs in Component 4

Outputs	Description
Outcome 4.1.: The field of IPLC-led conservation advanced with improved knowledge management.	
Output 4.1.1: ICI Knowledge Management Platform established.	The ICI Knowledge Management Platform will host the evidence base (increased by this project) for large-scale impacts from IPLC-led projects and disseminate Inclusive Conservation results to local and global audiences in culturally appropriate and inclusive formats and languages. The Knowledge Management Platform will build on existing successful IPLC learning platforms and activities such as the IUCN Panorama. It will host the IC Learning Academy developed under Component 2, gather, and share knowledge resources on Inclusive Conservation approaches, experience and results, and serve as a virtual hub for the ICI Community of Practice. The Platform will also link to other relevant knowledge sources such as the ICCA Registry, the US National Aeronautics and Space Administration’s (NASA’s) Earth Observations for Indigenous-led management, the DGM Global Network , the IUCN/TRAFFIC/International Institute for



Outputs	Description
	Environment and Development (IIED) learning platform People Not Poaching, and IUCN Panorama among others.
Output 4.1.2: ICI Knowledge Products developed with IPLC organizations for local application in multiple languages and culturally appropriate formats.	The project will generate evidence, lessons learned, best practices and innovative solutions to deliver GEBs through IPLC-led conservation. It will also explore and pursue opportunities for global analysis to fill knowledge gaps and marshal impactful evidence. In addition to being hosted on the Knowledge Platform, information will be disseminated through a variety of methods and platforms, including written publications, radio/audio programs, video storytelling, blogs, webinars and social media. ICI subproject lead organizations and ICI International Environmental Policy Fellows will be encouraged to organize community meetings to share project activities and results, and to engage government, private sector and other stakeholders and partners to enable sharing and expansion of ICI models.
Output 4.1.3: ICI Community of Practice established and supported.	The ICI Community of Practice will bring together subproject grantees and other organizations and networks working to achieve common Inclusive Conservation goals. To ensure wide outreach, the Community of Practice will sponsor virtual interactions, such as webinars, facilitated through the Knowledge Management Platform. The Community of Practice will also connect participants through other in-person project activities such as the ICI Learning Exchanges (Outcome 2.2) and other global policy events or partner initiatives (such as the Equator Initiative). By participating in the Community of Practice, IPLC organizations will be empowered with substantive information they can use in their own activities to achieve IC and IPLC objectives and will further strengthen their networks and collaborations with other IPLC organizations and international partners. The Community of Practice will enable ICI subproject lead organizations to discuss management methods and progress toward their impact targets for improving IPLC-led biodiversity conservation and share methodologies and results of the ICI within and beyond project geographies.
Outcome 4.2.: Expanded audience engaged in IPLC-led conservation	
Output 4.2.1: ICI communications strategy developed based on needs assessment.	The ICI will contract a consultant to conduct a needs assessment to understand key audiences and address communication gaps, and develop a communications strategy. The scope of the communications strategy will be the ICI as a whole, taking into consideration targeted contributions to the subproject Impact Strategies. The messages and communications channels identified will seek to expand awareness of and support for gender-responsive ICI models and approaches at subproject and global levels. The ICI communications strategy will also complement and reinforce activities relating to empowerment of IPLC participation in international fora and policy processes.
Output 4.2.2: ICI Communications Program executed.	Based on the Communications Strategy, the ICI will execute a comprehensive and consistent Communications Program to address communications needs at subproject and global levels and ensure the flow of information within the project and to outside audiences and stakeholders. ICI will develop guidance on standard communications products (logo, templates, photography), communication channels (website, social media, blogs, press releases), and key messaging for use by all project partners.

Outputs	Description
Output 4.2.3: ICI communications training provided to project partners	Each ICI subproject lead organization will be required to identify a communications lead who will act as point person for ICI communications. The subproject communications leads will receive training on the implementation of the ICI Communications Program (including messaging, social media management, crisis communications, and performance analytic tools), to ensure consistent messaging and presentation across all the subprojects. The training also will provide opportunities to fine tune alignment between subproject communications needs and activities and the ICI Communications Program.

2. Requirements regarding stakeholder engagement

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) Disclosure 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.

3. Stakeholder identification and analysis

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. It is important to mention that IPAG was involved in preparing the RFP with the description of the global component.

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 ICI Project Global Steering Committee (GSC) will be selected through a gender inclusive consultative process with the subproject organizations as defined in the detailed GSC Terms of Reference (Annex 1). The CI and IUCN GEF Implementing Agencies were responsible for convening the ISC as part of the PPG

process. There will be a transitional period between the ISC and the establishment of the ICI Global Steering Committee to transfer responsibilities.

ICI Steering Committee during project Implementation:

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 Appendix 3.1 with records of consultations).

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 maybe 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 3.1).

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	<ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • Their performance largely determines the performance of the project as a whole. • Advice to the subject matter; support in outreach. Validation of project 	<ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • High level of interest for investment in territories • Can support priorities within IPLC territories • Support for IPLC rights 	<ul style="list-style-type: none"> • 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 geographies. 	PPG and Project Implementation
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	<ul style="list-style-type: none"> • 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	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	<ul style="list-style-type: none"> • Indigenous Peoples and/ or Communities occurring in the project sites • Potential synergies and co-financing • Negative: potential conflict among 	PPG and Project Implementation

Stakeholder	Interests in the Project	Stakeholder Influence in the Project	Project Effect(s) on Stakeholder	Relevant Component(s)
	someone else’.	objective.	communities involved in ICI project and other projects	
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;	<ul style="list-style-type: none"> 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
Women	<ul style="list-style-type: none"> Inclusion in ICI Benefits to their territory 	<ul style="list-style-type: none"> 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. 	<ul style="list-style-type: none"> Improved gender mainstreaming in the ICI project with gender-inclusive benefits 	PPG and Project Implementation
Other Stakeholders	<ul style="list-style-type: none"> broad engagement, potential for technical inputs, reduce or mitigate any potential conflicts leverage of financial or technical resources. 	<ul style="list-style-type: none"> Identify areas for co-investment Avoid duplication of efforts and conflicts. Explore funding opportunities 	<ul style="list-style-type: none"> 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 	PPG and Project Implementation

5. Stakeholder engagement action plan

The following table presents supportive measures to address aspects highlighted in the initial screening related to stakeholder engagement in the project as well as specific measures considering outcomes, outputs, and activities for components 2-4. It should be noted that these supportive measures do not take all site-specific characteristics into account but serve to monitor the identified high-level aspects globally across all involved subprojects; taking into consideration that these components will also involve organizations and individuals from other geographical areas.

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.

ESS	Aspect of importance	Risk Relevance by Project Sites	Explanation	High Level Supportive measures (HLSM)	High Level Indicators	Supportive Measures (SM)	Indicators	Responsible party/person	Cost/Budget
ESS 4				<p>HLSM4.1.2: Implement effective consultation activities that guarantee indigenous peoples, men and women, of all hierarchy levels full participation and engagement in the different for a through a Free, Prior and Informed Consent (FPIC) consultation process.</p>	<p>I4.1.2: Number of FPIC consultation activities with diverse participation and engagement of indigenous peoples, men and women, of all hierarchy levels.</p>	<p>SM4.1.2.1: Build on stakeholder mapping as part of Impact Strategy development for each subproject, considering indigenous people diversity stakeholders.</p> <p>SM4.1.2.2: Obtain Free, Prior and Informed Consent from affected stakeholders, following an FPIC procedure conducted in a participatory manner and in line with CI and IUCN Guidelines described above.</p> <p>SM4.1.2.3: Assure indigenous people diversity participation in high-level events and networking opportunities at policy meetings prioritized by IPLC partners (for example, these may include the Minamata Convention, Rio Conventions, CITES, Equator Initiative, New</p>	<p>I4.1.2.1: Stakeholder mapping including indigenous people diversity.</p> <p>I4.1.2.2: Number and percentage of subproject geographies and additional sites engaged in components 2-4 from which Free, Prior and Informed Consent has been sought.</p> <p>I4.1.2.3: Number of indigenous people diversity participation on in high-level events and networking opportunities at policy meetings</p>	<p>In-house consultant CI/ IUCN</p> <p>Lead Manager/ Safeguards in-house consultant</p> <p>Fellowship coordinator/ Governance staff</p>	<p>Outcomes 1.1, 1.2 (USD \$152,000)</p> <p>Outcomes 2.2,4.2 (USD \$80,000)</p> <p>Outcomes 3.1 (USD \$420,000)</p>

6. Stakeholder Engagement and the specific context of Indigenous Peoples

As stated in the Indigenous Peoples Plan (see Annex 5), 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.). The decision-making process of the affected indigenous peoples should determine the appropriate approach for ascertaining that they have provided their agreement to the proposed project activities.

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. Grievance mechanism

The Project Safeguard System established 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 ICI'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.

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.

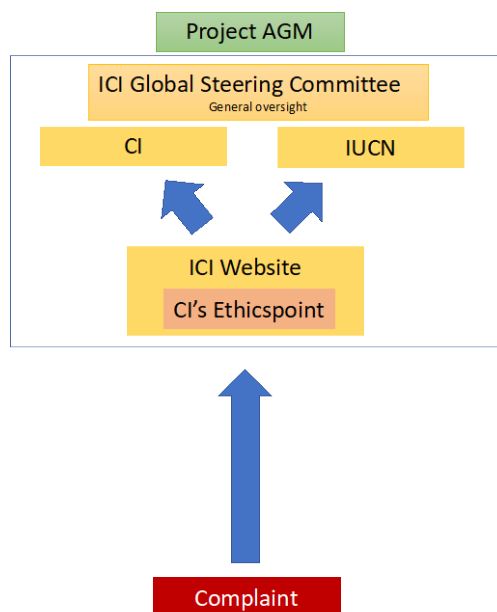
Conflict Resolution on a Project-by-Project basis

CI Ethics Point will be the first point of contact in the Accountability and Grievance Mechanism. The grievance may file a claim through CI's EthicsPoint Hotline at <https://secure.ethicspoint.com>. The Executing Agencies will be responsible for informing Affected Communities about the project commitments and ESMP provisions. Contact information of CI and IUCN will be made publicly available to all involved stakeholders. Complaints can be made through many different channels including, but not limited to face-to-face meetings, written complaints, telephone conversations or e-mail.

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.

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. 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:

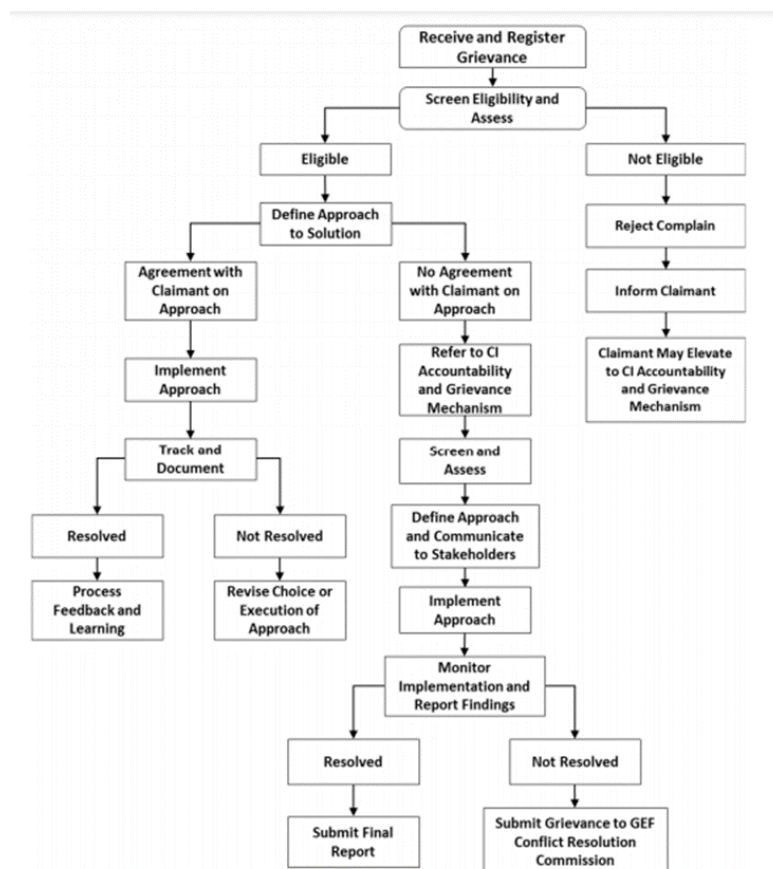
Mailing address: Director of Compliance
Conservation International
2011 Crystal Drive, Suite 500
Arlington, VA 22202, USA.

CI and IUCN 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 their responsibility to monitor any mitigating measures noted from the implementation of the GEF Environmental and Social Safeguards.

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 CI’s 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



8. Monitoring and Reporting

As described in Section 9 of the ESMP, the implementation of the ESMP needs to be monitored over time in order to allow for its adaptive management as needed. Indicators are included in the Environmental and Social Action Plan. Indicators and targets for the Mitigation Measures related to the IPP are presented below.

Supportive measures (SM)	Indicator (I)	Target (T)
SM4.1.2.1: Build on stakeholder mapping as part of Impact Strategy development for each subproject, considering indigenous people diversity stakeholders.	I4.1.2.1: Stakeholder mapping including indigenous people diversity.	T4.1.2.1: Stakeholder maps have been produced for all subproject geographies and additional sites engaged in components 2-4
SM4.1.2.2: Obtain Free, Prior and Informed Consent from affected stakeholders, following an FPIC procedure participatory manner and in line with CI and IUCN Guidelines described above.	I4.1.2.2: Number and percentage of subproject geographies and additional sites engaged in components 2-4 from which Free, Prior and Informed Consent has been sought.	T4.1.2.2: FPIC has been sought from 100% of subproject geographies and additional sites engaged in components 2-4.
SM4.1.2.3: Assure indigenous people diversity participation in high-level	I4.1.2.3: Number of subproject geographies from which indigenous	T4.1.2.3: IPLCs from all nine subproject geographies are

Supportive measures (SM)	Indicator (I)	Target (T)
events and networking opportunities at policy meetings prioritized by IPLC partners (for example, these may include the Minamata Convention, Rio Conventions, CITES, Equator Initiative, New York Declaration on Forests, DGM, IUCN, ICCA Consortium).	people participate in high-level events and networking opportunities at policy meetings	participating in high-level events and networking opportunities at policy meetings
SM4.1.3.1: Implement the project-specific Grievance Redress Mechanism and trace complaints in the context of restricted access to and use of resources to ensure satisfactory follow up and conclusion of complaints.	<p>I4.1.3.1: Number of complaints raised through the GRM.</p> <p>I4.1.3.2: Percentage of complaints that were concluded satisfactorily.</p>	<p>T4.1.3.1: The number of complaints per subproject geography is low and decreases rather than increases over time.</p> <p>T4.1.3.2: 100% of complaints were concluded satisfactorily.</p>

Apart from the indicated schedule for implementation of mitigation measures and reporting on indicators, a generic reporting schedule needs to be agreed. For the present plan, reporting on the indicators will be required biannually. For sub-contractors, a reporting schedule needs to be agreed in line with the duration of their involvement in project implementation and the activities they are in charge of.

In addition, it is important to note that the process of monitoring and evaluation for this Plan considers corrective action processes through the reporting activities as well as regular field visits and consultation with stakeholders during the implementation phase, notifying all relevant actors of corrective actions considered in the evaluation process.

Appendix 4.1: 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 2020 Framework: 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 12: 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	AIDSESP (5 participants, 2 women and 3 men)	Provided AIDSESP 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 the 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 staff 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 Putumayo, 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, AIDSESP (5 participants, 1 female, 4 male)	<p>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 working 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.</p> <p>Questions discussed:</p> <ol style="list-style-type: none"> 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 Ciudadano 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)	<p>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. . 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.</p> <p>Questions Discussed:</p> <ol style="list-style-type: none"> 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 Desarrollo Rekuluwum (2 participants, 1 female, 1 males)	<p>MAPLE Microdesarrollo 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 Mapuche cultural protocols and Indigenous Peoples' human rights international framework. MAPLE Microdevelopment 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.</p> <p>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 under 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.</p>

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 participante, 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?
12		Argentina	Fundacion URDIR (4 participante, 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.

Session	Date	Country	Organization (s) Present	General comments/ Questions
13	13-abr-2020	Paraguay	FAPI (1 participant, 1 female)	<p>Questions Discussed:</p> <ol style="list-style-type: none"> 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 budget is acceptable for administrative costs?
14	14-abr-2020	Guatemala/Panamá	Asociación SOTZ'IL, Fundación para la Promoción del Conocimiento Indígena. (2 participants, 2 males)	<p>Questions Discussed:</p> <ol style="list-style-type: none"> 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)	<p>Questions Discussed:</p> <ol style="list-style-type: none"> 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? 9. 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?

Sessio n	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 2. Entertained the idea of a binational approach as well. 3. 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 participante, female)	1. General information 2. Deadline 3. Eligibility 4. Geographies

Session	Date	Country	Organization (s) Present	General comments/ Questions
22	07/04/2020	Guatemala	FCG (1 participant, female)	Shared Eol to disseminate with FCA Guatemala Small Grants Program
23	30/04/2020	DGM Network	DGM Global	Shared Eol in DGM Newsletter
24	27/05/2020	Mexico	Oficina de Asuntos Internacionales, CONANP (1 participant, male)	<ol style="list-style-type: none"> 1. Dissemination process of Eols 2. Deadline 3. Eligibility 4. Partnerships

Table 13: 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 14: 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 female, 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	Internatio nal Seminar on Human Rights and the Post 2020 Biodiversit y Framewor k	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)	
7	2/22/202 0	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

Session	Date	Country	Organization (s) Present	General comments/ Questions
9	February 22	Philippines	KAMP (1 participant)	shared ICI and discussed possibilities for Philippine IP groups
10	February 23, Manila, Philippines	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, Manila, Philippines	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
whats app	April 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, April, May	Philippines	ICCA, (1 participant, male)	budget, role of ISC vis-a-vis selection, process of building coalition

Session	Date	Country	Organization (s) Present	General comments/ Questions
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 female, 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 5: Indigenous Peoples Plan

1. Introduction

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

This IPP has been prepared specifically for Components 2-4 of the ICI. It provides a description of the project context, the main outputs of the social and environmental assessment performed, international legal framework, capacities of the IPLCs and the Implementing Agencies; it summarizes the stakeholder engagement carried out during the project preparation and describes how the ICI will seek FPIC during project implementation. This IPP contains an action plan, details the accountability and grievance mechanism, the monitoring, evaluation and reporting procedures, and budget considerations. Letters of support from communities that are already identified (the same participants as in Component 1 of the ICI) have been included in Appendix.

2. The ICI

The Inclusive Conservation Initiative (ICI), 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**

This Indigenous Peoples Plan is part of the Environmental and Social Management Plan that has been prepared specifically for **Components 2 to 4**, which 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; 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; and 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. Their expected outcomes are:

- ✓ **Outcome 2.1:** IPLC capacity substantially strengthened within and beyond ICI subproject geographies.

- ✓ **Outcome 2.2:** Cross-regional IPLC organization partnerships and networks strengthened through ICI Learning Exchanges.
- ✓ **Outcome 2.3:** IPLC organizational capacity increased to formulate sustainable financing strategies.
- ✓ **Outcome 3.1:** Strengthened influence of IPLCs in relevant regional and international decision-making processes.
- ✓ **Outcome 4.1:** The field of IPLC-led conservation advanced with improved knowledge management.
- ✓ **Outcome 4.2:** Expanded audience engaged in IPLC-led conservation.

Components 2-4 will be implemented involving the same sites that have been selected for implementation of component 1 of the ICI, as well as further sites that have not yet been identified. The selected subprojects for implementation of component 1 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.

3. Summary of social and environmental assessment

The Environmental and Social Management Plan (ESMP) has been prepared to ensure that implementation of the planned 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 ESMP 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 Components 2 to 4.

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 ¹¹			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

¹¹ ESS7 was triggered but considered a minor issue, applicable only at the level of subcontractors. It was therefore decided that no separate plan was necessary. The action plan of the ESMP includes mitigation measures to address the issue.

With regard to ESS 4 specifically, the **justification for triggering the safeguard** was the following: In relation to criteria (a) work in lands or territories traditionally owned, customarily used, or occupied by indigenous peoples and (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 harmful impacts on Indigenous peoples from Component 2-4 activities are expected. However, through Components 2-4 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 to enrich peer learning, knowledge management and inform environmental policy. Increased involvement of Indigenous Peoples and Local Communities in such fora would also likely support their empowerment by providing access to an audience closely linked to international and national decision-making. These activities will be organized and overseen by the Implementing Agencies at global level together with the Indigenous EAs. The overall impact from Components 2-4 will thus be positive.

The initial screening states that it was determined that the **Component 2 to 4 activities will not cause or enable to cause significant negative environmental and social impacts**. Based on this conclusion, the Component is considered as **Category C** risk. For projects categorized as C, the Project Safeguard System does not require an ESIA action; however, specific project-level safeguard plans are required to strengthen the project compliance with the policies.

4. Legal and institutional framework

The legal institutional framework applicable to indigenous peoples will vary from one country to another. During the project inception phase, CI and IUCN Agencies will work with the GSC to define the information on national, organizational and/or community contexts that will be required in relation to Components 2-4 for participants beyond the subproject geographies. For example, this may include information on national and local legal frameworks and a brief description of the demographic (sex-disaggregated), social, cultural, and political characteristics of the relevant 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.

The international law that is most relevant specifically for the indigenous peoples is the following:

- **The Indigenous and Tribal Peoples Convention**, established in 1989, is an International Labor Organization Convention, also known as ILO-convention 169, or C169. It is the major binding international convention concerning indigenous peoples and tribal peoples, and a forerunner of the Declaration on the Rights of Indigenous Peoples. The ILO 169 convention is the most important operative international law guaranteeing the rights of indigenous and tribal peoples. Its strength, however, is dependent on a high number of ratifications among nations
- **United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP)**: Today the Declaration is the most comprehensive international instrument on the rights of indigenous peoples. It establishes a universal framework of minimum standards for the

survival, dignity and well-being of the indigenous peoples of the world and it elaborates on existing human rights standards and fundamental freedoms as they apply to the specific situation of indigenous peoples.

The identified geographies for implementation of component 1 and that will participate in the activities of Component 2, 3 and 4, are located in 12 countries, not all of which have signed or ratified these treaties. This is the case of Kenya, Tanzania, Democratic Rep. Congo, the Cook Islands and Thailand, which have not signed nor ratified the ILO Convention 169. Kenya also voted to abstain when the UNDRIP was adopted by the UN. The rest of the countries with identified sites have signed and/or ratified these international agreements. In the case of the yet to identify sites, this assessment of the international law will need to be performed along with the assessment of the national legal institutional framework.

In that regard, it is important to mention that the ICI project will respect and operate within the Human Rights framework of these instruments and the UNDRIP will be the minimum Human Right standard that will guide the implementation of the ICI.

5. Capacity assessment and capacity building activities

Capacity building activities for the IPLCs

All the outcomes, outputs and activities of Components 2-4 are related to increasing capacities of IPLCs. Their summarized description is presented below.

- **Component 2: Global IPLC Capacity Building: Strengthening IPLC capacity to improve management of lands and territories and increase access to public and long-term sustainable financing mechanisms.**

Outputs	Description
Outcome 2.1.: IPLC capacity substantially strengthened within and beyond ICI subproject geographies	
Output 2.1.1.: ICI Learning Academy Curricula designed.	The project will identify priorities for ICLA curricula, drawing on the ICPG partner needs assessments in Output 1.2.1 as well as consultations and learning from other IPLC capacity-building partners and initiatives. Based on these priorities, the project will design course materials and/or identify and create links to existing capacity building resources. Curricula design will include the tools and modules for capacity building of ICI subproject lead organizations where needed to strengthen their ability to manage the ICPG investments. Social inclusion and gender components will be included in all capacity building programs.
Output 2.1.2.: IPLC Inclusive Conservation Learning Academy established.	The ICLA, a virtual learning center, will house culturally appropriate tools, modules and programs to support and expand organizational and technical global capacity-building of IPLC organizations, including by compiling and building on existing relevant materials. The ICLA will be part of the Knowledge Platform established under Component 4 as a repository for project publications, documents and communication products. It will standardize the quality of content delivered in ICI and include the spectrum of topics, formats and learning methods suitable to address the capacity building needs of IPLCs according to the findings from Output 2.1.1., ensuring use of culturally appropriate formats and languages. ICLA will also make core content available offline if possible where internet access is limited.

Outputs	Description
Output 2.1.3.: Organizational Development and Capacity Building of IPLC organizations delivered through the ICLA.	Supported by the resources of ICLA, IPLC organizations with capacity building expertise or EA staff will deliver the capacity building activities following the needs identified and the plans developed and identified in Output 2.1.1. Online courses will be a primary mode of delivery, and trainings will also be linked to other in-person project activities such as workshops, learning exchanges, or sessions conducted locally by experts in the subproject areas. All capacity building activities will be culturally appropriate and will utilize methods best suited to the context of the ICPG and other IPLC organizations. Executing Agencies will participate in organizational and professional development, based on their needs assessment, throughout the life of the project. The EAs will also reach out to IPLC organizations that are not directly involved with ICI subprojects to participate in the capacity building program and expand the influence of ICI models.
Output 2.1.4: Learning Evaluation completed of IPLC Inclusive Conservation Learning Academy.	The project will evaluate the results of ICI capacity building and its effect on enhancing the performance of on-the-ground conservation projects. This evaluation will be conducted at the ICI project mid-term to document achievements and challenges related to ICI capacity building objectives, build the evidence base on how IPLC-led conservation works in practice, and identify opportunities and actions to sustain Inclusive Conservation learning activities beyond the project term. This evaluation will include assessment of the skills developed by participating IPLC organizations, such as by spot checking financial statements or reviewing management plans.
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.	Building on stakeholder mapping conducted as part of Impact Strategy development for each subproject, the project will undertake mapping of additional IPLC partners and networks that could contribute to the IPLC Learning Exchanges as well as to the ICI Community of Practice (Component 4). This mapping will provide a basis for engagement with and outreach to IPLC organizations within and beyond the subprojects in order to build linkages, enhance cross-learning and strengthen inclusive collaborations for IPLC-led conservation. The project defines “inclusive” to include gender mainstreaming.
Output 2.2.2: Inclusive Conservation Learning Exchanges delivered.	CI, IUCN and subproject IPLC organizations will consult with wider IPLC networks and the ICI Steering Committee to define topics for Learning Exchanges. Learning Exchanges will include IPLC participants from beyond ICI subproject geographies to draw on and link to their wider experience and areas of expertise. Sessions will be linked to IPLC-led project objectives, such as livelihoods development, sustainable forest management, or rights and inclusion. The Learning Exchanges will be designed and organized to be gender inclusive and will also contribute to fostering the ICI Community of Practice under Component 4.
Outcome 2.3: IPLC organizational capacity increased to formulate sustainable financing strategies	
Output 2.3.1: Financial Opportunity Analysis completed	The ICI will contract dedicated expertise to conduct an Opportunity Analysis to identify long-term finance mechanisms and impact investment opportunities in subproject geographies. The analysis will define which financial mechanisms are appropriate to the subproject context and to identify potential partners and sustainable finance investors to support the development of long-term financing mechanisms.

Outputs	Description
Output 2.3.2: Capacity Building in Sustainable Financing delivered.	The ICI will support capacity building of IPLC organizations to understand sustainable financing options, how different mechanisms function, and the types of investors, partners or government agencies who will fund them. Drawing on capacity with respect to sustainable financing within CI and IUCN, supplemented by additional expertise as needed, the ICI will include relevant learning modules through the ICLA. Capacity building activities under this output will include targeted training sessions and technical support for sustainable financing strategy development under each Impact Strategy. As part of each Impact Strategy, ICI subproject lead organizations will develop sustainable financing strategies and conduct outreach to establish collaborations needed to advance these strategies and put appropriate mechanisms in place. The ICI will compose a panel of sustainable financing experts to review the strategies.

- **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.**

Outputs	Description
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.	The ICI project will work with existing and emerging IPLC policy platforms to enhance engagement and coordinate participation across conventions. The purpose of this output is to increase synergies of various efforts relating to the Rio Conventions that affect IPLCs. The ICI will carry out this work in conjunction with platforms and forums actively engaged at the Rio and other relevant Conventions and global fora, including recognized entities such as the IIPFB, IIPFCC and others. ICI will work with these bodies to facilitate communications, provide training on policy engagement, and convene pre-conference preparatory meetings to maximize the impact of IPLC participation in global policy processes. In cases where leading coordination bodies have not yet emerged (e.g. the Minamata Convention), the ICI team will work with partners to fill this gap.
Output 3.1.2: ICI International Environmental Policy Negotiations Curricula developed and delivered.	Capacity building to enhance negotiation skills will be delivered through this Output. Attendance at the conventions will provide hands-on experience of the workings of the Rio Conventions and scoping of other relevant conventions where IPLC voices are needed, such as the Minamata Convention and CITES. ICI capacity building resources in the ICLA will support delivery of this output, as will training offered by IPLC policy forums and caucuses. The focus will be on targeted engagement working in conjunction with the above-mentioned bodies, based on clear policy objectives and communication goals, and on skills to link global policy engagement to national policy engagement within the subproject geographies.
Output 3.1.3: ICI International Environmental Policy Fellows Program established and supported.	The ICI International Environmental Policy Fellows Program will recruit 15 IPLC participants to focus on building the next generation of female and male leaders in IPLC policy advocacy, building on experiences such as CI's Indigenous Leaders Conservation Fellowship. The Program will select one-year fellowship recipients through annual calls for applications emphasizing specific themes. The topics of the themes remain to be finalized and sequenced, and will be subject to Steering Committee approval, but will include themes that are broadly relevant across most

Outputs	Description
	ICI subprojects such as the CBD, ICCAs, and the Minamata Convention. Applicants will be asked to indicate how issues under the theme are affecting their communities; what related activities they intend to pursue within their communities; and how they will use their community-level experience to inform regional or global policy engagement. Selection of the Fellows will be managed by CI and IUCN, with final selection made by the ICI Steering Committee. The selection criteria will be finalized with Steering Committee input by the second quarter of the first year of the implementation phase, but will pursue gender inclusivity while expanding the group of skilled IPLC policy advocates able to influence environmental policy. The Fellowship will include concrete deliverables such as participation in ICLA training and global networks, reporting on community projects and policy engagement, and contributions to communications materials. ICI support through the Fellowship will include small budgets for community-level projects and stipends to enable participation in Fellowship gatherings and global policy events.
Output 3.1.4: IPLC representation and recognition increased at the Rio Conventions and other relevant international conventions and platforms.	The ICI will work with existing IPLC Policy platforms and caucuses and other partners to organize high-level events and networking opportunities at policy meetings prioritized by IPLC partners (for example, these may include the Minamata Convention, Rio Conventions, CITES, Equator Initiative, New York Declaration on Forests, DGM, IUCN, ICCA Consortium). IPLC representatives will share lessons from project activities related to biodiversity conservation, climate mitigation and sustainable livelihoods, highlighting the relevance of large-scale, on-the-ground action by IPLCs to international environmental policy. By convening IPLC representatives at these events, they will be able to align messaging and communications and harmonize policy engagement strategies.

- **Component 4: ICI Knowledge to Action: Transforming Inclusive Conservation Knowledge and Lessons Learned into demonstration models that expand support and advance the field of IPLC-led conservation.**

Outputs	Description
Outcome 4.1.: The field of IPLC-led conservation advanced with improved knowledge management.	
Output 4.1.1: ICI Knowledge Management Platform established.	The ICI Knowledge Management Platform will host the evidence base (increased by this project) for large-scale impacts from IPLC-led projects and disseminate Inclusive Conservation results to local and global audiences in culturally appropriate and inclusive formats and languages. The Knowledge Management Platform will build on existing successful IPLC learning platforms and activities such as the IUCN Panorama. It will host the IC Learning Academy developed under Component 2, gather and share knowledge resources on Inclusive Conservation approaches, experience and results, and serve as a virtual hub for the ICI Community of Practice. The Platform will also link to other relevant knowledge sources such as the ICCA Registry, the US National Aeronautics and Space Administration's (NASA's) Earth Observations for Indigenous-led management, the DGM Global Network, the IUCN/TRAFFIC/International Institute for Environment and Development (IIED) learning platform People Not Poaching, and IUCN Panorama among others.

Outputs	Description
Output 4.1.2: ICI Knowledge Products developed with IPLC organizations for local application in multiple languages and culturally appropriate formats.	The project will generate evidence, lessons learned, best practices and innovative solutions to deliver GEBs through IPLC-led conservation. It will also explore and pursue opportunities for global analysis to fill knowledge gaps and marshal impactful evidence. In addition to being hosted on the Knowledge Platform, information will be disseminated through a variety of methods and platforms, including written publications, radio/audio programs, video storytelling, blogs, webinars and social media. ICI subproject lead organizations and ICI International Environmental Policy Fellows will be encouraged to organize community meetings to share project activities and results, and to engage government, private sector and other stakeholders and partners to enable sharing and expansion of ICI models.
Output 4.1.3: ICI Community of Practice established and supported.	The ICI Community of Practice will bring together subproject grantees and other organizations and networks working to achieve common Inclusive Conservation goals. To ensure wide outreach, the Community of Practice will sponsor virtual interactions, such as webinars, facilitated through the Knowledge Management Platform. The Community of Practice will also connect participants through other in-person project activities such as the ICI Learning Exchanges (Outcome 2.2) and other global policy events or partner initiatives (such as the Equator Initiative), By participating in the Community of Practice, IPLC organizations will be empowered with substantive information they can use in their own activities to achieve IC and IPLC objectives and will further strengthen their networks and collaborations with other IPLC organizations and international partners. The Community of Practice will enable ICI subproject lead organizations to discuss management methods and progress toward their impact targets for improving IPLC-led biodiversity conservation and share methodologies and results of the ICI within and beyond project geographies.
Outcome 4.2.: Expanded audience engaged in IPLC-led conservation	
Output 4.2.1: ICI communications strategy developed based on needs assessment.	The ICI will contract a consultant to conduct a needs assessment to understand key audiences and address communication gaps, and develop a communications strategy. The scope of the communications strategy will be the ICI as a whole, taking into consideration targeted contributions to the subproject Impact Strategies. The messages and communications channels identified will seek to expand awareness of and support for gender-responsive ICI models and approaches at subproject and global levels. The ICI communications strategy will also complement and reinforce activities relating to empowerment of IPLC participation in international fora and policy processes.
Output 4.2.2: ICI Communications Program executed.	Based on the Communications Strategy, the ICI will execute a comprehensive and consistent Communications Program to address communications needs at subproject and global levels and ensure the flow of information within the project and to outside audiences and stakeholders. ICI will develop guidance on standard communications products (logo, templates, photography), communication channels (website, social media, blogs, press releases), and key messaging for use by all project partners.
Output 4.2.3: ICI communications training provided to project partners	Each ICI subproject lead organization will be required to identify a communications lead who will act as point person for ICI communications. The subproject communications leads will receive training on the implementation of the ICI Communications Program (including messaging, social media management, crisis communications, and performance analytic tools), to ensure consistent messaging and

Outputs	Description
	presentation across all the subprojects. The training also will provide opportunities to fine tune alignment between subproject communications needs and activities and the ICI Communications Program.

Implementing Agencies Capacities

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 they work and within international human rights, environment and climate policy fora. Underscoring CI and IUCN 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.

Safeguards capacity assessment tool

Implementation of components 2-4 will also involve the local EAs. Here, institutional safeguards capacities vary. A capacity assessment tool has been developed 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.

Recognizing that local ICI EAs will be at different stages in terms of their safeguards’ capacity, and collectively will be implementing in a highly diverse set of contexts with each presenting their own challenges, it is important that there are shared basic standards amongst the partners in terms of their ability to implement and monitor the use of the social and environmental safeguards. Based on the results of the Capacity Assessment Scorecard, local ICI EAs may be expected to undertake targeted capacity building in relation to adherence to the social and environmental safeguards. The expectation is that for the most part activities in support of the safeguards can be carried out through existing structures of local ICI EAs.

This tool contains elements to assess the EA's capacities related to the 10 ESS and to the Gender Mainstreaming, Stakeholder Engagement and Grievance Mechanism Policies.

6. Participation and consultation process during project preparation

The participation and consultation process during project preparation had several milestones.

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. It is important to mention that IPAG was involved in preparing the RFP with the description of the global component.

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 transitional period between the ISC and the establishment of the ICI Steering committee to transfer responsibilities. Please see the TORs of the Steering Committee in Appendix 5.2.

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 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 (IWBNI), 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 Appendix with Consultations).

7. Stakeholder engagement during project implementation

Engagement with the GEF Indigenous Peoples Advisory Group (IPAG)

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.

ICI Steering Committee during project Implementation:

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 Appendix 3.1 with records of consultations).

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.

8. Framework for ensuring FPIC during project implementation

Project activities will be based on self-determined initiatives implemented and led by IPLC organizations. Therefore, 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.

Free, Prior and Informed Consent (FPIC) is a framework for ensuring that the rights of indigenous peoples are guaranteed in any decision that may affect their lands, territories or livelihoods. Composed of four separate components: (i) Free—Without coercion, intimidation, manipulation, threat, or bribery. (ii) Prior—indicates that consent has been sought sufficiently in advance, before any project activities have been authorized or commenced, ..., (iii) Informed—Information is provided in a language and form that are easily understood by the community, covering the nature, scope, purpose, duration and locality of the project (iv) Consent—The right of indigenous peoples to give or withhold their consent to any decision that will impact their lands, territories, resources, and livelihoods.” (Buppert & McKeegan, 2013).

According to the GEF Updated Policy on Environmental and Social Safeguards (2018), Free, Prior and Informed Consent (FPIC) means, for the purposes of this policy, the collective support of an affected Indigenous People for project or program activities, reached through a process of Meaningful Consultation in a culturally appropriate manner, and properly documented describing the mutually accepted process to carry out good faith negotiations, and the outcome of such negotiations, including dissenting views. There is no universally agreed definition of FPIC. FPIC does not require unanimity and may be achieved even when individuals or groups within the community explicitly disagree.

As highlighted in the Stakeholder Engagement Framework, the ICI Project Safeguard System states that funded projects, will, among others:

- Implement effective consultation processes with the affected indigenous peoples' communities to fully identify their views and to seek their FPIC for project activities affecting them. FPIC builds on and expands the process of meaningful consultation described in Policy 3 of this ESMF (Stakeholder Engagement) and will be established through good faith negotiation between the Executing Agency/Entity and the project-affected communities of indigenous peoples. The Executing Agency/Entity will document: (i) the mutually accepted process between the Executing Agency/Entity and project-affected communities of indigenous peoples, and (ii) evidence of agreement between the parties as the outcome of the negotiations.
- 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

The main comments raised during the FPIC process shall be registered by the Implementing Agencies. These will need to explain how the comments were addressed and how they were integrated into the project planning and implementation. It will be important to document the process of information disclosure, consultation, and informed participation and the FPIC process, including good faith negotiations and documented agreements with indigenous peoples, and how issues raised have been addressed. The consultation framework for future engagement should clearly describe the process for ongoing consultations with, and participation by indigenous peoples (including women and men), in the process of implementing and operating the project.

It is essential to ensure that FPIC is incorporated into the grievance mechanism and that commitments are monitored and adapted. In addition, it is important to consider that each community has its own process of how it arrives to FPIC, based on their indigenous governance systems and decision-making processes and these must be at the forefront of FPIC.

In components 2-4, the focus of this Plan, the activities to be carried out are capacity building activities, policy engagement and knowledge and communications in which participation will be voluntary and therefore it is not likely that this type of action will give rise to conflicting issues. Nevertheless, timely information must be provided on the scope of these activities so that the indigenous organizations or individuals seeking to participate in these activities are aware of them and can give their opinion on how they are carried out in order to guarantee their participation. It will be ensured that the IPLCs are aware of the entire execution process of the components, including the different events to be held locally and internationally, in order to assure participation from these communities taking into consideration their governance structure and cultural appropriate measures.

Support from the IPLCs

During the PPG stakeholder engagement phase feedback from IPLC organizations was gathered at international and online meetings. These inputs together with the feedback received from ISC and IPAG during PIF and PPG was used to refine the design of C2-4 in ProDoc. In addition, letters of support have been issued by the 9 subprojects IPLCs participating in Component 1 since these IPOs will be participating as well in activities of Components 2-4. However, more IPLC

organizations in other countries are expected to participate in activities of Components 2-4. As described in the previous section, timely information must be provided on the scope of these activities to all IPLC organizations and individuals seeking participation so they are aware of them and can give their opinion on how they are carried out in order to guarantee their participation. During project inception, the project will work with the GSC to determine appropriate formats, such as letters or forms, to document FPIC for component 2-4 activities.

It should be noted that the design of activities included in C2-4 will have the validation and feedback of the project steering committee throughout the life of the project.

FPIC under COVID-19 conditions

The current pandemic, has affected the project preparation, as described in section 7. In the subsequent stages, the pandemic situation is likely to continue affecting the development of the preparation and inception stages and so it must be treated with particular considerations.

Consistent with the UN Declaration on the Rights of Indigenous Peoples and World Health Organization guidance, Conservation International currently recommends the following set of good practices (Degawan, 2020) to work with IPLCs during the COVID-19 emergency. These recommendations should be considered in the next stages if the pandemic is still present.

The 6 topics of recommendations for interactions with IPLCs are:

1. Intercultural Communications
2. Inclusiveness in Emergency Response
3. Intercultural Approaches to Health, Safety and Care
4. Technology and Transport
5. Respecting Indigenous Peoples Rights
6. Post-quarantine Stage

For carrying out the FPIC process considering COVID-19 conditions, the following steps should be considered:

- i. Initial contact: for presenting the participant IPLCs representatives the project and the need to establish communication to gather their opinion on the project and discuss with them how they want to be consulted. The main objectives in this step were:
 - a. Understand the current local context
 - b. Understand legal and customary rights
 - c. Identify and respect traditional decision-making structures.
- ii. Workshops with representatives: for presenting/socializing to each local leadership the scope and objective of the Project to then seek consent with the whole association on the formal support for the Project. Virtual and in person meetings (if the situation allows it).
- iii. Local Assemblies: promotion of the discussion inside the local associations following the local governance structure.

At the post-quarantine stage, the process may need to promote a more pro-active inclusion of women and vulnerable groups and the inclusion of a larger number of members of the communities. In addition, it is necessary to adhere to COVID19 prevention protocols set in place by IPLCs/ communities.

9. Action Plan

The following table presents supportive measures to address aspects highlighted in the initial screening related to indigenous people engagement in the project at a high level included as part of the ESMP action plan as well as specific measures considering outcomes, outputs and activities for components 2-4. It should be noted that these supportive measures do not take all site-specific characteristics into account but serve to monitor the identified high-level aspects globally across all involved subprojects, and later also including monitoring information from the additional IP organizations and groups that will engage in components 2-4 of the ICI; taking into consideration that these components will be implemented in different project sites not identified yet.

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.

Table 15: High Level Indigenous People Action plan for components 2-4 of the ICI

ESS	Aspect of importance	Risk Relevance by Project Sites	Explanation	High Level Supportive measures (HLSM)	High Level Indicators	Supportive Measures (SM)	Indicators	Responsible party/person	Cost/Budget
ESS 4 Indigenous Peoples	A4.1: The activities do not implement effective participation and engagement of Indigenous Peoples and most vulnerable groups (e.g., indigenous women)	All project sites	The project will involve indigenous peoples and could potentially present risks related to level of participation and engagement of indigenous communities during activities to promote indigenous practices and knowledge while actively involving Indigenous Peoples in international fora to enrich peer learning, knowledge management and inform environmental policy.	HLSM4.1.1: Implement the 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.	I4.1.1: Number of IPP developed.	SM4.1.1: Implement the 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.	I4.1.1.1: Progress with implementation of the IPP	C/IUCN	Outcome 2.1 (USD \$ 160,000)
						SM 4.1.1.2: ICI Project Governance consisting of a Steering Committee.	I4.1.1.2: Steering Committee established (yes/no)		
						SM4.1.1.3: Include in the ICLA the spectrum of topics, formats and learning methods suitable to address the capacity building needs of indigenous peoples, ensuring use of culturally appropriate formats and languages as well as making core content available offline if possible where	I4.1.1.3: ICLA designed culturally appropriate.	CI-IUCN	Outcome 2.1 (USD \$10,000)



ESS	Aspect of importance	Risk Relevance by Project Sites	Explanation	High Level Supportive measures (HLSM)	High Level Indicators	Supportive Measures (SM)	Indicators	Responsible party/person	Cost/Budget
						<p>internet access is limited.</p> <p>SM4.1.1.4: Evaluate the results of ICI capacity building and its effect on enhancing the performance of on-the-ground conservation projects considering indigenous people specific learning feedback.</p> <p>SM4.1.1.5: Conduct Learning Exchanges including broad participation of indigenous peoples in terms of diversity, age and gender from beyond ICI subproject geographies to draw on and link to their wider experience and areas of expertise.</p> <p>SM4.1.1.6: Conduct Financial Opportunity Analysis to identify long-term finance mechanisms and impact investment opportunities in subproject geographies, including specific indigenous peoples' needs.</p>	<p>I4.1.1.4: Percentage of participants stating that capacity building helps to improve the performance of conservation projects.</p> <p>I4.1.1.5: Percentage of indigenous people from beyond ICI subproject geographies that participate in Learning Exchanges.</p> <p>I4.1.1.6: Number of opportunities identified focused on indigenous people.</p>	<p>Project Lead CI-IUCN</p> <p>Project CI-IUCN</p> <p>Project Lead CI-IUCN</p>	<p>Outcome 2.2 (USD \$420,000)</p> <p>Outcome 2.3 (USD \$30,000)</p> <p>Outcome 2.3 (USD \$50,000)</p>



ESS	Aspect of importance	Risk Relevance by Project Sites	Explanation	High Level Supportive measures (HLSM)	High Level Indicators	Supportive Measures (SM)	Indicators	Responsible party/person	Cost/Budget
						<p>SM4.1.1.7: Building of sustainable financing options, how different mechanisms function, and the types of investors, partners or government agencies who will fund them with specific considerations for indigenous peoples.</p> <p>SM4.1.1.8: Increase synergies of various efforts relating to the Rio Conventions that affect IPLCs, assuring indigenous peoples' diversity participation in these fora.</p> <p>SM4.1.1.9: Enhance negotiation skills as part of ICI International Environmental Policy Negotiations Curricula of indigenous people.</p>	<p>I4.1.1.7: Number of Opportunity Analysis conducted to identify long-term finance mechanisms and impact investment opportunities in subproject geographies. (linked to output 2.3.1 in the results framework)</p> <p>I4.1.1.8: Number of subproject geographies from which IPLC representatives are participating in synergy activities.</p> <p>I4.1.1.9: Number of IPLC leaders with greater opportunity to influence international environmental</p>	<p>Project Lead CI- Technical Lead IUCN</p> <p>Project Lead CI- Technical Lead IUCN</p>	<p>Outcome 3.1 (USD \$120,000)</p> <p>Outcome 2.1 (USD \$152,000)</p>



ESS	Aspect of importance	Risk Relevance by Project Sites	Explanation	High Level Supportive measures (HLSM)	High Level Indicators	Supportive Measures (SM)	Indicators	Responsible party/person	Cost/Budget
							policy with support of ICI (disaggregated by gender, affiliation, IPLC status, county, convention, and accreditation). (linked to indicator 3.1.A in results framework)	Project Lead- CI	Outcome 3.1 (USD \$120,00)
						SM4.1.1.10: Assure indigenous peoples' diversity participation as part of International Environmental Policy Fellows Program.	I4.1.1.10: Number of fellows participating in the International Environmental Policy Fellows Program.	CI-IUCN Technical Advisor, Communications	Outcome 4.1 (\$418,785)
						SM4.1.1.11: Assure broad participation of indigenous peoples in terms of diversity, age and gender, have access to the ICI Knowledge Management Platform.	I4.1.1.11: Number of indigenous people diversity with access to the ICI Knowledge Management Platform.	CI-IUCN Technical Advisor, Communications	Outcomes 2.1,2.2.4.1 (USD \$105,000)



ESS	Aspect of importance	Risk Relevance by Project Sites	Explanation	High Level Supportive measures (HLSM)	High Level Indicators	Supportive Measures (SM)	Indicators	Responsible party/person	Cost/Budget
						<p>SM4.1.1.12: Produce knowledge products developed with IPLC organizations for local application in multiple languages and culturally appropriate formats.</p> <p>SM4.1.1.13: Assure broad participation of indigenous peoples in terms of diversity, age, and gender in the ICI Community of Practice.</p> <p>SM4.1.1.14: Assure to include indigenous people characteristics and context in the ICI communications strategy.</p>	<p>I4.1.12: Number of knowledge products in multiple languages and culturally appropriate formats.</p> <p>I4.1.1.13: Number of countries from which IPLCs are participating in the ICI Community of Practice.</p> <p>I4.1.1.14: ICI Communications Strategy including indigenous people characteristics and context.</p>	<p>IUCN- Technical Advisor</p> <p>IUCN Communication Staff</p>	<p>Outcome 4.1 (USD \$36,000)</p> <p>Outcome 4.2 (USD \$80,000)</p> <p>Outcome 4.2 (USD \$80,000)</p>
				<p>HLSM4.1.2: Implement effective consultation activities that guarantee indigenous peoples, men and women, of all hierarchy levels fully participation and engagement in the different for a through a Free, Prior and Informed</p>	<p>I4.1.2: Number of FPIC consultation activities with diverse participation and engagement of indigenous peoples, men and women, of all hierarchy levels.</p>	<p>SM4.1.2.1: Prepare global stakeholder mapping building on the stakeholder engagement conducted for each subproject, considering indigenous people diversity stakeholders.</p>	<p>I4.1.2.1: Stakeholder mapping including indigenous people diversity.</p> <p>I4.1.2.2: Number and</p>	<p>In-house consultant</p>	<p>Outcome 1.1,1.2 (USD \$152,000)</p>



ESS	Aspect of importance	Risk Relevance by Project Sites	Explanation	High Level Supportive measures (HLSM)	High Level Indicators	Supportive Measures (SM)	Indicators	Responsible party/person	Cost/Budget
				Consent (FPIC) consultation process.		<p>SM4.1.2.2: Obtain Free, Prior and Informed Consent from affected stakeholders, following an FPIC procedure participatory manner and in line with CI and IUCN Guidelines described above.</p> <p>SM4.1.2.3: Assure indigenous people diversity participation in high-level events and networking opportunities at policy meetings prioritized by IPLC partners (for example, these may include the Minamata Convention, Rio Conventions, CITES, Equator Initiative, New York Declaration on Forests, DGM, IUCN, ICCA Consortium).</p>	<p>percentage of subproject geographies and additional sites engaged in components 2-4 from which Free, Prior and Informed Consent has been sought.</p> <p>I4.1.2.3: Number of indigenous people diversity participation on in high-level events and networking opportunities at policy meetings</p>	<p>CI- IUCN with GSC</p> <p>CI- Governance staff / IUCN Technical Advisor</p>	<p>FPIC will be part of staff lead/manager role and governance staff and with Steering Committee Outcome 1.7</p> <p>Outcome 3.1 (USD \$180,00)</p>
				HLSM4.1.3: Apply 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	I4.1.3(a): Accountability Grievance Mechanisms which include specific mechanism culturally appropriate and accessible to affected	SM4.1.3.1: Implement the project-specific Grievance Redress Mechanism and trace complaints to ensure satisfactory follow up and conclusion of complaints.	<p>I4.1.3.1: Number of complaints raised through the GRM.</p> <p>I4.1.3.2: Percentage of complaints that</p>	<p>CI-IUCN_ Global Steering Committee</p>	<p>Outcome 1.1 (USD \$72,000)</p>



ESS	Aspect of importance	Risk Relevance by Project Sites	Explanation	High Level Supportive measures (HLSM)	High Level Indicators	Supportive Measures (SM)	Indicators	Responsible party/person	Cost/Budget
				among indigenous peoples/communities.	indigenous peoples. I4.1.3(b): Number of grievances raised in the context of indigenous people engagement and participation process.		were concluded satisfactorily.		
ESS 6 Cultural heritage	A6.1 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, including risks of sharing Traditional Knowledge, and the lack of knowledge of the organization regarding the protection of cultural heritage.	HLSM6.1.1: 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. HLSM6.1.2: Development of protocols to govern the access to the learning platform if elements of Traditional Knowledge are included in it. Such protocols will be developed at the local level to serve as guide to the global platform. The FPIC of knowledge holders must be sought	I6.1.1: 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. I6.1.2: Number of protocols to govern the access to the learning platform, that include considerations on sharing of Traditional Knowledge.	SM6.1.1.1: Assess how green enterprises making use of traditional knowledge need to consider the Intellectual property law. SM6.1.1.2: Perform assessments on the way benefits derived from the use of traditional knowledge must be shared. SM6.1.2.1: Carry out meetings and assessments to identify learning contents derived from Traditional Knowledge. SM6.1.2.2: Carry out meetings with equal	I6.1.1.1: Number of assessments of the intellectual property law regarding green enterprises activities. I6.1.1.2: Number of assessments on benefits sharing derived from the use of traditional knowledge. I6.1.2.1: Number of meetings and assessments to identify learning contents	Project Leads CI-IUCN Project Leads CI-IUCN Project Leads CI-IUCN	The FPIC Process will establish where traditional knowledge protocol may lead to a new project and protocols will be put in place. FPIC will be part of staff lead/manager role and governance staff and with Steering Committee Outcome 1.7



ESS	Aspect of importance	Risk Relevance by Project Sites	Explanation	High Level Supportive measures (HLSM)	High Level Indicators	Supportive Measures (SM)	Indicators	Responsible party/person	Cost/Budget
				prior to sharing these outside the specific community.	16.1.3: Number of FPIC consultation activities related to the sharing of Traditional Knowledge, with diverse participation and engagement of indigenous peoples, men and women, of all hierarchy levels.	<p>participation of indigenous men and women for the participatory elaboration of protocols to governing the access to the learning platform.</p> <p>SM6.1.2.3: Protocols to governing the access to the learning platform, considering particularly the sharing of Traditional Knowledge.</p> <p>SM6.1.2.4: Ensure that FPIC processes address the topic of the Traditional Knowledge content sharing through the learning platforms and tools of the ICI.</p> <p>SM6.1.2.5: Obtain the commitment of the users of the tools and the learning platform to respect the conditions of use and reference to Traditional Knowledge.</p>	<p>derived from Traditional Knowledge.</p> <p>16.1.2.2: Minute meetings with equal participation of indigenous men and women for the participatory elaboration of protocols to governing the access to the learning platform.</p> <p>16.1.2.3: Number of protocols to governing the access to the learning platform, considering particularly the sharing of Traditional Knowledge.</p> <p>16.1.2.4: Number of FPIC containing the topic of the Traditional</p>	Project Leads CI-IUCN	Outcomes 2.1,2.2.4.1 (USD \$105,000



ESS	Aspect of importance	Risk Relevance by Project Sites	Explanation	High Level Supportive measures (HLSM)	High Level Indicators	Supportive Measures (SM)	Indicators	Responsible party/person	Cost/Budget
							Knowledge content sharing through the learning platforms and tools of the ICI. 16.1.2.5: Number of commitments of the users of the tools and the learning platform to respect the conditions of use and reference to Traditional Knowledge.		

10. Grievance mechanism

The Project Safeguard System established 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 ICI'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.

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.

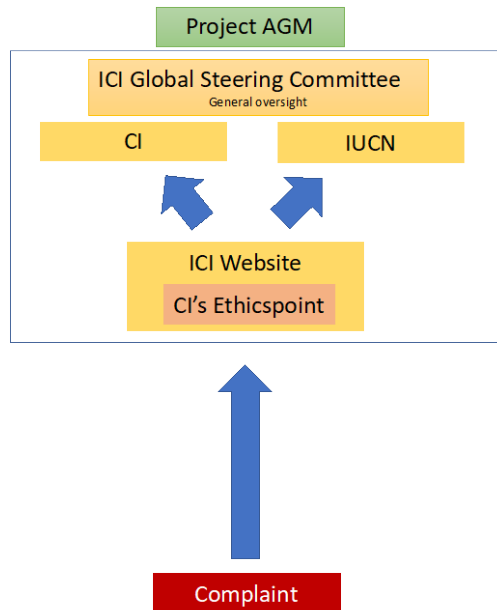
Conflict Resolution on a Project-by-Project basis

CI Ethics Point will be the first point of contact in the Accountability and Grievance Mechanism. The grievance may file a claim through CI's EthicsPoint Hotline at <https://secure.ethicspoint.com>. The Executing Agencies will be responsible for informing Affected Communities about the project commitments and ESMP provisions. Contact information of CI and IUCN will be made publicly available to all involved stakeholders. Complaints can be made through many different channels including, but not limited to face-to-face meetings, written complaints, telephone conversations or e-mail.

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.

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. 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:

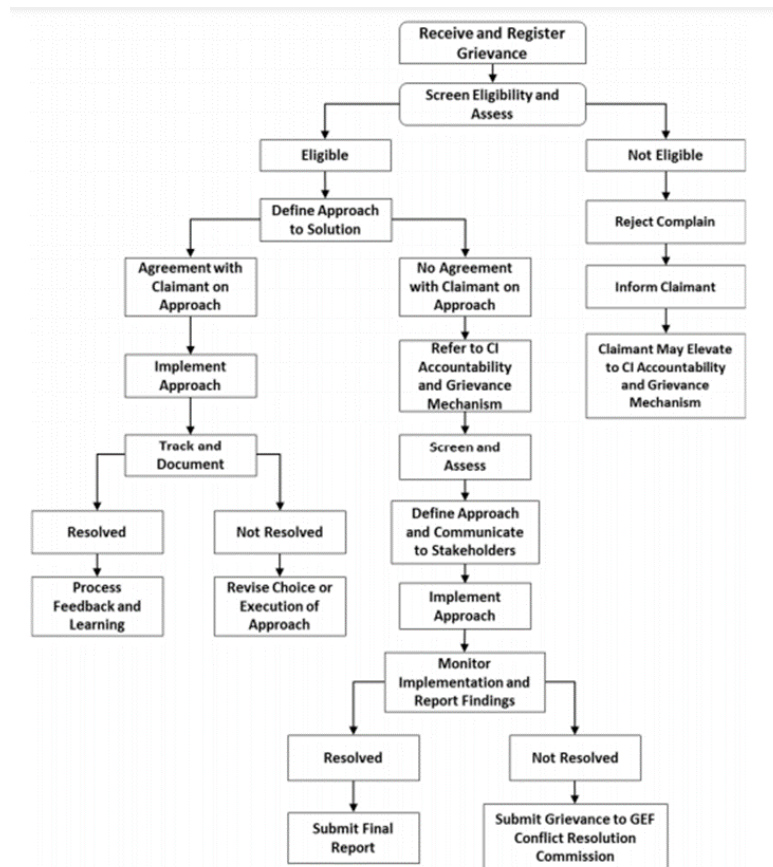
Mailing address: Director of Compliance
Conservation International
2011 Crystal Drive, Suite 500
Arlington, VA 22202, USA.

CI and IUCN 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 their responsibility to monitor any mitigating measures noted from the implementation of the GEF Environmental and Social Safeguards.

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 CI's 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



11. Monitoring, Evaluation and Reporting

As described in Section 9 of the ESMP, the implementation of the ESMP and all annexed management plans needs to be monitored over time in order to allow for its adaptive management as needed. Indicators are included in the Environmental and Social Action Plan. Indicators and targets for the Mitigation Measures related to the IPP are presented below.

Supportive measures (SM)	Indicator (I)	Target (T)
SM4.1.1.1: Develop subproject Impact Strategies to guide project design and implementation of IPLC-led activities	I4.1.1.1: Number of subproject Impact Strategies	T4.1.1.1: Subproject Impact Strategies have been developed for all nine subproject geographies
SM4.1.1.2: Establish Steering Committee for ICI Project Governance	I4.1.1.2: Steering Committee established (yes/no)	T4.1.1.2: The Steering Committee has been established
SM4.1.1.3: Develop ICLA curricula in local language considering indigenous people training capacities needs.	I4.1.1.3: Number of ICLA curricula developed in local language considering indigenous people training capacities needs.	T4.1.1.3: ICLA curricula exist in all important local languages from participating IPLCs so that language is no obstacle to participation
SM4.1.1.4: Include in the ICLA the spectrum of topics, formats and learning methods suitable to address the capacity building needs of indigenous people, ensuring use of culturally appropriate formats and languages as well as making core content available offline if possible where internet access is limited.	I4.1.1.4: ICLA designed culturally appropriate	T4.1.1.4: <i>What constitutes culturally appropriate design of ICLAs needs defining at project initiation so that more specific indicators can be determined. Then the target should be set for the refined indicators.</i>
SM4.1.1.5: Evaluate the results of ICI capacity building and its effect on enhancing the performance of on-the-ground conservation projects considering indigenous people specific learning feedback.	I4.1.1.5: Percentage of participants stating that capacity building helps to improve the performance of conservation projects.	T4.1.1.5: At least 75% of participants confirm that capacity building helped to improve the performance of conservation projects.
SM4.1.1.6: Conduct Learning Exchanges including indigenous people diversity participants from beyond ICI subproject geographies to draw on and link to their wider experience and areas of expertise.	I4.1.1.6: Percentage of indigenous people from beyond ICI subproject geographies that participate in Learning Exchanges.	T4.1.1.6: At least 30% of participants in Learning Exchanges are from areas beyond the ICI subproject geographies.



Supportive measures (SM)	Indicator (I)	Target (T)
SM4.1.1.7: Conduct Financial Opportunity Analysis to identify long-term finance mechanisms and impact investment opportunities in subproject geographies, including specific indigenous people needs.	I4.1.1.7: Number of opportunities identified focus on indigenous people.	
SM4.1.1.8: Build of sustainable financing options, how different mechanisms function, and the types of investors, partners or government agencies who will fund them with specific considerations for indigenous people.	I4.1.1.8: Number of Opportunity Analysis conducted to identify long-term finance mechanisms and impact investment opportunities in subproject geographies. (linked to output 2.3.1 in the results framework)	T4.1.1.8: Opportunity Analysis have been conducted for the geographies of all nine subprojects
SM4.1.1.9: Increase synergies of various efforts relating to the Rio Conventions that affect IPLCs, assuring indigenous people diversity participation in these fora.	I4.1.1.9: Number of subproject geographies from which IPLC representatives are participating in synergy activities.	T4.1.1.9: Representatives from all nine subproject geographies are participating in synergy activities
SM4.1.1.10: Enhance negotiation skills as part of ICI International Environmental Policy Negotiations Curricula of indigenous people.	I4.1.1.10 Number of IPLC leaders with greater opportunity to influence international environmental policy with support of ICI (disaggregated by gender, affiliation, IPLC status, county, convention, and accreditation). (linked to indicator 3.1.A in results framework)	T4.1.1.10: ≥400 IPLC leaders, thereof 50% women, have greater opportunity to influence international environmental policy with support of ICI
SM4.1.1.11: Assure indigenous people diversity participation as part of International Environmental Policy Fellows Program.	I4.1.1.11: Number of fellows participating in the International Environmental Policy Fellows Program.	T4.1.1.11.: 15 fellows (5 per year in years 2-4 of project, at least 50% women)
SM4.1.1.12: Assure indigenous people diversity have access to the ICI Knowledge Management Platform.	I4.1.1.12: Number of indigenous people diversity with access to the ICI Knowledge Management Platform.	T4.1.1.12: IPLCs from all nine subproject geographies and other regions beyond have access to the ICI Knowledge Management Platform.
SM4.1.1.13: Produce knowledge products developed with IPLC organizations for local application in multiple languages and culturally appropriate formats.	I4.1.1.13: Number of knowledge products in multiple languages and culturally appropriate formats.	T4.1.1.13: 7 knowledge products reflecting gender-inclusivity and available in at least 3 languages. (linked to indicator 4.1.2 in the results framework and 2.1.b)
SM4.1.1.14: Assure indigenous people diversity participation in the ICI Community of Practice.	I4.1.1.14: Number of countries from which IPLCs are participating in the ICI Community of Practice.	T4.1.1.14: IPLCs from at least 30 countries are participating in the ICI Community of Practice
SM4.1.1.15: Assure to include indigenous people characteristics and context in the ICI communications strategy.	I4.1.1.15: ICI Communications Strategy including indigenous people characteristics and context.	T4.1.1.15: Yes, the ICI Communications Strategy includes Indigenous Peoples characteristics and context.
SM4.1.2.1: Build on stakeholder mapping as part of Impact Strategy development for each subproject,	I4.1.2.1: Stakeholder mapping including indigenous people diversity.	T4.1.2.1: Stakeholder maps have been produced for all subproject geographies and additional sites engaged in components 2-4

Supportive measures (SM)	Indicator (I)	Target (T)
considering indigenous people diversity stakeholders.		
SM4.1.2.2: Obtain Free, Prior and Informed Consent from affected stakeholders, following an FPIC procedure participatory manner and in line with CI and IUCN Guidelines described above.	I4.1.2.2: Number and percentage of subproject geographies and additional sites engaged in components 2-4 from which Free, Prior and Informed Consent has been sought.	T4.1.2.2: FPIC has been sought from 100% of subproject geographies and additional sites engaged in components 2-4.
SM4.1.2.3: Assure indigenous people diversity participation in high-level events and networking opportunities at policy meetings prioritized by IPLC partners (for example, these may include the Minamata Convention, Rio Conventions, CITES, Equator Initiative, New York Declaration on Forests, DGM, IUCN, ICCA Consortium).	I4.1.2.3: Number of subproject geographies from which indigenous people participate in high-level events and networking opportunities at policy meetings	T4.1.2.3: IPLCs from all nine subproject geographies are participating in high-level events and networking opportunities at policy meetings
SM4.1.3.1: Implement the project-specific Grievance Redress Mechanism and trace complaints in the context of restricted access to and use of resources to ensure satisfactory follow up and conclusion of complaints.	I4.1.3.1: Number of complaints raised through the GRM. I4.1.3.2: Percentage of complaints that were concluded satisfactorily.	T4.1.3.1: The number of complaints per subproject geography is low and decreases rather than increases over time. T4.1.3.2: 100% of complaints were concluded satisfactorily.

Apart from the indicated schedule for implementation of mitigation measures and reporting on indicators, a generic reporting schedule needs to be agreed. For the present plan, reporting on the indicators will be required biannually. For sub-contractors, a reporting schedule needs to be agreed in line with the duration of their involvement in project implementation and the activities they are in charge of.

In addition, it is important to note that the process of monitoring and evaluation for this Plan considers corrective action processes through the reporting activities as well as regular field visits and consultation with stakeholders during the implementation phase, notifying all relevant actors of corrective actions considered in the evaluation process.

Appendix 4.1: Letters from communities in support for Eols (identified territories)

See folder attached.

Appendix 4.2: 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.

4. 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.

5. 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.

6. 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:

- h) Membership from IPLC communities or governance of ICI subprojects.
- i) Recognized as community leaders engaged in the field of IPLC-led conservation and issues relevant to ICI.
- j) Ability and interest to participate in the leadership of the initiative.
- k) Willingness to travel for GSC meetings.
- l) Commitment to report on progress of work related to ICI carried out at the local level.
- m) Willingness to speak on the initiative at public conferences.
- n) 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.