

ICI PROJECT SAFEGUARD SYSTEM

SAFEGUARD SCREENING ANALYSIS AND RESULTS

Preliminary Screening (Concept Stage) Secondary Screening (Full Proposal Stage)

I. PROJECT INFORMATION

A. Basic Project Profile

Country: Global	GEF Project ID:
Project Title: Inclusive Conservation Initiative (ICI) [Component 1]	
Executing Agencies: Conservation International (CI) and the International Union for the Conservation of Nature (IUCN)	
GEF Focal Area: Biodiversity	
GEF Project Amount: USD\$22,535,780	
GEF Project Manager: Free De Koning (CI) and Jenny Springer (IUCN)	
Safeguard Analysis Performed by: Ian Kissoon (CI) and Linda Klare (IUCN)	
Date of Analysis: November 21, 2020	

B. Summary of Project Risk Categorization, Safeguards Triggered and Mitigation Plans Required

Project Category:	Category A	Category B	Category C
		X	
<i>The proposed project has the potential to cause adverse environmental and social impacts on human populations or environmentally or socially important areas. However, these impacts are site-specific; few if any of them are irreversible; and in most cases mitigation measures can be designed more readily than for Category A projects.</i>			
Safeguards Triggered:			
<input type="checkbox"/> Environmental & Social Impact Assessment	<input checked="" type="checkbox"/> Cultural Heritage		
<input type="checkbox"/> Protection of Natural Habitats and Biodiversity Conservation	<input checked="" type="checkbox"/> Labour and Working Conditions		
<input type="checkbox"/> Resett. & Physical/Economic Displacement	<input checked="" type="checkbox"/> Community Health, Safety and Security		
<input checked="" type="checkbox"/> Indigenous Peoples	<input type="checkbox"/> Private Sector Direct Investments and Financial Intermediaries		
<input type="checkbox"/> Resource Efficiency & Pollution Prevention	<input type="checkbox"/> Climate Risk and Related Disasters		
Mitigation Measures Required:			
<input type="checkbox"/> Limited or Full ESIA	<input type="checkbox"/> Resource Efficiency & Poll. Prevention Plan		
<input type="checkbox"/> Environmental & Social Management Plan	<input type="checkbox"/> Cultural Heritage Management Plan		
<input type="checkbox"/> Plan for Natural Habitat Protection and Biodiversity Conservation	<input checked="" type="checkbox"/> Labour Management Procedures		
<input type="checkbox"/> Voluntary Resettlement Action Plan	<input checked="" type="checkbox"/> Community Health, Safety and Security Plan		
<input type="checkbox"/> Process Framework	<input checked="" type="checkbox"/> Environmental and Social Management Framework		
<input checked="" type="checkbox"/> Indigenous Peoples Plan	<input type="checkbox"/> Climate and Disaster Risk Management Plan		

C. Project Objective:

The overall objective of the ICI is to enhance Indigenous Peoples' and Local Communities' (IPLCs) efforts to steward land, water, and natural resources to deliver global environmental benefits (GEBs).

The specific objective of Component 1 is to provide direct financial support to IPLC-led initiatives in priority areas that achieve global environmental benefits through improved large-scale management of IPLC lands, territories, and resources.

D. Project Description:

The ICI project comprise four components. However, this screening is concerned with Component 1.

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 1 will establish on-the-ground projects in 9 Inclusive Conservation Priority Geographies (ICPG), representing a diverse range of contexts and ecosystems (landscapes and seascapes) with high biodiversity value and potential to deliver GEBs. Funds will flow to IPLC-led activities through a three-tiered flexible and adaptable granting portfolio.

Opportunities to advance IPLC-led conservation are present across a wide range of regions and ecosystems. Priority 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.

E. Project location and biophysical characteristics relevant to the safeguard analysis:

For Component 1, the project will be implemented in 9 geographic territories located within 14 countries, namely Argentina, Bolivia, Chile, Cook Islands, Democratic Republic of the Congo (DRC), Fiji, Guatemala, Honduras, Kenya, Nepal, Panama, Peru, Tanzania, and Thailand.

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

- Economic development is prioritized over environmental stewardship leading to pressure being placed on fragile ecological landscapes. There are considerable threats to IPLCS and their

territories from developments such as infrastructure projects, large scale energy and agricultural projects, roads, and the extractive sectors.

- The lack of land and resource tenure security of the territories held by IPLCs impedes them from directly benefiting from global environmental improvements. Improved tenure security is key to introducing more sustainable land and resource practices.
- Too often government policies and conservation practices have not properly accounted for the participation of IPLCS in development and conservation initiatives meant for their benefit. This has often led to animosity amongst indigenous peoples and fueled their opposition to such endeavours as protected areas.
- In not involving Indigenous peoples in conservation strategies and related initiatives, access to important knowledge and practices in areas such as land management that IPLCs possess that could greatly contribute to sustainable governance of territories, is being ignored.

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.

Economic activities of importance to the IPLCs across the 14 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.

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

In addition to the gender barriers and inequalities, Gender-based violence (GBV) is prevalent in the ICI priority geographies areas and includes sexual violence in the home and broader society, sexual harassment in the workplace, psychological abuse, trafficking of women, mass rapes, and sexual slavery. The institutional systems to address GBV is generally weak and in some cases, impunity is massive with political interference and corruption allowing perpetrators to go unpunished.

F. Executing Agency (EA)'s Institutional Capacity for Safeguard Policies:

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 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 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 has a long history of working with indigenous peoples to promote the recognition of their rights and to support their conservation activities. At the IUCN World Conservation Congress in 2016, the IUCN Members Assembly created a new category of IUCN membership for indigenous peoples' organisations (IPO) to strengthen their participation, voice and role in IUCN, and in conservation more broadly. The Union now has 19 IPOs as Members. In 2018, IPO members produced a strategy to advance indigenous issues, including increasing their participation in IUCN's governance and global policy engagement, and strengthening indigenous institutions.

II. SAFEGUARDS TRIGGERED BY THE PROJECT

Based on the information provided in the Safeguard Screening Form, the following safeguards were triggered:

Safeguard Triggered	Yes	No	TBD	Justification
ESS 1: Environmental & Social Impact Assessment			X	<i>Component 1 is focused on providing direct financial support to IPLC-led initiatives in priority areas that GEBs through improved large-scale management of IPLC lands, territories, and resources. However, information on the subprojects is not yet available to determine if activities will cause adverse environmental and social impacts.</i>
ESS 2: Protection of Natural Habitats and Biodiversity Conservation			X	<i>Component 1 includes activities in different productive areas that could potentially affect species and areas of high biodiversity identified as threatened at the local and/or global levels and introduce or use potentially invasive, non-indigenous species. However, information on the subprojects is not yet available to determine if activities will cause adverse impacts on natural and/or critical habitats.</i>
ESS 3: Resettlement and Physical and Economic Displacement		X		<i>The project will not engage in the resettlement of people or cause physical and economic displacement.</i>
ESS 4: Indigenous Peoples	X			<i>The project will work in lands or territories traditionally owned, customarily used, or occupied by indigenous peoples. While the impact is expected to be positive, the project must guard against unintentional and negative impacts on IPs.</i>
ESS 5: Resource Efficiency and Pollution Prevention			X	<i>Component 1 includes activities such as agriculture in different productive areas. However, information on the subprojects is not yet available to determine if activities will generate waste, effluents and pollutants, and use pesticides, energy and water.</i>
ESS 6: Cultural Heritage	X			<i>The project plans to work in areas where cultural heritage, both tangible and intangible, exists.</i>
ESS 7: Labor and Working Conditions	X			<i>The EAs have in place the necessary policies, procedures, systems and capabilities that meets the requirements of ESS 7. However, these must be flowed down to sub grantees and contractors, and those carrying out community works.</i>
ESS 8: Community Health, Safety and Security	X			<i>The project anticipates risks to community health, safety and security including COVID-19, transmission of diseases, hostility towards environmental and human rights defenders, conflicts with illegal entities/mafia, conflicts with stakeholders and amongst resource users in the project areas, and safety risks where there is construction of infrastructure.</i>
ESS 9: Private Sector Direct Investments and Financial Intermediaries		X		<i>The project does not plan to make either direct investments in private sector firms, or channels funds through Financial Intermediaries.</i>

ESS 10: Climate Risk and Related Disasters		X	<i>Moderate risk: The project areas are projected to experience increased temperatures and variable precipitation which could lead to flooding/landslides, droughts, forest fires, sea-level rise, coral bleaching, more intense tropical cyclones, loss of wildlife, land degradation, resource-use conflicts, and food insecurity. The project identified mitigation measures to ensure that the project achieves its objectives and/or outputs and that project activities do not inadvertently increase the vulnerability of ecosystems and local communities or the local ecosystem to climate variability, temperature increases or climate hazards.</i>
---	--	----------	--

III. PROJECT CATEGORIZATION

Based on the safeguard policies triggered, the project is categorized as follows:

PROJECT CATEGORY	Category A	Category B	Category C
		X	
<i>Justification: The proposed project has the potential to cause adverse environmental and social impacts on human populations or environmentally or socially important areas. However, these impacts are site-specific; few if any of them are irreversible; and in most cases mitigation measures can be designed more readily than for Category A projects.</i>			

IV. MANAGEMENT OF SAFEGUARDS TRIGGERED

The EAs will be required to undertake the following measures:

- I. Environmental & Social Management Framework (ESMF)
Component 1 of the project will fund a number of subprojects and information on the potential environmental and social impacts of these subprojects are not yet available. As such, the project is required to have an ESMF (covering the 10 ESS Standards) in place to ensure that subprojects comply with the Project Safeguard System and should include a process for screening, identifying and developing mitigation plans and tools, overseeing implementation of the mitigation plans and tools, providing guidance on how to develop plans and tools, and monitoring/reporting progress on compliance to the IAs.

- II. Indigenous Peoples Plan (IPP)
Apart from seeking and documenting Free, Prior and Informed Consent (FPIC) with IPs, the project is required to develop and implement an IPP to avoid adverse impacts on indigenous peoples, ensure their full and effective participation in decision-making related to the project, and to provide indigenous peoples with culturally appropriate social and economic benefits that have been negotiated with them. Appendix VI of the CI-GEF/GCF ESMF v7 provides guidance on developing an IPP.

Further, the IPP should address how the project will ensure that cultural resources (IPs’ knowledge and intellectual property) will be preserved.

III. Labor and Working Conditions

The project needs to have measures in place to ensure that the sub-contractors and those carrying out community works comply with the necessary policies, procedures, systems and capabilities required of this standard.

IV. Community Health, Safety and Security Plan

A number of health, safety and security risks have been identified and the project must have in place, a Community Health, Safety and Security Plan which describes the mitigation measures that will be taken to reduce the risk on project communities and staff. Appendix IX of the CI-GEF/GCF ESMF v7 provides some guidance on Community Health, Safety and Security.

Other Plans

Apart from the safeguard policy, the project is required to comply with the GEF's policies on Accountability and Grievance, Gender, and Stakeholder Engagement. As such, the project is required to develop the following plans:

V. Accountability and Grievance Mechanism

To ensure that the project meets the GEF's Accountability and Grievance Mechanism Policy, the EAs are required to develop an Accountability and Grievance Mechanism (template provided) that will ensure people affected by the project are able to bring their grievances to the EA for consideration and redress. The mechanism must be in place before the start of project activities, and disclosed to all stakeholders in a language, manner and means that best suits the local context.

In addition, the EE is required to provide evidence of grievance mechanism and its dissemination as well as monitor and report on the following minimum accountability and grievance indicators:

- 1. Number of conflict and complaint cases reported to the project's Accountability and Grievance Mechanism; and*
- 2. Percentage of conflict and complaint cases reported to the project's Accountability and Grievance Mechanism that have been addressed.*

VI. Gender Mainstreaming Framework (GMF)

The GMF should describe the gender issues across the project areas and how these will be addressed holistically under Component 1 and the nine individual subprojects of the ICI.

Further, the project should examine the extent of Gender Based Violence (GBV), the likelihood of project activities contributing/exacerbating GBV, and proposed mitigation measures as needed.

In addition, the EAs are required to monitor and report on the following minimum gender indicators:

- 1. Number of men and women that participated in project activities (e.g. meetings, workshops, consultations);*
- 2. Number of men and women that received benefits (e.g. employment, income generating activities, training, access to natural resources, land tenure or resource rights, equipment, leadership roles) from the project; and if relevant*
- 3. Number of strategies, plans (e.g. management plans and land use plans) and policies*

derived from the project that include gender considerations.

VII. Stakeholder Engagement Plan (SEF)

The SEF should describe the overarching stakeholders and engagement process under Component 1, and how the nine individual subprojects of the ICI will develop their SEPs.

In addition, the EA is required to monitor and report on the following minimum stakeholder engagement indicators:

- 1. Number of government agencies, civil society organizations, private sector, indigenous peoples and other stakeholder groups engaged in the project implementation phase;*
- 2. Number persons (sex disaggregated) engaged in project implementation phase; and*
- 3. Number of engagement (e.g. meeting, workshops, consultations) with stakeholders during the project implementation phase*

All plans must be submitted to the IAs for review and approval during the PPG Phase.

V. DISCLOSURE

Following the approval by the IAs, the plans must be disclosed within 30 days of the approval date to the relevant stakeholders. This may require translation of the document or dissemination in a means/manner appropriate to local context.

COVID-19 Guidelines

In response to the COVID-19 pandemic, projects are required to follow the guideline issued by CI-GEF/GCF Project Agency during the project development and implementation phases.