## 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) [Components 2-4] | |
| **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**: December 8, 2020 | |

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

| **Project Category:** | **Category A** | **Category B** | **Category C** |
|---|---|---|---|
| | | **X** | |

*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.*

**Safeguards Triggered:**

| | |
|---|---|
| ☐ Environmental & Social Impact Assessment | ☒ Cultural Heritage |
| ☐ Protection of Natural Habitats and Biodiversity Conservation | ☒ Labour and Working Conditions |
| ☐ Resett. & Physical/Economic Displacement | ☒ Community Health, Safety and Security |
| ☒ Indigenous Peoples | ☐ Private Sector Direct Investments and Financial Intermediaries |
| ☐ Resource Efficiency & Pollution Prevention | ☐ Climate Risk and Related Disasters |

**Mitigation Measures Required:**

| | |
|---|---|
| ☐ Limited or Full ESIA | ☐ Resource Efficiency & Poll. Prevention Plan |
| ☐ Environmental & Social Management Plan | ☐ Cultural Heritage Management Plan |
| ☐ Plan for Natural Habitat Protection and Biodiversity Conservation | ☒ Labour Management Procedures |
| ☐ Voluntary Resettlement Action Plan | ☒ Community Health, Safety and Security Plan |
| ☐ Process Framework | ☐ Environmental and Social Management Framework |
| ☒ Indigenous Peoples Plan | ☐ 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 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.

**D. Project Description:**

The ICI project comprise four components. However, this screening is concerned with Components 2 – 4.

*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.

*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 sub-project regions. Knowledge products will take the form 5 annual reports, 4 flagship reports, global knowledge products and support for knowledge products related to the 9 sub-projects.

**E. Project location and biophysical characteristics relevant to the safeguard analysis:**
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. In addition, Components 2 to 4 will reach beyond these geographies and involve organizations working globally or in other areas.

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** | | *No significant adverse environmental and social impacts that are sensitive, diverse, or unprecedented is anticipated.* |
| **ESS 2: Protection of Natural Habitats and Biodiversity Conservation** | | **X** | | *The project is not proposing activities that would have adverse impacts on natural or critical natural habitats, contravene applicable international environmental treaties or agreements or introduce or use potentially invasive, non-indigenous species.* |
| **ESS 3: Resettlement and Physical and Economic Displacement** | | **X** | | *The project will not engage in the resettlement of people or cause physical and economic displacement.* |
| **ESS 4: Indigenous Peoples** | **X** | | | *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.* |
| **ESS 5: Resource Efficiency and Pollution Prevention** | | **X** | | *There are no proposed activities related to the use of banned, restricted or prohibited substances, chemicals or hazardous materials.* |
| **ESS 6: Cultural Heritage** | **X** | | | *The project plans to promote cultural practices (knowledge and skills) and measures will have to be taken to proserve IP's intellectual property.* |
| **ESS 7: Labor and Working Conditions** | **X** | | | *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 the project needs to ensure that the sub-contractors also have instruments in place to comply with the standard.* |
| **ESS 8: Community Health, Safety and Security** | **X** | | | *Components 2-4 involve the movement of people to participate in training and capacity building events and will need to have measures in place to protect the health (COVID-19), safety and security of participants and stakeholders.* |
| **ESS 9: Private Sector Direct Investments and Financial Intermediaries** | | **X** | | *The project does not plan to make either direct investments in private sector firms, or channels funds through Financial Intermediaries.* |
| **ESS 10: Climate Risk and Related Disasters** | | **X** | | *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.* |

## III. PROJECT CATEGORIZATION

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

| PROJECT CATEGORY | Category A | Category B | Category C |
|---|---|---|---|
| | | **X** | |
| *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.* | | | |

## IV. MANAGEMENT OF SAFEGUARDS TRIGGERED

The EAs will be required to undertake the following measures:

I. *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.*

II. *Labor and Working Conditions*
*Components 2-4 includes learning exchanges and development and/or delivery of training modules that will be sub-contracted. The project needs to have measures in place to ensure that the sub-contractors comply with the necessary policies, procedures, systems and capabilities required of this standard.*

III. *Community Health, Safety and Security Plan*
*Health risks relating to COVID-19 has been identified for stakeholders and participants of training and capacity building events 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 this risk. 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:

IV. *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.*

V. *Gender Mainstreaming Plan (GMP)*

*The GMP (template provided) should include a gender analysis including the role of men and women in decision-making, and appropriate interventions with gender-related outcomes to ensure that men and women have equal opportunities to participate and benefit from the project.*

*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.*

VI. *Stakeholder Engagement Plan (SEP)*

*To ensure that the project complies with the GEF's Stakeholders' Engagement Policy, the EAs are required to develop a Stakeholder Engagement Plan (template provided).*

*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.