CI-GEF PROJECT AGENCY

ENVIRONMENTAL AND SOCIAL MANAGEMENT FRAMEWORK (ESMF)

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TABLE OF CONTENTS

ACRONYMS & ABBREVIATIONS

AIS	Alien and Invasive Species
AMR	Annual Monitoring Report
BAP	Biodiversity Action Plan
BMP	Biodiversity Management Plan
CI	Conservation International
CSO	Civil Society Organizations
DOC	Director of Compliance
EMP	Environmental Management Plan
ES	Ecosystem Services
ESIA	Environmental and Social Impact Assessment
ESMF	Environmental and Social Management Framework
ESMP	Environmental and Social Management Plan
FPIC	Free, Prior and Informed Consent
GEF	Global Environment Facility
IFC	International Finance Corporation's
ILO	International Labor Organization
IPM	Integrated Pest Management
IPP	Indigenous Peoples Plan
IVM	Integrated Vector Management
IUCN	International Union for Conservation of Nature
KBA	Key Biodiversity Areas
M&E	Monitoring and Evaluation
NTFP	Non-Timber Forest Products
PIF	Project Identification Form
PMP	Pest Management Plan
PPG	Project Preparation Grant
RAP	Resettlement Action Plan
SMART	Specific, Measurable, Achievable, Relevant, Time specific

TOR	Terms of Reference
UNDRIP	United Nations Declaration on the Rights of Indigenous Peoples
WB	World Bank
WHO	World Health Organization

GLOSSARY OF TERMS

Affected Communities	Communities of the local population within the project's area of influence who are likely to be affected by the project.
Annual Monitoring Report	An Annual Monitoring Report (AMR) is the responsibility of the Executing Entity. It includes an annual summary of the environmental and social performance of the project, including the implementation of the ESMP and other related management plans, and the Executing Entity's progress toward gender mainstreaming.
Complainant	A potentially project-affected party that brings a complaint about a GEF-financed project forward, either to a local or country-level dispute resolution system, a GEF Partner Agency, or the GEF Resolution Commissioner.
Critical Natural Habitat	Habitat considered essential for biodiversity conservation, provision of ecosystem services and the well-being of people at the local, national, regional or global levels. They include, among others, existing protected areas, areas officially proposed as protected areas, areas recognized as protected by traditional local communities, as well as areas identified as important for conservation (Key Biodiversity Areas [KBAs], Alliance for Zero Extinction [AZE] Sites, areas identified as important for ecosystem services such as carbon storage, freshwater provision and regulation, etc.).
Degradation	Modification of a critical or other natural habitat that substantially reduces the habitat's ability to maintain viable populations of its native species.
Ecosystem Services	Ecosystem services are the direct and indirect contributions of ecosystems to human well-being. Ecosystem services can be categorized in four main types: provisioning, regulating, cultural, and supporting services.
Environmental Management Plan	An Environmental Management Plan (EMP) is a document that identifies a set of mitigation, management, monitoring, and institutional actions to be implemented for CI-GEF funded projects. The EMP includes safeguard standards related to the Protection of Natural Habitats and Physical Cultural Resources.
Environmental and Social Impact Assessment	An instrument to identify and assess the potential environmental and social impacts of a proposed project; evaluate alternatives; and design appropriate mitigation, management and monitoring measures.
Environmental and Social Management Plan	The ESMP is a coherent compilation of the applicable project-level plans prepared by the Executing Entity that describes how negative environmental and social impacts will be managed and mitigated during the preparation, design, implementation and monitoring phases of a CI-GEF funded project.

Executing Entity/Agency	Entity or agency that receives GEF Funding from a GEF Project Agency in order to execute a GEF project or parts of a GEF project, under the supervision of a GEF Project Agency. The Executing Entity is responsible for the management, implementation and administration of the day-to day activities of a project, in accordance with specific project requirements as articulated by the Project Agency. Project execution implies accountability to the Project Agency for intended and appropriate use of funds, procurement and contracting of goods and services.
GEF Project Agency	Any institution that the GEF has accredited to receive GEF resources on behalf of countries to implement GEF-financed projects under the provisions of paragraph 28 of the Instrument apart from the 10 GEF Agencies.
Gender Mainstreaming Plan	This plan identifies and describes gender-sensitive activities of the project and outlines the measures to be implemented to ensure that the project recognizes and respects the different roles that women and men play in resource management and in society. It also includes a monitoring and evaluation plan that uses sex-disaggregated indicators. This plan addresses issues related to the Gender Mainstreaming Policy.
Indigenous Peoples Plan	The main objective of an Indigenous Peoples Plan (IPP) is to avoid adverse impacts on indigenous peoples, provide them with culturally appropriate social and economic benefits, as well as ensure that their rights to free, prior and informed consent (FPIC) are respected. The IPP describes all potential negative impacts that a project may have on indigenous people and the measures that the Executing Entity will put in place to avoid and/or to mitigate these impacts. The IPP addresses safeguards related to Indigenous People (Minimum Standard 4).
Mitigation Hierarchy	The Mitigation Hierarchy is a series of steps that should be pursued before turning to the next, in order to ensure protection of natural habitats and biodiversity. The Mitigation Hierarchy is defined as: a) *Avoiding* impacts on biodiversity through the identification and protection of set-asides; b) Implementing measures to *minimize* habitat fragmentation, such as biological corridors; c) *Restoring* habitats during and/or after operations; and d) Implementing biodiversity *offsets* of like-for-like or better.
Natural Habitats	Areas of land and/or water where a) the biological communities are formed largely by native plant and animal species, and b) human activity has not essentially modified the area's primary ecological functions.

Physical cultural resources:	Movable or immovable objects, sites, structures, and natural features and landscapes that have archeological, paleontological, historical, architectural, religious, aesthetic, sacred sites or other cultural significance.
Process Framework	The Process Framework describes the procedure to be developed during the project implementation, to determine, develop and implement a RAP. The Process Framework address safeguards related to Involuntary Resettlements or Restrictions of Access to Natural Resources (Minimum Standard 3).
Resettlement Action Plan	The Resettlement Action Plan (RAP) is a document that specifies the procedures that the Executing Entity will follow and the actions that will be taken to properly resettle and compensate affected people and communities.
Pest Management Plan	The Pest Management plan (PMP) describes measures to be implemented to avoid or minimize the negative impacts that the control and removal of alien and 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 PMP addresses safeguards related to Pest Management (Minimum Standard 5).
Safeguard	Measure taken to protect someone or something or to prevent something undesirable.
Sex – disaggregated Data	Data that is collected and presented separately on men and women. Sex describes the biological and physiological differences that distinguish males, females and intersex.
Significant Habitat Conversion or Loss	The elimination or severe reduction of the integrity of a critical or other natural habitat caused by a major, long-term change in land or water use. Significant conversion may include, for example, land clearing; replacement of natural vegetation (e.g., by crops or tree plantations); permanent flooding (e.g., by a reservoir); drainage, dredging, filling, or channelization of wetlands; or surface mining. In both terrestrial and aquatic ecosystems, conversion of natural habitats can occur as the result of severe pollution. Conversion can result directly from the action of a project or through an indirect mechanism (e.g., through induced settlement along a road).
Stakeholder Engagement Plan	This document details all the differentiated measures that the Executing Entity will implement to ensure the effective participation of key project stakeholders, including those identified as disadvantaged or vulnerable stakeholders. This plan addresses issues related to the Stakeholder Participation Policy.

Women's Empowerment	5 components: women's sense of self-worth; right to have determine choices; right to have access to opportunities and resources; right to have power to control own lives both within and outside the home; ability to influence the direction of social change to create a more just social and economic order, nationally and internationally.

CI-GEF PROJECT AGENCY

ENVIRONMENTAL AND SOCIAL MANAGEMENT FRAMEWORK (ESMF)

I. INTRODUCTION

1. CI's mission is to improve human well-being through more responsible and sustainable management of nature, including biodiversity. Recognizing the value of safeguards for risk management as well as CI's responsibility as a partner of the Global Environment Facility (GEF), CI as a GEF Project Agency has adopted the GEF Minimum Standards on Environmental and Social Safeguards and Gender Mainstreaming[1], and will screen projects for all such potential impacts. If CI-GEF projects are assessed as having minor adverse impacts, these projects may be approved, provided that they include appropriate mitigation and compensation measures and are in overall accordance with GEF and CI policies and principles. CI considers the roles of men and women in all aspects of our business decision making, and in all of our projects, we will use a gender mainstreaming approach to ensure gender equality and equity are achieved in our target sites as a cornerstone of our conservation efforts.

II. PURPOSE

2. The purpose of the ESMF is to ensure that adverse environmental and social impacts are avoided or, when unavoidable, minimized and appropriately mitigated and/or compensated. The ESMF is based on the GEF's Minimum Standards on Environmental and Social Safeguards and Gender Mainstreaming as well as current CI policies and international best practices.
3. A key principle of the ESMF is to prevent, minimize and mitigate any harm to the environment and to people by incorporating environmental and social concerns as an intrinsic part throughout the project cycle. Any identified adverse environmental and social impacts 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 the ESMF.

III. INSTITUTIONAL ARRANGEMENTS

Environmental and Social Safeguard Responsibilities

4. The **CI-GEF Project Agency Team** has 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.
5. The **Executing Entity/Agency** is responsible for designing and executing a project consistent with the requirements of the GEF minimum standards and CI policies related to safeguards as described in this ESMF. This includes monitoring and evaluation of progress of the agreed actions that address safeguard issues during project implementation.

[1] http://www.thegef.org/gef/node/4562

6. The **CI-GEF Project Agency Team** will monitor implementation of this Framework. It will review and approve key documents such as ESIA TOR and project-specific safeguard plans and action plans developed during project implementation. During project preparation, the CI-GEF Project Agency Team will be able to request from a potential Executing Entity all information it requires concerning project effects on Indigenous Peoples and local communities, and require further assessment or consultations as well as work on safeguard plans until it is satisfied that the GEF minimum standards and CIs own policies have been satisfactorily addressed. CI will also review and approve any action plans developed during project implementation.
7. The **CI-GEF Project Agency Team** will also be responsible for oversight of the gender mainstreaming component of the project planning process. Through its project design review, CI will identify and promote measures to support the equal treatment of women and men, including the equal access to resources and services.
8. Throughout the project review process, the CI-GEF Project Agency Team will maintain contact with the Executing Entity to obtain clarification on information provided and the preparation process. There are two key decision points during the project preparation process. The screening of project concepts (Appendix II) will identify potential safeguard issues and describe project preparation procedures to further assess potential impacts and design mitigation measures, as needed. A review of the final project proposal will, besides reviewing the proposal against CI and GEF objectives and procedures, assess the adequacy of the project's preparation process and implementation measures vis-à-vis the safeguard issues and requirements, including:
    a) Compliance with this ESMF, CI policies and commitments, and GEF environmental and social safeguard policies;
    b) Adherence to the mitigation hierarchy against possible adverse environmental impacts;
    c) Adherence to the mitigation hierarchy against possible adverse social impacts;
    d) Adequacy and feasibility of the proposed safeguard mitigation measures and monitoring plans, including, but not limited to, any Environmental and Social Management Plan (ESMP), Pest Management Plan (PMP), Indigenous Peoples Plan (IPP), or Resettlement Action Plan (RAP);
    e) Adequacy of the project's consultations processes and communication of the Accountability and Grievance Mechanism;
    f) Identification of measures to avoid, minimize, or offset adverse impacts;
    g) Identification of measures to support the equal treatment of women and men, including the equal access to resources and services;
    h) Capacity, including but not limited to technical and financial capacity, of the Executing Entity to implement the project and any required safeguard-related measures during the preparation and implementation of the project; and
    i) Clear documentation of the foregoing available to stakeholders before appraisal can occur.
9. Through this review, the CI-GEF Project Agency Team may find the safeguard process and measures satisfactory, or may find the need for further discussion with, and steps by, the Executing Entity to achieve the objectives of this ESMF, including revising safeguard measures and documents as appropriate. If the costs, risks, or complexity of particular safeguard issues outweigh the expected project benefits, a decision may be taken to not

support the project. For projects affecting Indigenous Peoples, a process to ensure free, prior and informed consent (FPIC) is also required.

10. During project execution, safeguard compliance will be tracked along with performance toward project objectives. At each performance reporting stage, generally on a quarterly basis, the Executing Entity will revisit the safeguard issues to assess their status and address any issues that may arise. In cases where the Executing Entity is implementing an ESMP, other project-level plan, or other mitigation measures, it will report on the progress of such implementation in parallel to or as part of reporting for other project elements. The intent of this process is to ensure that the environmental and social safeguard issues, including gender equality and equity, are continually monitored and adverse effects mitigated throughout project implementation. The CI-GEF Project Agency Team will monitor the implementation of safeguards during project implementation through check-in meetings and field visits. The CI-GEF Project Agency Team will review and approve any safeguard-related action plans required prior to or developed during implementation of projects.
11. An Annual Monitoring Report (AMR) will be required to be submitted by the Executing Entity on a yearly basis. The scope and content of the AMR will be agreed upon by the CI-GEF Project Agency and the Executing Entity. It may include aspects such as a summary of the implementation of the ESMP and other related management plans, and the Executing Entity's progress toward gender mainstreaming. The CI-GEF Project Agency will also, at its discretion, utilize independent environmental and social consultants to verify the accuracy of the AMR, and to require corrective actions by the Executing Entity if not all environmental and social commitments are being implemented.
12. CI-GEF Project Agency will conduct an annual monitoring review of its project portfolio to see how gender mainstreaming has been addressed and integrated into projects.
13. Project-specific draft plans (including mitigation plans) are to be disclosed to all stakeholders including: affected communities and Civil Society Organizations (CSOs) prior to appraisal. Before plans can be disclosed; the CI-GEF Project Agency Team must review and approve a draft. Executing Entities must also disclose to affected parties the final plans prior to implementation and any action plans prepared during project implementation, including gender mainstreaming. In all cases, disclosure should occur in a manner which is meaningful and understandable to the affected people for their consent. The CI-GEF Project Agency Team will disclose all final approved plans on CI's website.
14. The key responsibilities of the CI-GEF Project Agency Team and the Executing Entities are described in further detail in the table below. Exact procedures depend on the specific project activities and the local context, for instance, the number of safeguard policies that are triggered and the level of impacts.

Summary of Roles and Responsibilities by Project Phase

15. The roles and responsibilities highlighted below describe the major functions of the CI-GEF Project Agency Team and the Executing Entity in the safeguard process during project identification, preparation and implementation.

PROJECT CYCLE STAGE	CI-GEF PROJECT AGENCY	EXECUTING ENTITY
Identification, Preparation Development	• Overseeing application of the ESMF/safeguards processes including gender mainstreaming; • Screening projects to determine if they trigger all safeguards including whether a full or limited Environmental and Social Impact Assessment 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. • Authorizing project appraisal based on a determination that safeguards issues have been adequately addressed. If adverse environmental or social impacts outweigh the expected benefits, CI cannot support the project. • Disclosing of ESIA and project-level plans through CI's website. • All interactions with GEF Secretariat related to requirements of the GEF Project Cycle • Project Preparation Grant development and submission • Capacity assessment of Executing Entity • Executing Entity Financial Risk Assessment • Concept note guidance • PIF submission • Proposal review and approval • Coordination and approval of GEF grant agreement	• Designing, planning, and preparing project concepts (initially through a PIF and proposals, • Overseeing the ESIA process, and preparation of project plans resulting from application of the minimum standards, including the gender mainstreaming action plan. • 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 obtaining and documenting their free, prior and informed consent.
Implementation	• Review and monitoring of implementation of financial, technical, and project-level plans, including through project kick-off/launch workshops, supervision missions, mid-term reviews, field visits, audits, and follow-up visits as	• Executing project 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

PROJECT CYCLE STAGE	CI-GEF PROJECT AGENCY	EXECUTING ENTITY
	appropriate to the scale, nature, and risks of the project. • If the review finds that an Executing Entity is not following project-levels plans (i.e. any of the safeguards-related plans required under CI and GEF policies), the CI-GEF Project Agency Team's responsibility is to work with the Executing Entity to identify and plan for corrective measures that achieve the results and uphold the standards expected under the plans. If these measures do not succeed in correcting the deficiencies, CI may withhold payment, or suspend or cancel the grant, as appropriate. • Disclosure of completed project evaluations and results through CI's website [following donor acceptance, and subject to exclusion of proprietary and personal information].	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 CI (the CI-GEF Project Agency Team) 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 obtain their free, prior and informed consent to any changes in the project plan. • Preparation and submission of an Annual Monitoring Report (AMR) to CI-GEF Project Agency.

IV. CI-PROJECT AGENCY ENVIRONMENTAL AND SOCIAL SAFEGUARDS

16. As a GEF Project Agency, CI must ensure that CI-GEF projects comply with the GEF Minimum Standards for Environmental and Social Safeguards as well as with the GEF Policy on Gender Mainstreaming. Relevant CI policies and best practices for GEF funded projects are described in this section. The description of the implementation arrangements for each specific policy and more detailed description of measures to address particular issues pertaining to the respective GEF Environmental and Social Safeguards is provided in the Appendix Section of this document.

17. As CI does not build dams, a policy has not been developed for GEF Minimum Standard 7, Safety of Dams. Therefore, the CI-GEF Project Agency will not be able to propose or receive GEF Resources for any projects that design and construct new dams and rehabilitate existing dams or projects financing agriculture or water resource management infrastructure, that are highly dependent on the performance of dams or that potentially affect their performance.

18. CI publicly discloses documents related to all CI-GEF Environmental and Social Safeguards and Gender policy on its website at http://www.conservation.org. The website will list contact information where interested stakeholders can seek further information or documentation and raise their concerns or recommendations to CI. The Project Agency will be responsible for ensuring appropriate response.

19. CI-GEF's ESMF is composed of 9 policies which describe the minimum standards that each CI-GEF funded project must meet or exceed.

Policies

1. Environmental and Social Impact Assessment Policy
2. Protection of Natural Habitats
3. Involuntary Resettlement Policy
4. Indigenous Peoples Policy
5. Pest Management Policy
6. Physical Cultural Resources Policy
7. Accountability and Grievance Systems Policy
8. Gender Mainstreaming Policy
9. Stakeholder Engagement

POLICY 1: ENVIRONMENTAL AND SOCIAL IMPACT ASSESSMENT (ESIA)

20. This policy complies with GEF Minimum Standard 1.

21. For all CI-GEF funded projects, CI will conduct an initial screening to categorize projects according to their potential impacts. The Screening outcomes may result in a project being designated as Category A (full or comprehensive ESIA required), Category B (limited ESIA required), or Category C (no ESIA required) (see Appendix I). For Category A and B projects, the ESIA will be designed to identify impacts and mitigation measures that are incorporated in project design and would result in an Environmental and Social Management Plan (ESMP) (see Appendices X and XI). Subprojects under investment and financial intermediary activities must have the minimum requirements.

22. CI has identified five types of project activities that may result in adverse environmental and social impacts that may be associated with CI-GEF projects, arising from:

    a) *Protected area creation, expansion or management improvement*: although desirable and often necessary for conservation of biodiversity and ecosystem services, creation or expansion of protected areas carries the possibility of limiting access to natural resources and thus impacting livelihoods of local communities;

    b) *Investment in business or livelihood development*: projects promoting development, even if they are categorized as sustainable development, green economies or low-carbon development, may have adverse impacts on species and ecosystems (e.g., wind mills on birds, ecotourism on natural habitats);

    c) *Civil works*: some impacts may be associated with the construction or rehabilitation of facilities (e.g., roads and structures associated with park management, research facilities, and restoration-related activities or boundary markers);

    d) *Occupational health and safety*: during construction, a project may expose workers to safety hazards (e.g. construction accidents); and

    e) *Pest management*: some pest management activities may be supported for ecological restoration to combat pests that damage crops or alien and invasive species (AIS), but unless planned and executed with care could create environmental and health risks.

23. CI may decide nonetheless to support projects that may create these types of impacts on the condition that the impacts will be limited in time and space and that benefits brought by the project activities surpass the costs. Actions to minimize and mitigate the environmental and social impacts, manage, monitor and report will be included in a project's ESMP, (see Appendix X).

24. The CI-GEF Project Agency Team will conduct an initial screening of project concepts and/or Project Identification Forms (PIFs) from Executing Entities. The purpose of this screening is to categorize projects according to their potential impacts. This initial screening will take place on the initial PIF and utilize a *Project Screening Form* (see Appendix II) to cover all safeguards areas. The results of the screening process will determine the extent and type of ESIA required.

25. If the results from the CI-GEF Project Agency project screening finds that an ESIA is necessary, the CI-GEF Project Agency will require that an ESIA is conducted on activities related to the direct and indirect areas of influence of projects and that the ESIA will emphasize cumulative and indirect impacts.

26. Based on the results of the ESIA, the CI-GEF Project Agency Team will determine what project-level plans will be needed for the Executing Entity to proceed with project preparation. Examples of project-level plans may include an ESMP, Pest Management Plan (PMP), Indigenous Peoples Plan (IPP), Resettlement Action Plan (RAP), Stakeholder Engagement Plan (SEP), Biodiversity Management Plan (BMP), Biodiversity Action Plan (BAP).

27. Project-level plans may also be developed even when no ESIA is necessary (no adverse impacts are expected), as a means for coordination and to promote positive impacts. All plans will be reviewed and approved by the CI-GEF Project Agency Team prior to final approval of the grant agreement by CI's Vice President for Global Public Partnerships and Chief Operating Officer.

28. Appendix I provides more details about this policy.

POLICY 2: PROTECTION OF NATURAL HABITATS

29. This policy complies with GEF Minimum Standard 2.

30. As a conservation organization, CI's strategies, policies and approaches are fully consistent with the GEF's Protection of Natural Habitats Safeguard. CI commits not to cause, or facilitate, any significant loss or degradation of natural habitats. CI finances those activities that promote protection of threatened species and their natural habitats and foster the adoption of sustainable development practices that are socially acceptable and economically feasible. CI projects promote the prevention, reduction, or reversal of habitat loss or degradation in order to conserve threatened species that depend on these habitats and the ecosystem service (ES) benefits that they provide to humans. All activities will be consistent with existing protected area management plans or other resource management strategies that are applicable to national or local situations.

31. In the development of a project, the Executing Entity should at a minimum consider both direct and indirect project-related impacts on biodiversity and ecosystems services, and identify any significant residual impacts. This process will consider relevant threats to biodiversity and ecosystem services, especially focusing on habitat loss, degradation and fragmentation, AIS, overexploitation, hydrological changes, nutrient loading, and pollution. It will also take into account the differing values attached to biodiversity and ecosystem services by Affected Communities and, where appropriate, other stakeholders across the potentially affected landscape or seascape. Further, in areas of natural habitat, mitigation measures will be designed to achieve no net loss of biodiversity where feasible, following the "mitigation hierarchy:"

    a) Avoiding impacts on biodiversity through the identification and protection of set-asides;

    b) Implementing measures to minimize habitat fragmentation, such as biological corridors;

    c) Restoring habitats during and/or after operations; and

    d) Implementing biodiversity offsets of like-for-like or better.

32. In order to protect the environment and in accordance with international agreements, CI endorses and applies the precautionary approach[2] for its projects and programs. Thus, where there are threats of serious or irreversible damage, lack of full scientific certainty shall not be used as a reason for postponing cost-effective measures to prevent environmental degradation. Furthermore, CI will continue to focus its work at the eco-regional level, which will ensure comprehensive and long-term conservation of biological diversity and ecosystem services at the ecoregional scale.

33. To prevent critical habitat destruction, fragmentation and/or degradation, CI will favor the development of physical infrastructure in areas where natural habitats have already been converted to other uses. In line with GEF requirements, CI will only finance habitat restoration projects that can demonstrate that they will restore or improve biodiversity and ecosystem composition, structure and functions, and that all plantation projects are environmentally appropriate, socially beneficial and economically viable.

[2] Principle 15 of the 1992 Rio Declaration on Environment and Development (Rio Declaration)

34. CI will not finance projects that:

    a) Propose to create significant degradation or conversion of critical 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, or recognized as protected by traditional local communities;

    b) Propose to carry out harvesting of natural resources (animals, plants, timber and/or non-timber forest products [NTFPs]) or the establishment of forest plantations in critical natural habitats; and

    c) Contravene major international and regional conventions on environmental issues.

35. Draft mitigation plans should be disclosed in a timely manner, before appraisal begins, in a place accessible to key stakeholders including project affected groups and Civil Society Organizations in a form and language understandable to them.

36. Appendix III provides more details about this policy.

POLICY 3: INVOLUNTARY RESETTLEMENT

37. This policy complies with GEF Minimum Standard 3.

38. The CI-GEF Project Agency will not fund projects involving involuntary resettlement.

39. For projects that may include involuntary restrictions of access to natural resources resulting in adverse impacts on the livelihoods of project communities, Executing Entities will be required to design, document and disclose before appraisal, a participatory process for preparing a Resettlement Action Plan (RAP). The RAP shall describe the project, establish eligibility criteria, efforts made to minimize displacement, results from census and socioeconomic surveys, all relevant local laws and customary rights that apply, resettlement sites, income restoration institutional arrangements, implementation schedule, participation and consultation, accountability and grievance, monitoring and evaluation and costs and budgets.

40. CI policy extends to the inclusion of customary rights and not only limited to areas where there are legal rights over access and use of resources. This is based on the understanding that in some countries customary or traditional rights are fully recognized and respected, even when they are not “legal rights” (recognized by specific pieces of legislation, land title, resource use permits, etc.).

41. In addition, CI will follow national legislation on access and use of natural resources.

42. For restriction of access to natural resources, for example as a result of the creation of new protected areas, Executing Entities will be required to prepare a “Process Framework” that describes the nature of the restrictions, the participatory process by which project components will be prepared, criteria by which displaced persons are eligible, measures to restore livelihoods and the means by which any conflicts would be resolved. A plan may also be developed during implementation providing more detail on the arrangements to assist affected persons to improve or restore their livelihoods.

43. Disclose draft resettlement plans and/or plans to address involuntary restriction on access to protected areas, including documentation of the consultation process, in a timely manner, before appraisal formally begins, in a place accessible to key stakeholders including project

affected groups and CSOs in a form and language understandable to them. For subprojects requiring land acquisition, these minimum requirements will be applied, as applicable and relevant.

44. Appendix IV provides more details about this policy.

POLICY 4: INDIGENOUS PEOPLES

45. This policy complies with GEF Minimum Standard 4.

46. Many of the world's remaining areas of high biodiversity and critical ecosystem service provision overlap with lands owned, occupied, and/or utilized by Indigenous Peoples. CI has engaged with Indigenous Peoples in a range of ecosystems and capacities from community-based work to support the sustainable and traditional uses of medicinal plants and animals to working with indigenous groups in managing traditional lands to support biodiversity conservation and ecological processes that maintain their lives and livelihoods.

47. GEF's Minimum Standard 4 and CI policies and resolutions apply to projects that affect Indigenous Peoples, whether adversely or positively. Such projects need to be prepared with care and with the participation of affected communities.

48. Policy requirements include: early screening for Indigenous Peoples; an environmental and social impact assessment with the participation of Indigenous Peoples to assess risks and opportunities and to improve the understanding of the local context and affected communities; a consultation process with the affected Indigenous Peoples' communities to fully identify their views and to obtain their free, prior and informed consent to project activities affecting them; and development and inclusion of the elements of a project-specific Indigenous Peoples Plan (IPP) with measures to avoid adverse impacts and enhance culturally appropriate benefits in each project.

49. The level of detail necessary to meet the requirements of this planning framework is proportional to the complexity of the proposed project and commensurate with the nature and scale of its potential effects on the Indigenous Peoples, whether adverse or positive. This is determined by CI's Project Agency in consultation with the Executing Entity based on a subjective assessment of project activities, circumstances of Indigenous Peoples, social risks and project impacts.

50. In line with CI's Institutional Policy "Indigenous Peoples and Conservation International," the CI-GEF Project Agency will ensure:

    a) That projects respect Indigenous Peoples' rights, including their rights to FPIC processes;
    b) That they receive culturally appropriate benefits that are negotiated and agreed upon with the Indigenous Peoples' communities in question;
    c) That potential adverse impacts are avoided or adequately addressed through a participatory and consultative approach; and
    d) Monitor, by experienced social scientists, the implementation of the project (and any required Indigenous Peoples plan or framework) and its benefits as well as challenging or negative impacts on Indigenous Peoples and address possible mitigation measures in a participatory manner.

51. Specific measures to achieve these objectives will be incorporated in the IPP developed with the Indigenous Peoples communities concerned (see Appendix V).

52. Appendix V provides more details about this policy.

POLICY 5: PEST MANAGEMENT

53. This policy complies with GEF Minimum Standard 5.

54. CI promotes the use of demand-driven, ecologically-based biological or environmental integrated pest management practices (IPM) and Integrated Vector Management (IVM) in public health projects.

55. CI will support policy reform and institutional capacity development to enhance implementation of IPM and IVM based pest management while regulating and monitoring the distribution of pesticides.

56. CI-GEF projects may support investments related to agricultural extension services or invasive species management.

57. CI does not allow the use of pesticides that are unlawful under national or international law.

58. CI does not allow the procurement or use in its projects of pesticides and other chemicals specified as persistent organic pollutants under the Stockholm Convention nor procurement or use of products in World Health Organization (WHO) Classes IA and IB or Class II.

59. CI will promote alternatives to the use of pesticides, but when there is no alternative, it will:

    a) Avoid the use of pesticides with toxic categories IA IB or II (according to WHO);

    b) Avoid the use of herbicides and pesticides near water sources and their contamination with pesticide residues when cleaning the equipment used; and

    c) Train communities to responsibly manage products, equipment, and containers to avoid harm to human health or broader environmental contamination. Any pesticides used would be properly applied, stored, and disposed of, in accordance with practices acceptable to CI.

60. For projects that require the procurement of eligible pesticides, CI will ensure that these pesticides are procured contingent on an assessment of the nature and degree of associated risks, taking into account the proposed use and intended users.

61. 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 2003) 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.

62. CI does not support projects that 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.

63. Appendix VI provides more details about this policy.

POLICY 6: PHYSICAL CULTURAL RESOURCES

64. This policy complies with GEF Minimum Standard 6.

65. CI will not fund any activity that involves the removal, alteration or disturbance of any physical cultural resources (defined as movable or immovable objects, sites, structures, and natural features and landscapes that have archeological, paleontological, historical, architectural, religious, aesthetic, sacred sites or other cultural significance).
66. 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 physical cultural resources.
67. Cultural resources may, however, be present in project areas and 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.
68. Qualified specialists may be required to conduct field-based surveys, if necessary.
69. Disclose draft resettlement plans and/or plans to address involuntary restriction on access to protected areas, including documentation of the consultation process, in a timely manner, before appraisal formally begins, in a place accessible to key stakeholders including project affected groups and CSOs in a form and language understandable to them.
70. Appendix III includes procedures to ensure that provisions under this policy are followed.

POLICY 7: ACCOUNTABILITY AND GRIEVANCE MECHANISMS

71. This policy complies with GEF Minimum Standard 8.
72. CI ensures enforcement of its environmental and social safeguard policies and provides for the receipt of and timely response to/resolution of complaints from parties affected by its CI-GEF projects through Accountability and Grievance Mechanisms (Appendix VII).
73. The Accountability and Grievance Mechanisms are not intended to replace project- and country-level dispute resolution and redress mechanisms. These mechanisms are designed to:
    a) Address potential breaches of CI's policies and procedures;
    b) Be independent, transparent, and effective;
    c) Be accessible to project-affected people;
    d) Keep complainants abreast of progress with cases brought forward; and
    e) Maintain records on all cases and issues brought forward for review.
74. The Executing Entity will be responsible for informing project-affected parties about the Accountability and Grievance Mechanisms.
75. Affected Communities and other interested stakeholders may raise a grievance at any time to the Executing Entity, CI, or the GEF. Contact information of the Executing Entity, CI's Project Agency, and the GEF will be made publicly available.
76. As a first step, project-related grievances should be communicated to the Executing Entity, which will respond to grievances in writing within 15 calendar days of receipt, and provide a copy of the grievance and response to the CI-GEF Project Agency Team. This response should propose a process for resolving the conflict.

77. If this process does not result in resolution of the grievance, 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:

    Electronic email: GEFAccountability@conservation.org

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

78. The DOC will respond within 15 calendar days of receipt, and claims will be filed and included in project monitoring.

79. Projects requiring FPIC or triggering an Indigenous Peoples Plan will also include local conflict resolution and grievance redress mechanisms in the respective safeguard documents. These will be developed with the participation of the affected communities in culturally appropriate ways and will ensure adequate representation from vulnerable or marginalized groups and sub-groups.

80. Appendix VII provides more details about this policy.

POLICY 8: GENDER MAINSTREAMING

81. This section outlines CI-GEF Project Agency policy and requirements to mainstream gender equality and equity, and women's empowerment into all project activities and operations. These are consistent with the GEF's Policies on Environmental and Social Safeguard Standards and Gender Mainstreaming.

82. CI-GEF Project Agency considers the respective roles of men and women in all aspects of the project activities, from hiring and retention to project design and implementation, as well as monitoring and evaluation, in order to promote and achieve gender equality and equity. This policy and its implementation mitigates potentially adverse effects of gender constraints on participation and decision-making in consultative processes, access to natural resources, and project benefits.

83. CI-GEF Project Agency requires Executing Entities to design and implement projects in such a way that both women and men:

    a) receive culturally compatible social and economic benefits;

    b) do not suffer adverse effects during the development process; and

    c) receive full respect for their dignity and human rights.

84. The Executing Entity is responsible for mainstreaming gender throughout the project, as appropriate, using qualified professionals, studies, and meetings. The plan will cover gender-sensitive activities while recognizing and respecting the different roles that women and men play in resource management and in society, along with a monitoring and evaluation plan using sex-disaggregated indicators.

85. In addition, the CI-GEF Project Agency has identified measures to avoid, minimize and/or mitigate gender-related adverse impacts. Key measures to avoid/minimize/mitigate gender adverse impacts include:

a) All projects will include a gender mainstreaming strategy developed in consultation with CI's gender specialist and/or local organizations or groups working specifically on gender (or with women) when in development phase;

b) All project matrices specify gender-sensitive indicators for monitoring and evaluation (M&E) where appropriate and qualitative and quantitative monitoring data are desegregated by men and women;

c) All project proposals must include an assessment of gender roles relating to the environment on which the project will be based (e.g. use patterns, participation in management, etc.) and both short-term and long-term costs and benefits of the project on men and women, and identify ways to minimize disparities;

d) Executing Entity collects sex-disaggregated data on the number of men and women who come to trainings/activities and incorporates this information into adaptive management;

e) Executing Entity establishes a baseline for gender mainstreaming performance by identifying a number of core indicators to be used in all projects;

f) Executing Entity ensures a proportional number of men and women respondents are included in project surveys (for design, monitoring, and evaluation);

g) Gender-sensitive M&E data informs programming and projects through an adaptive management project cycle; and

h) Executing Entity ensures that outreach efforts, services, and communication (education, dissemination of survey results, trainings, etc.) are made equally available to men and women.

86. Appendices VIII provide more details about this policy.

POLICY 9: STAKEHOLDER ENGAGEMENT

87. CI's policy on stakeholder engagement for GEF funded projects is based on International Finance Corporation's (IFC) stakeholder engagement guidance as described in "A Good Practice Handbook for Companies Doing Business in Emerging Markets" and is applicable to all CI-GEF funded projects.

88. The Project Agency will oversee the Executing Entity involving all stakeholders, including project-affected groups, Indigenous Peoples, and local CSOs, as early as possible in the preparation process and ensure that their views and concerns are made known and taken into account.

89. The CI-GEF Project Agency Team will also ensure that the Executing Entity will hold and document consultations at the scoping stage for Category A projects, before appraisal for all projects and if deemed necessary throughout project implementation. The Executing Entity is responsible for drafting and executing the Stakeholder Engagement Plan (SEP). The Project Agency will review the plan and oversee execution.

90. Ideally, Stakeholder Engagement should involve the public in problem-solving. The joint effort by stakeholders, in-country representatives, executing entities, and the GEF Project Agency ensures better results. Executing Entities must ensure that the key principles of the GEF Gender Mainstreaming Policy is incorporated beginning with stakeholder engagement.

91. Stakeholder engagement usually begins before the ESIA process and extends well beyond it. For Category A projects, stakeholder engagement through consultations must occur twice. 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. The second instance where consultation must occur is prior to appraisal of the project by the CI-GEF Project Agency Team. In both instances, the CI-GEF Project Agency Team will require documentation of the consultations to first approve ESIA report and finally to authorize appraisal.

92. Once the ESIA has been completed, stakeholder engagement will focus on the implementation of the project. It is recommended that the ongoing stakeholder processes 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.

93. Executing Entities should identify the range of stakeholders that may be interested in their actions and consider how external communications might facilitate a dialog with all stakeholders. Stakeholders should be informed and provided with information regarding project activities. 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 client will identify the Affected Communities and will meet the relevant requirements described below.

94. The Executing Entity will develop and implement a SEP (Appendix IX) that is scaled to the project risks and impacts and development stage, and be tailored to the characteristics and interests of the Affected Communities.

95. 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 Entity 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.

96. In cases where the exact location of the project is not known, but it is reasonably expected to have significant impacts on local communities, the Executing Entity will prepare a Stakeholder Engagement Plan, as part of its management program, outlining general principles and a strategy to identify Affected Communities and other relevant stakeholders and plan for an engagement process.

97. The CI-GEF Project Agency will review and approve all SEPs prior to disclosure.

98. Should the Executing Entity be required to develop a stand-alone ESMP (to address Physical and Cultural Resources and Natural Habitats), an IPP, a PMP, a Process Framework, and/or a 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. 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 appraisal;

c) Disclose of all assessments when they have been finalized and approved by the CI-GEF Project Agency Team (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.

99. Appendix IX provides more details about the SEP.

APPENDIX I: Methodology for Environmental and Social Impact Assessments (ESIAs) for CI-GEF Funded Projects

Context

1. This Appendix provides a methodology for conducting ESIAs, including requirements of the GEF Minimum Standards on Environmental and Social Safeguards that CI, as a GEF Project Agency, must incorporate for all CI-GEF projects. In accordance with GEF Minimum Standard 1: Environmental and Social Impact Assessment, the CI-GEF Project Agency will require Environmental and Social Impact Assessments of proposed projects to help ensure their environmental and social soundness and sustainability.
2. The ESIA identifies and assesses the potential impacts of a proposed project on physical, biological, socio-economic and physical cultural resources, including transboundary concerns and potential impacts on human health and safety; evaluates alternatives; and proposes appropriate avoidance, minimization or mitigation alternatives, as well as management and monitoring measures.
3. Not all projects require ESIAs. Each project is screened as early as possible to determine whether an ESIA is warranted. If so, screening will also help determine the extent and type of ESIA required so that appropriate studies are undertaken proportional to potential risks and to direct impact as well as indirect, cumulative, and associated impacts as relevant. Strategic, sectoral or regional environmental assessments may be used, where appropriate. There are several types of ESIA instruments, but the guidance in this document will focus on the general ESIA process and outcomes.

ESIA Process Overview

4. An ESIA process (see Figure 1):
   a) Begins with screening at the earliest stage of the project cycle and continues in an iterative manner throughout the cycle as plans are developed and implemented;
   b) Looks at all relevant levels of biodiversity, habitat, and community;
   c) Addresses both primary and secondary impacts by considering ecological, social and economic changes; and
   d) Analyzes and responds to the interaction between environmental and social issues.
5. For effective protection of the natural, human and social environment, CI-GEF Project Agency Team will require a multi-stage ESIA concept; which are outlined in subsequent paragraphs. CI-GEF Project Agency Team recognizes that stakeholder consultation and public disclosure are instrumental in achieving a balanced ESIA and stipulates that the Executing Entity:
   a) Makes a draft ESIA report available to all stakeholders for comment before the final decision about the proposed project; and
   b) Structures consultations and takes subsequent actions in ways that will further the objectives of promoting and achieving gender equality.
6. ESIA stages include:

a) **Screening**: The CI-GEF Project Agency will use the Project Screening Form (Appendix II) to determine whether a full ESIA, limited ESIA, or no ESIA is needed for the proposed project as well as if special studies are required;

b) **Scoping**: The Executing Entity develops a preliminary examination of the impacts likely to occur as a result of the proposed project, and which should be covered by the ESIA. The scoping phase must include stakeholder engagement to help identify issues. Based on the results of the scoping phase, the Executing Entity will draft the TOR for the full ESIA (see below for details). Specifically, the Executing Entity will ensure that:

   a) the draft TOR is disclosed to stakeholders prior to the submission of the TOR to the CI-GEF Project Agency; and
   b) approval is received from The Project Agency for the TOR before any work can commence.

c) **Implementation of the (full) ESIA**: Overall project assessment and any specialist studies, as identified during the Scoping Phase, are conducted. Special studies are guided by the safeguard issues raised during scoping. They deal with the concerns of stakeholders in these areas. For adverse impacts, alternatives are identified to establish the most environmentally sound and benign option(s) for achieving project objectives;

d) **Draft Report**: The Executing Entity presents ESIA findings as an ESIA document/report. This discusses mitigation and impact management (measures to avoid, minimize, or offset adverse impacts), monitoring and reporting. Where appropriate, draft mitigation plans are incorporated into a draft ESMP. The reports must be clear, impartial, publicly available, and address stakeholder concerns;

e) **Review and Final Report**: It is the responsibility of the CI-GEF Project Agency Team to review and approve the final ESIA report to ensure that it complies with the Terms of Reference and stakeholder engagement requirements, and appropriately addresses GEF concerns;

f) **Decision-making**: Final decision on whether to support a proposed project will be made by the CI-GEF Project Agency after consultations with in-country authorities with jurisdiction over the project. The CI-GEF Project Agency does reserve the right to not pursue a project if the ESIA indicates that the proposed minimizing or mitigating measures are too costly/risky; and

g) **Monitoring, reporting, and enforcement**: The CI-GEF Project will monitor whether the Executing Entity ensures compliance with the mitigation measures as incorporated in project design and monitored by the indicators of the Project-level ESMP.

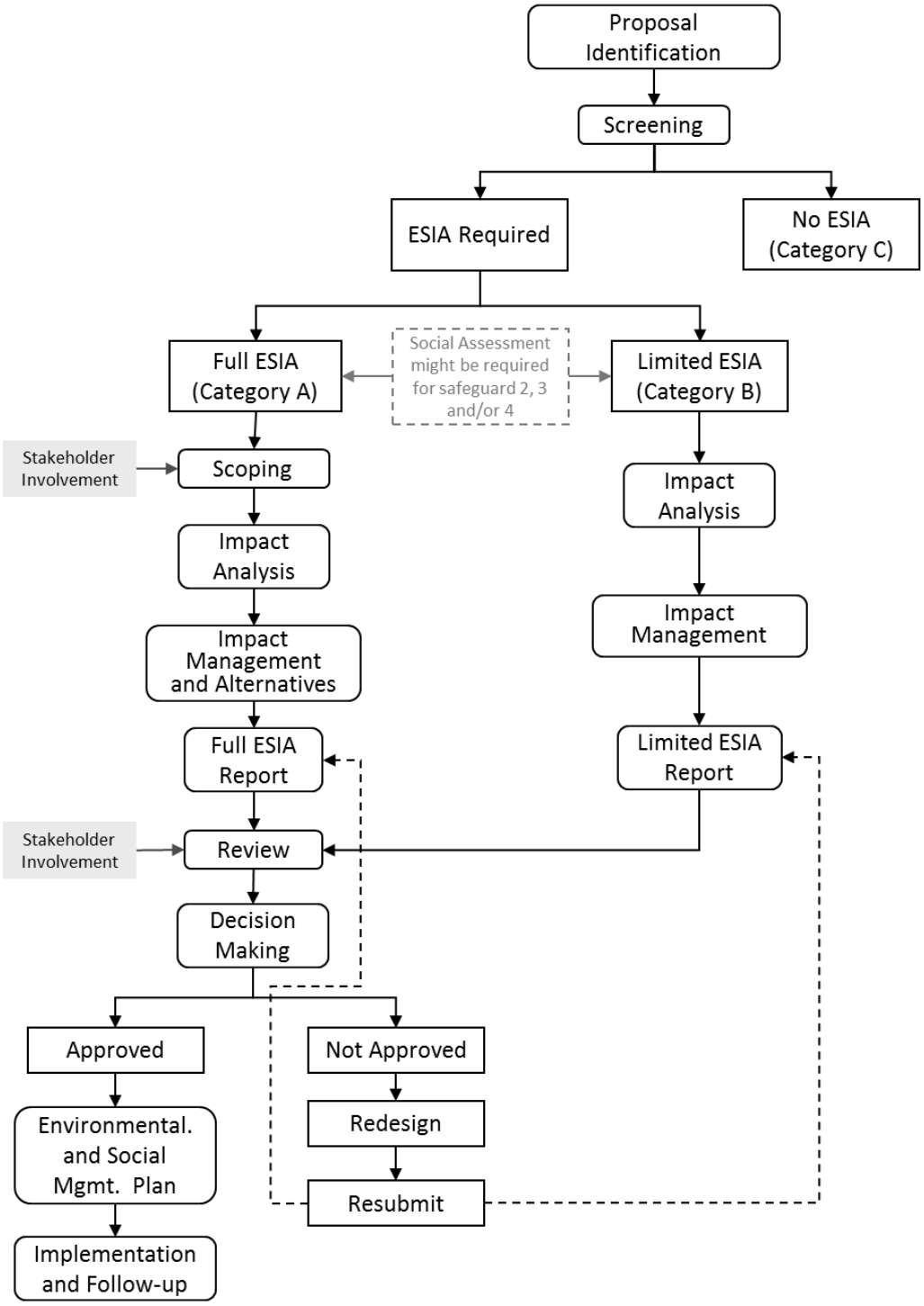


Figure 1: The ESIA Process

Detailed ESIA Process

Screening phase (Implemented by CI-GEF Project Agency)

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

8. CI classifies the proposed 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.

   Category A: a proposed project is classified as Category A if it has the potential for significant adverse environmental and social impacts that are sensitive, diverse, or unprecedented. These impacts may affect an area broader than the sites or facilities subject to physical works (i.e., the area of influence). The ESIA for a Category A project examines the project's potential negative and positive environmental and social impacts, compares them with those of feasible alternatives (including the 'without project' situation), and recommends any measures needed to prevent, minimize, mitigate, or compensate for adverse impacts and improve environmental and social performance. For a Category A project, the project Executing Entity is responsible for making arrangements to carry out an ESIA.

   Category B: a proposed project is classified as Category B if its potential adverse environmental and social impacts on human populations or environmentally or socially important areas -including wetlands, forests, grasslands, and other natural habitats- are less adverse than those of Category A projects. These impacts are site-specific; few if any of them are irreversible; and in most cases mitigation measures can be designed more readily than for Category A projects. The scope of an ESIA for a Category B project may vary from project to project, but it is narrower than an assessment for Category A. Consistent with ESIA for Category A projects, it examines the project's potential negative and positive environmental and social impacts and recommends any measures needed to prevent, minimize, mitigate, or compensate for adverse impacts and improve environmental and social performance. The findings and results of a Category B ESIA are described in the project documentation.

   Category C: a proposed project is classified as Category C if it is likely to have minimal or no adverse environmental and social impacts. Beyond screening, no further ESIA action is required for a Category C project.

9. Since projects in Category A are likely to have significant adverse impacts, they will require a full ESIA to address them. Projects in Category B also require an ESIA, but of more limited scope given their more limited adverse impacts (limited ESIA).

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

    a) A broad description of the proposed project;

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

    c) The characteristics of the environment, including land use, significant resources, critical ecological functions, pollution and emission levels, etc.;

    d) The potential impacts of the proposal and their likely significance; and

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

11. Important functions of this stage are:

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

b) Anticipate both positive and negative impacts;

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

d) Feasible investment, technical, and siting alternatives, including the —no action/alternative, are assessed, as well as potential impacts, feasibility of mitigating these impacts, their capital and recurrent costs, their suitability under local conditions, and the institutional, training and monitoring requirements associated with them.

Project Screening Criteria

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

13. In the full proposal, the Executing Entities will describe potential environmental and social issues and how these have been assessed and the outcome of any consultations with Indigenous Peoples and local communities.

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

15. Any required safeguard documents (Draft of an ESIA, PMP, IPP, RAP, Process Framework, etc.) will be submitted to the CI-GEF Project Agency Team with the full proposal.

16. The CI-GEF Project Agency Team will review the appropriateness of scope and level of safeguard measures, if any, when reviewing projects to determine readiness for appraisal.

17. For a full or a limited ESIA, if any of the following safeguards are triggered: Involuntary Resettlement or Indigenous Peoples or Physical and Cultural Resources, the CI-GEF Project Agency Team will require the ESIA to include the following issues:

    a) **Social diversity and gender**: Examine how people are organized into different social groups, based on the status ascribed to them at birth – according to their ethnicity, clan, gender, locality, language, class, or some other marker – or on the status or identity they have achieved or chosen – civil servant, white collar worker, environmentalist, etc. Importantly, an analysis of social diversity also includes looking at the ways in which such diversity interacts with social and power relations and the implications this has for questions of access, capabilities and opportunities;

    b) **Institutions, rules and behavior**: Examine social groups' characteristics, intra- group and inter-group relationships, and the relationships of those groups with public and private (e.g. market) institutions (including the norms, values and behavior that have been institutionalized through those relationships). Such an analysis should provide a detailed assessment of the formal and informal organizations likely to affect the project and the informal rules and behaviors among them. Possible institutional constraints and barriers to project success, as well as methods to overcome them, should be described.

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

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

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

Scoping phase (Implemented by the Executing Entity)

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

    a) Establish the likely study area by identifying the area of influence of the project;

    b) Summarize policy, legal, and administrative frameworks within which the ESIA is carried out;

    c) A preliminary description of the significance of potential environmental impacts, and likely mitigating measures;

    d) Identify the expertise and human resources needed for the ESIA;

    e) Summarize the nature and roles of relevant stakeholders; and

    f) Identifying project alternatives.

Content of a scoping report

19. The information gathered through the scoping meetings, from the site visit and from the Executing Entity must be integrated into a draft Scoping report. In addition to identifying issues, this report should provide the following information:

    a) A preliminary assessment of the potential impacts and issues based upon initial baseline information.
    b) TOR for ESIA execution, identifying the issues that need to be addressed in the ESIA

Developing Terms of Reference for the ESIA

20. Based on the results of the scoping report, the TOR for the full ESIA should:
    a) Define what alternatives should be assessed in the ESIA;
    b) Define what issues need to be investigated;
    c) Define what specialists studies need to be undertaken;
    d) Provide the terms of reference for each specialist study;
    e) Provide a methodology for rating the significance of the impacts; and
    f) Specify the structure and content of the Specialist reports.

Implementing the ESIA (Implemented by independent consultants)

21. For a full ESIA, once the scoping process in completed and the TORs for the full ESIAs are designed and approved, the detailed ESIA can be carried out. The important functions to be performed under the environmental and social impact analysis include:
    a) To collect all possible information and data from various sources;
    b) To properly identify alternatives;
    c) To systematically analyze and screen both environmental and social impacts of different alternatives;
    d) To design environmental and social mitigation measures ;
    e) To develop the appropriate follow-up Plan or Plans (ESMP, PMP, RAP, IPP);
    f) To develop an effective monitoring program with indicators to evaluate the successful implementation of the measures described in the Plan(s) during the project; and
    g) To develop an effective post- project evaluation program.

Identifying project alternatives

22. An important step in defining and finalizing a project is to identify, at a conceptual level, viable alternatives to the project so that a viable base-case may be realized. Early consideration of alternatives during the design phase of a project can result in the avoidance/minimization of impacts without the need for expensive or time-consuming mitigation measures at a later stage. Consideration of project alternatives occurs at two levels as follows:
    a) The project as a whole, including the “no project” option; and
    b) Siting, engineering, and design alternatives within the selected project’s definition. Scope of alternatives can include location, process, inputs, technology, and "no project."
23. The analysis and discussion of alternatives should include an evaluation of the merits of each alternative with respect to:
    a) Nature of the alternative sites/locations of project;

b) Feasibility of the alternative;

c) The trade-offs of advantages and disadvantages of each alternative;

d) Cost effectiveness, including associated environmental costs and benefits of each alternative;

e) A comparison of the environmental losses and gains associated with the various alternatives, together with the economic costs and benefits to provide a balanced and full picture for each alternative;

f) Technology and engineering design;

g) Interference and/or harmony with the surroundings and future plans;

h) Construction practices for each alternative;

i) Operations, including associated demands for energy and other inputs by the various alternatives;

j) Future/foreseeable impacts and/or constraints, and benefits of each alternative;

k) Risks associated with the alternative, including potential risks to human health;

l) Existence of important cultural and sensitive ecological systems and habitats in the proposed project area;

m) Presence of endangered, rare and/or threatened species that may be at risk if the project is implemented;

n) Conformity to existing policies, plans, laws, regulations, etc.;

o) The "no project" alternative and its justification; and

p) A recommendation and indication of the preferred alternative and why it was chosen.

24. In identifying project alternatives for GEF projects, the principles set out in the following CI-GEF Project Agency Policies need to be considered for each alternative proposed:

a) Policy 2: Protection of Natural Habitats;

b) Policy 3: Involuntary Resettlement;

c) Policy 4: Indigenous Peoples;

d) Policy 5: Pest Management; and

e) Policy 6: Physical Cultural Resources.

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

25. The end product of the ESIA is a report that provides decision-makers with information regarding the important environmental and social issues/adverse impacts, the impacts of various alternatives, proposed minimization or mitigation measures, and recommendations of the relative desirability of different alternatives, management plans, monitoring plans, and reporting. The report should take into account three major factors: benefits and costs, achievement of project objectives, and adverse environmental and social impacts.

General Contents for the ESIA report

26. The following is a recommended list of contents for the full ESIA report for Category A projects:

    a) **Executive summary**: Concisely discusses significant findings and recommended actions.

    b) **Policy, legal, and administrative framework**: Discusses the policy, legal, and administrative framework within which the ESIA is carried out.

    c) **Project description**: Concisely describes the proposed project and its geographic, ecological, social, and temporal context, including any offsite investments that may be required. Indicates the need for any resettlement plan or Indigenous Peoples development plan (normally includes a map showing the project site and the project's area of influence).

    d) **Baseline data**: Assesses the dimensions of the study area and describes relevant physical, biological, and socioeconomic conditions, including any changes anticipated before the project commences. Also takes into account current and proposed development activities within the project area but not directly connected to the project. Data should be relevant to decisions about project location, design, operation, or mitigation measures. The section indicates the accuracy, reliability, and sources of the data.

    e) **Environmental and social impacts**: Predicts and assesses the project's likely positive and negative impacts, in quantitative terms to the extent possible. Identifies mitigation measures and any residual negative impacts that cannot be mitigated. Explores opportunities for environmental and social enhancement, including gender considerations. Identifies and estimates the extent and quality of available data, key data gaps, and uncertainties associated with predictions, and specifies topics that do not require further attention.

    f) **Analysis of alternatives**: Systematically compares feasible alternatives to the proposed project site, technology, design, and operation--including the "without project" situation--in terms of their potential environmental impacts; the feasibility of mitigating these impacts; their capital and recurrent costs; their suitability under local conditions; and their institutional, training, and monitoring requirements. For each of the alternatives, quantifies the environmental and social impacts to the extent possible, and attaches economic values where feasible. States the basis for selecting the particular project design proposed and justifies recommended emission levels and approaches to pollution prevention and abatement.

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

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

    i) **Monitoring and reporting:** Ensures that the terms and conditions of approvals are met; to monitor the impacts of development and the effectiveness of mitigation measures; and where required to undertake environmental audit and process evaluation to optimize environmental management.

27. For the limited ESIA (Category B projects), the ESIA will examine the project's potential negative and positive environmental impacts and defines any measures needed to prevent, minimize, or mitigate adverse impacts and improve environmental performance. This should incorporate or draw on existing reports and studies (if available), and discussions with Affected Communities, local government officials, and other stakeholders, as needed.

Monitoring and reporting of environmental and social measures

28. Monitoring of environmental and social measures is an important stage of the ESIA process that deals with the implementation of recommendations during the project execution phase. It comprises essentially "follow-up" activities after the approval of the ESIA report and may also include changes to project design.
29. Based on its findings, the monitoring of environmental and social measures defines the scope of environmental monitoring with respect to the preventive or remedial measures to be implemented, and the substantive environmental and social impacts to be addressed. Monitoring of environmental and social measures should include Specific, Measurable, Achievable, Relevant, Time specific (SMART) indicators.
30. Important functions of the monitoring of environmental and social measures as a major component of the ESIA implementation are:
    a) To ensure that the procedures recommended in the approved ESIA report are adhered to by the various agencies;
    b) To ensure that the environmental and social mitigation and enhancement schemes are well understood and communicated to all involved parties, including the general public;
    c) To ensure that the proposed environmental and social remedial measures are implemented during project execution;
    d) To evaluate the effectiveness of environmental and social remedial measures; and
    e) To evaluate the effectiveness of various evaluation techniques and procedures.

Stakeholder engagement during the ESIA process

31. As a Project Agency, CI will involve stakeholders, including project-affected groups, Indigenous Peoples, and local CSOs, as early as possible in the preparation process and ensure that their views and concerns are made known and taken into. The CI-GEF Project Agency Team will also ensure that consultations are continued throughout project implementation as necessary to address ESIA-related issues that affect them.
32. Benefits of Stakeholder Engagement include:
    a) Letting interested and affected parties participate in decision-making to give them more control and security;
    b) Sharing information and facilitating understanding;
    c) Building legitimacy and support for decisions;
    d) Fostering constructive working relationships among stakeholders;
    e) Building consensus and generating support for the project;
    f) Reducing conflict;

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

h) Improving the end decision and aiding sustainability.

33. Ideally, Stakeholder Engagement should involve the public in problem-solving. The joint effort by stakeholders, in-country representatives, executing entities, GEF Project Agency ensures better results. Executing Entities must ensure that the key principles of the GEF Gender Mainstreaming Policy is incorporated beginning with stakeholder engagement.

34. The following six aspects of stakeholder consultation must be followed:

a) Planning;

b) Identifying and analyzing Stakeholders;

c) Consulting with Stakeholders;

d) Recording and tracking interactions and feedback;

e) Responding to submissions; and

f) Reporting back.

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

APPENDIX II: Project Screening Form for CI-GEF Funded Projects

1. The CI-GEF Project Agency undertakes environmental and social screening of each proposed project to determine whether an ESIA is required and if so, the appropriate extent and type of ESIA. The CI-GEF Project Agency classifies the proposed 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 I are meant to serve as guidance to proposal reviewers and are not meant to be exhaustive.
2. All proposed activities will undergo screening to determine eligibility under GEF and CI policies, and type of ESIA that they are subject to and if proposed project activities trigger any of the GEF Safeguards.
3. **The Executing Entity** is responsible for providing responses to each of the questions outlined in this form when submitting a PIF to the Project Agency for consideration.
4. **The Project Agency is responsible for conducting** all aspects of the screening process, from initiation to making the final decision on whether or not an ESIA is necessary and, if so, at what level along with whether a project-level plan is required if a safeguard is triggered.

PROJECT DATA SUMMARY		
Country:	**CI Project ID**:	
Project Title:	**GEF Project ID**:	
Name of the Executing Entity:		
Length of Project:	**Start date**:	**End date**:
Introduction: (location, main issues to be addressed by project)		
Project Background: (description of physical, biological and socioeconomic context)		
Project Objectives:		
Project Components and Main Activities:		
Compliance with Environmental Conventions: *Explain how your project's goals/objectives/outcomes align with the main conventions that CI adheres to. These include:* • UNCBD • UNFCCC • RAMSAR Convention • CITES • UNCCD		
Compliance with Country Legal and Institutional Frameworks: 1. Explain how your project aligns with national laws and/or frameworks related to the environment (this may include national ESIA or EIA laws, etc.) 2. Where legal and institutional frameworks are inadequate, the proposal is to include a statement as to how this problem will be addressed, whether as part of the project or by a third party. 3. Where legal and institutional frameworks do not apply to or impact the project and its objectives, that and the reason for that conclusion need to be stated.		
Project Justification *(e.g. Alignment with Country and CI Institutional Priorities, GEF Focal Area Strategies):*		

Estimated Appraisal Date:
GEF Focal Area:
GEF Project Amount:
Other financing amounts by source:
Prepared by:
Date of preparation:
Comments:

PROJECT ELEGIBILITY QUESTIONS	
Answer the following questions to determine if the project is eligible for CI-GEF funding	
1. Will the project create significant destruction of critical natural habits of any type (forests, wetlands, grasslands, coastal/marine ecosystems, etc.)?	Yes | No
2. Will the project carry out unsustainable harvesting of natural resources (animals, plants, timber and/or NTFPs) or the establishment of forest plantations in natural critical habitats	Yes | No
3. Will the project include the construction and/or operation of dams?	Yes | No
4. Will the project cause the involuntary resettlement of people?	Yes | No
5. Will the project cause the removal, alteration or disturbance of any physical cultural resources or property?	Yes | No
6. Will the project intend to procure products that are in the World Health Organization Classes IA and IB, or formulations of products in Class II or pesticides or other chemicals specified as persistent organic pollutants under the Stockholm Convention or that are banned in the host country?	Yes | No
7. Will the project activities contravene major international and regional conventions on environmental issues?	Yes | No

PROJECT ELEGIBILITY ASSESSMENT
If you answer **YES** to any of the questions above, your project **IS NOT ELIGIBLE** for funding If you answer **NO** to all of the questions above, please proceed to answer the safeguard questions below

SAFEGUARD QUESTIONS
The sections below will help CI to determine whether your project triggers any of the GEF/CI safeguard policies. As a Project Agency implementing GEF funding, CI is required to assess all applications to determine if safeguards are triggered, and if so, whether or not appropriate mitigation measures are included in project design and implementation. Based on CI's mission, CI will automatically reject projects that trigger the Safety of Dams safeguard. For further information on CI application of safeguards please refer to www.conservation.org

SECTION 1: ENVIRONMENTAL AND SOCIAL IMPACT ASSESSMENT (ESIA)
Has a full or limited ESIA that covers the proposed project already been completed? ☐ **NO** → Continue to Section 2 (do not fill out Table 1.1 below) ☐ **YES** → No further environmental and social impact assessment is required **if** the existing documentation meets "CI Operations Manual for GEF Funded Projects" policies and standards, and environmental and social management recommendations and/or plans are integrated into the project. Therefore, you should undertake the following steps to complete the screening process: 1. Use Table 1.1 below to assess existing documentation. (It is recommended that this assessment be undertaken jointly by the Project Agency and the Executing Entity); 2. Ensure that the development of the full Project Document incorporates the recommendations made in the existing ESIA; 3. Submit this template, along with other relevant documentation to the Project Agency.

TABLE 1.1: CHECKLIST FOR APPRAISING QUALITY ASSURANCE OF EXISTING ENVIRONMENTAL AND SOCIAL IMPACT ASSESSMENT (ESIA)	
1. Is the assessment a: ☐ **FULL ESIA** ☐ **LIMITED ESIA**	
2. Does the assessment meet its terms of reference, both procedurally and substantively?	Yes | No
3. Does the assessment provide a satisfactory assessment of the proposed project?	Yes | No
4. Does the assessment contain the information required for decision-making?	Yes | No
5. Does the assessment describe specific environmental and social management measures (e.g. avoidance, minimization, mitigation, compensation, monitoring, and capacity development measures)?	Yes | No
6. Does the assessment identify capacity needs of the institutions responsible for implementing environmental and social management issues?	Yes | No
7. Was the assessment developed through a consultative process with key stakeholder engagement, including issues related to gender mainstreaming?	Yes | No
8. Does the assessment assess the adequacy of the cost of and financing arrangements for environmental and social management issues?	Yes | No

TABLE 1.1 (continued) For any "no" answers, describe below how the issue has been or will be resolved or addressed.

SECTION 2: PROTECTION OF NATURAL HABITATS
Will the project cause or facilitate any significant loss or degradation to critical natural habitats, and their associated biodiversity and ecosystem functions/services? ☐ **NO** → Continue to Section 3 ☐ **YES** → Continue to Table 2.1. below

TABLE 2.1: CHECKLIST FOR PROTECTION OF NATURAL HABITATS	
1. Is the project located near or in existing protected areas?	Yes | No
If your answer was yes, please provide the following information: a. Name, extend, category, governance arrangement, and current management of protected areas being affected by the project: b. Description of project activities that will affect existing protected areas:	
2. Is the project located within any other type of critical natural habitat?	Yes | No
If your answer was yes, please provide the following information: a. Description of the critical natural habitat to be affected by the project: b. Description of project activities that will affect critical natural habitats:	
3. Will the project affect species identified as threatened at the local and/or global levels?	Yes | No
If your answer was yes, please provide the following information: a. Name and conservation status of the species that will be affected by the project: b. Description of project activities that will affect threatened/endangered species:	
4. Will the project implement habitat restoration activities:	Yes | No
If your answer was yes, please provide the following information: a. Type and extent of habitats to be restored: b. Description of project activities for habitat restoration: c. Description of the contribution of the project in restoring or improving ecosystem composition, structure, and functions/services:	

SECTION 3: INVOLUNTARY RESETTLEMENT
Will the project involve the voluntary resettlement of people and/or direct or indirect restrictions of access to natural resources? ☐ **NO** → Continue to Section 4 ☐ **YES** → Continue to Table 3.1. below

TABLE 3.1: CHECKLIST FOR INVOLUNTARY RESETTLEMENT	
1. Will the project involve the voluntary resettlement of people?	Yes | No

If your answer was yes, please provide the following information: a. Name and of communities, ethnicity, estimated number of people to be resettled: b. Means by which the community(ies) provided or will provide consent for the resettlement: c. Description of the activities that will be carried out for the resettlement:

2. Will the project introduce displacement measures to remove or restrict people from accessing resources?	Yes | No
If your answer was yes, please provide the following information: a. Name, tenure status, type of use and extent (quantity) of the resources being used: b. Description of project activities that will affect access to natural resources and their potential positive and negative impacts on the environment and people:	

SECTION 4: INDIGENOUS PEOPLES
Does the project plan to work in lands or territories traditionally owned, customarily used, or occupied by Indigenous Peoples? ☐ **NO** → Continue to Section 5 ☐ **YES** → Continue to Table 4.1. below

TABLE 4.1: CHECKLIST FOR INDIGENOUS PEOPLES	
1. Will the project activities directly or indirectly affect Indigenous Peoples?	Yes | No
If your answer was yes, please provide the following information when applicable: a. Name and of communities, ethnicity, estimated number of people to be affected by the project: b. Description of the project activities and their will impacts on Indigenous Peoples: c. Means by which the project will respect free, prior and informed consent (FPIC) with the affected communities: d. Description of the approach to be implemented to ensure that that Indigenous Peoples receive culturally appropriate benefits that are negotiated and agreed upon with them: e. Description of the approach to be implemented to ensure the fair participation of indigenous people in the design and implementation of the project:	

SECTION 5: PEST MANAGEMENT
Does the project plan to implement activities related to agricultural extension services include the use of approved pesticides (including insecticides and herbicides) or invasive species management? ☐ **NO** → Continue to Section 6 ☐ **YES** → Continue to Table 5.1. below

TABLE 5.1: CHECKLIST FOR PEST MANAGEMENT	
1. Will the project include the use of eligible pesticides?	Yes | No
If your answer was yes, please provide the following information: a. Name, description and proposed useeligible pesticides: b. Description of how the Executing Entity will conduct the assessment of the nature and degree of associated risks, taking into account the proposed use and intended users: c. Description of how the Executing Entity will train communities to responsibly manage products, equipment, and containers to avoid harm to human health or broader environmental contamination: d. Description of how the Executing Entity will avoid the use of herbicides and pesticides near water sources and their contamination with pesticide residues when cleaning the equipment used: e. Description of how the Executing Entity will ensure that pesticides used would be properly applied, stored, and disposed of, in accordance with practices acceptable to CI:	
2. Will the project include the use of ecologically-based biological or environmental integrated pest management practices (IPM) and/or Integrated Vector Management (IVM) in public health activities?	Yes | No
If your answer was yes, please provide the following information: a. Description of approach to be used: b. Description of potential positive and negative impacts of the approach to be used in the project: d. Description of how the Executing Entity will assess the risk of the danger to non-target species: e. Description of how the Executing Entity will train communities to responsibly implement these approaches:	

SECTION 6: PHYSICAL CULTURAL RESOURCES
Does the project plan to implement activities related to agricultural extension services include the use of approved pesticides (including insecticides and herbicides) or invasive species management? ☐ **NO** → Continue to Section 7 ☐ **YES** → Continue to Table 6.1. below

TABLE 6.1: CHECKLIST FOR PHYSICAL CULTURAL RESOURCES (PCR)	
1. Will the project plan to work in areas that fall into categories under PCR, including archaeological, paleontological, historical, architectural, and sacred sites including graveyards, burial sites, and sites with unique natural values?	Yes | No

If your answer was yes, please provide the following information:

a. Name and description of the known physical cultural resources to be affected by the project:

b. Description of project activities to be implemented and their positive and negative impacts on PCRs:

c. Description of the mitigating measures to be implemented by the Executing Entity:

d. Description of how the Executing Entity will handle issues related to consultations, siting, chance-finds procedures, construction contracts and buffer zones:

SECTION 7: Gender Mainstreaming

5. **Gender mainstreaming**: Describe how the Executing Entity will ensure that gender issues and women's empowerment are being mainstreamed throughout the project, according to CI policies, including information on the socio-economic benefits and gender dimensions that are delivered by the project, and describe how it supports the achievement of global environmental benefits.

SECTION 8: Stakeholder Engagement

1. Stakeholder Participation: Describe any stakeholders important to the project and how you have involved or plan to involve them in the planning and implementation of the project.

SECTION 9: ADDITIONAL INFORMATION

2. External Assumptions: Describe any important external factors (risks) that may affect your project during implementation and how you will mitigate these potential risks.

3. Long-term Sustainability/Replicability: Describe how project components or results will continue or be replicated beyond the initial project. Note that this may include elements of project design, tools utilized during the project, or project results.

4. Social Context: Describe the broad socio-economic context of, and local communities living in, the area of the proposed project.

5. Describe how the project will work in this context and with the local communities, if relevant.

APPENDIX III: Implementation of Safeguards for Natural Habitats and Physical and Cultural Resources

1. The Executing Entity is required to include in the project concept and the screening document a description of activities that may involve adverse environmental impacts, any known environmental sensitivities, and any sites with known or potential archeological, paleontological, historical, religious or cultural values.
2. For Category B projects with potential minor and manageable adverse environmental and social impacts, a limited ESIA should be undertaken. This limited ESIA must examine the project's potential negative and positive environmental and social impacts and defines any measures needed to prevent, minimize, or mitigate adverse impacts and improve environmental and social performance. This should incorporate or draw on existing reports and studies (if available), and discussions with Affected Communities, local government officials, and other stakeholders, as needed.
3. The findings and results of a limited ESIA or full ESIA must be described in the full project proposal. Project proposals that do not provide adequate environmental and social information will not be considered for financing until they meet the requirements.
4. The scope of any environmental review and mitigation measures will be determined by the CI-GEF Project Agency Team in consultation with the Executing Entity through the project screening and approval process. If needed, the Team may request further information or a more detailed environmental and social review prior to approving a project.

Mitigation Measures

5. The most common impacts for eligible projects are anticipated to be minor, localized impacts from infrastructure construction or improvement (e.g. checkpoints, guard posts, trails, tourism facilities), potential increase in recreational use of protected areas, and change in natural resource management/use, including potential species introductions and alterations to ecosystem processes, such as freshwater flows and fire cycles.
6. The small-scale construction of infrastructure may have minor, short-term direct impacts on vegetation and local species-mainly due to soil excavation, dust, and noise. Increased recreational use of project sites may produce a direct impact because of under-management of tourist sites and facilities, possible overuse of campsites or trails, increased waste, harvesting of live wood for campfires, purposeful disturbance of wildlife, accidental fires, disturbance of flora and fauna, trespassing into fragile areas, introduction of alien invasive species, and non-maintenance of trails leading to slope erosion.
7. Natural Habitats: Any activities that potentially alter habitat (as defined above) should not be sited in areas that potentially have critically endangered species or sensitive ecosystems, i.e. they should be avoided. If it is impossible to avoid such areas, then impacts should be minimized, including via habitat restoration. If that is not possible, then they should be mitigated or offset.[3] Prevention, minimization, and mitigation can be achieved through proper site selection of infrastructure to avoid and minimize impacts, construction contract procedures for dealing with “chance finds,” control of dust generation and prevention, waste management and technology for toilet facilities like leaching fields, organic composting, and septic tanks.

[3] For further guidance, CI encourages Executing Entities to refer to IFC Performance Standard 6 and the accompanying Guidance Notes (also discussed in the paragraphs on Minimum Standard 2, Protection of Natural Habitat, above).

8. Physical Cultural Property: There is a possibility that project activities may result in damage to physical cultural property unless these are identified early on. As a GEF Project Agency, CI will not fund any activity that involves the removal, alteration or disturbance of any physical cultural resources (defined as movable or immovable objects, sites, structures, and natural features and landscapes that have archeological, paleontological, historical, architectural, religious, aesthetic, or other cultural significance). Recognizing that physical cultural resources may be present in projects areas, the screening criteria and review process aims to ensure that they are identified and adverse effects are avoided and/or mitigated.
9. Project proposals with activities that may occur in areas with possible physical cultural resources will specify procedures for identifying physical cultural property and for avoiding impacts on these, including:
    a) Consultations with the appropriate authorities and local inhabitants to identify known or possible sites during project planning. See Annex VII: Outline for Stakeholder Engagement Plan;
    b) Siting of project activities to avoid identified sites (including identifying such areas in protected and natural resource management planning and zonning);
    c) "Chance finds" procedures will include cessation of work until the significance of a "find" has been determined by the appropriate authorities and local inhabitants, and until fitting treatment of the site has been determined and carried out. For full list of Chance Find Procedures, See Annex II: Chance Find Procedures;
    d) Construction contracts will include the same procedures for dealing with "chance finds;"
    e) Buffer zones or other management arrangements to avoid damage to cultural resources such as "sacred" forests and graveyards. Indigenous Peoples and local communities to which these areas belong should decide access procedures and should not be excluded from accessing these areas.
10. The ESMF highlights the importance of community participation (noted in the Involuntary Resettlement and Indigenous Peoples safeguards) since local and traditional knowledge is important in identifying, designing and planning the implementation of practical mitigation measures. It is especially important where the success depends on community support and action, both in implementing mitigation measures and in monitoring their success.

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

PROJECT ACTIVITY	POTENTIAL IMPACTS	STANDARD MITIGATION MEASURES	MONITORING AND INDICATORS
• Construction of basic infrastructure (e.g. shelters, trails)	• Minor, short-term potential impacts on already disturbed and small areas of vegetation – mainly due to soil excavation, dust and noise	• Consult Affected Communities or biodiversity experts to determine appropriate siting of infrastructure to minimize impacts • Ensure trails are 'fit-for-purpose,' restricting width to the needs to foot patrols or tourists. In areas where trail bikes are used, the means of controlling access will be instituted. • Obtain any permits required by national and local regulations prior to construction • Choose most appropriate timing for construction to avoid or minimize impacts • Infrastructure will be designed in accordance with local traditions, local architecture, and good environmental practices • Appropriate management/disposal of waste+ debris	• Construction of basic infrastructure (e.g. shelters, trails)
• Change in natural resource use and management (e.g. restoration of gallery forest, re-engineering water flows in wetlands)	• Environmental impacts would almost always be positive; however, in a few cases unintended impacts may accidentally occur, such as introduction of invasive species, and human/wildlife conflicts (e.g. resulting in crop loss)	• Consult with Affected Communities and biodiversity experts to determine appropriate land and resource management regimes • Use only native species for restoration • Consider compensation and/or avoidance mechanisms to minimize crop loss and conflict	• Indicator species are monitored • Consultation processes with communities and their free, prior and informed consent are recorded
• Reintroduction of captive-bred threatened species	• Introduction of disease into the wild	• Undertake health checks prior to release • System for avoiding and mitigating disease outbreaks	• Monitor introductions and disease outbreaks

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

APPENDIX IV: Involuntary Resettlement or Restrictions of Access to Natural Resources

1. CI does not support activities that require involuntary resettlement or land acquisition, or the taking of shelter and other assets belonging to local communities or individuals.
2. This Appendix outlines the requirements necessary to avoid involuntary resettlement, minimize other project-initiated resettlement[4], and mitigate social impacts from restrictions of access to natural resources in protected areas as per the GEF's involuntary resettlement policy (Minimum Standard 3: Involuntary Resettlement) and CI's Involuntary Resettlement Policy. When Indigenous Peoples are affected, this should be applied together with ESMF section C regarding Indigenous Peoples.
3. The objective of this section is to avoid, minimize, or mitigate potentially adverse effects of resettlement and of other restrictions of access to natural resources, and ensure that affected communities are consulted with and participate in meaningful ways in and give consent to project activities affecting them. The following elements are covered:
   a) Resettlement and Access Restrictions Planning Roles;
   b) Criteria for Determining Planning and Monitoring;
   c) CI Policy Requirements;
   d) Preparation and Contents of a RAP;
   e) Preparation and Contents of a Process Framework; and
   f) Resettlement and Access Restrictions Planning Roles
4. The GEF Minimum Standards and CI policies on involuntary resettlement and restriction of access to natural resources are triggered for projects that include involuntary restrictions of access to natural resources resulting in adverse impacts on the livelihoods of Affected Communities.
5. This may include projects that support efforts to improve enforcement of existing restrictions, e.g. on wildlife hunting, extraction of timber or non-timber forest products, and production areas, and projects that support the development and implementation of management plans for protected areas or other conservation activities. This does not apply to projects that provide incentives to change livelihood and natural resource use practices on a voluntary basis.
6. The CI-GEF Project Agency with the Executing Entities shall determine application of the involuntary resettlement policy, and if so the scope of safeguard measures. The level of detail and scope is proportional to the size and complexity of the proposed project and its potential impacts on project-affected parties. Safeguard requirements for some projects may be limited, in some cases only requiring impact assessments and consultations during project preparation documented in the full proposal, and ongoing monitoring of potential impacts during implementation. Other projects, including those that might relocate people or restrict their access to natural resources, would require the preparation of a RAP or Process Framework during project development which would be implemented by the project to compensate loss from relocation and restore or improve livelihoods. Table V.1 provides an overview of possible elements for determining the level of detail necessary. It is illustrative only, and should not replace good technical judgment on a project-by-project basis.

[4] CI policy may support project-initiated voluntary resettlement as an exceptional measure where FPIC of affected communities is obtained.

Table V.1: Criteria for determining Planning and Monitoring of Resettlement or Restriction of Access to Natural Resources

Policy requirements Type of project	Consultations with Affected Communities	Involuntary Resettlement [Resettlement Action Plan or Process Framework]	Monitoring and Evaluation of access to natural resources
Projects with no restrictions of access to natural resources	Not Required. But it is good practice to consult with Affected Communities for most projects	Not Required	Not Required
Projects with limited restrictions of unsustainable activities with no direct impacts on Indigenous Peoples and local communities	Yes. But could be limited to a sample of representatives of Affected Communities	No. Project full proposal should describe the limited restrictions and the results of the impact assessment and consultations. It may also include measures to ensure that project will not adversely affect Indigenous Peoples and local communities' livelihoods or customary rights	Yes. To assess and monitor any impacts; should these occur, the Executing Entity is required to address the impacts and may be required to prepare a Resettlement Action Plan or Process Framework
Projects with restrictions affecting Indigenous Peoples and local communities' livelihoods and well-being and projects where relocation of people is considered necessary as an exceptional measure	Yes. Level of detail and scope is proportional to project activities and their impacts on Affected Communities. Participatory consultation processes to obtain the affected communities' free, prior and informed consent are documented	Yes. Level of detail and scope is proportional to project activities and their impacts on Affected Communities	Yes. including implementation of the Plan

CI Policy Requirements

7. CI's Project Agency has adopted a policy on involuntary resettlement and restrictions of access to natural resources to ensure that involuntary resettlement is avoided and to avoid or minimize impacts from restrictions of access to natural resources.
8. Where voluntary relocation of people is considered necessary as an exceptional measure, such relocation shall take place only with their free, prior and informed consent while minimizing and compensating for impacts.

9. Affected persons should be assisted in their efforts to improve or at least restore their livelihoods and standards of living in real terms relative to pre-displacement levels or to levels prevailing prior to the beginning of project implementation, whichever is higher (Minimum Standard 3: Involuntary Resettlement).

10. In line with the GEF Minimum Standards and procedures outlined by the IFC, projects that trigger the Involuntary Resettlement Safeguard (can include physical and non-physical displacement) will need to complete a RAP before appraisal. The ultimate goal of a RAP is to enable those displaced by a project to improve their standard of living—a goal that requires an examination of social, environmental, and economic conditions beyond simple physical inventories.[5] The RAP must identify all people affected by the project and all adverse impacts on their livelihoods associated with the project's land acquisition. Typical effects include breakup of communities and social support networks; loss of dwellings, farm buildings, and other structures (wells, boreholes, irrigation works, and fencing), agricultural land, trees, and standing crops; impeded or lost access to community resources such as water sources, pasture, forest and woodland, medicinal plants, game animals, or fisheries; loss of business; loss of access to public infrastructure or services; and reduced income resulting from these losses.

11. In line with the GEF Minimum Standards for projects that involve involuntary restriction of access to legally designated parks and protected areas, the Project Agency requires the Executing Entity to design, document, and disclose, before appraisal, a participatory process for development of a:

    a) **Process Framework**: developed during project preparation, the participatory processes by which: (i) components of the project are being prepared and will be implemented; (ii) the criteria for eligibility of affected persons will be determined; (iii) measures will be identified to assist the affected persons in their efforts to improve or restore their livelihoods, in real terms, to pre-displacement levels, while maintaining the sustainability of the project objectives; and (iv) potential conflicts involving affected persons will be resolved. The Framework also provides a description of the arrangements for implementing and monitoring these processes.

12. A key element of the policy requirements is the informed participation of affected communities in developing and implementing measures to address resource use restrictions. Affected communities have the right to free, prior and informed consent and to participate in deciding on the nature and extent of the resource restrictions, the eligibility criteria, and the measures to mitigate impacts arising from resource restrictions. They should actively participate in implementation of relevant safeguard measures.

Preparation and Contents of a Resettlement Action Plan

13. During project preparation, the Executing Entity will prepare a RAP with informed participation of affected communities. The RAP will specify the procedures that the Executing Entity will follow and the actions that will be taken to properly resettle and compensate affected people and communities.

14. The scope and level of detail of resettlement planning will vary with circumstances, depending on the project's complexity and the magnitude of its effects. As a minimum requirement,[6] a RAP must ensure that the livelihoods of people affected by the project are

[5] IFC, Handbook for Preparing a Resettlement Action Plan
[6] IFC, Handbook for Preparing a Resettlement Action Plan

restored to levels prevailing before inception of the project. However, simple restoration of livelihood may be insufficient to protect affected populations from adverse project impacts, especially induced effects such as competition for resources and employment, inflation, and the breakdown of social support networks. For this reason, CI's Project Agency seeks to promote the improvement of the living standards of people affected by the project. Thus, resettlement activities should result in measurable improvements in the economic conditions and social well-being of affected people and communities. According to the IFC Handbook for Preparing a Resettlement Action Plan, the essential components of a RAP are the following:

a) **Identification of project impacts and affected populations**: The RAP must identify all people affected by the project and all adverse impacts on their livelihoods associated with the project's land acquisition. Typical effects include breakup of communities and social support networks; loss of dwellings, farm buildings, and other structures (wells, boreholes, irrigation works, and fencing), agricultural land, trees, and standing crops; impeded or lost access to community resources such as water sources, pasture, forest and woodland, medicinal plants, game animals, or fisheries; loss of business; loss of access to public infrastructure or services; and reduced income resulting from these losses.

b) **A legal framework for land acquisition and compensation**: The legal framework of a RAP describes all laws, decrees, policies and regulations relevant to the resettlement activities associated with a project. Many countries have legislation and policies governing land expropriation and compensation for affected assets. However, policy governing resettlement is often poorly defined, if not altogether lacking. CI requires the Executing Entity to identify, review, and abide by all laws of the host country that are applicable to land acquisition and resettlement.

c) **A compensation framework**: the RAP compensation framework specifies all forms of asset ownership or use rights among the population affected by the project and the project's strategy for compensating them for the partial or complete loss of those assets. The compensation framework should include a description of the following: 1) any compensation guidelines established by the host government; 2) in the absence of established guidelines, the methodology that the project sponsor will use to value losses; 3) the proposed types and levels of compensation to be paid; 4) compensation and assistance eligibility criteria; and 5) how and when compensation will be paid.

d) **A description of resettlement assistance and restoration of livelihood activities**: CI policy states that the Executing Entity should avoid or minimize the displacement of people by exploring alternative project designs. Where displacement is unavoidable, the Executing Entity (after receiving free, prior informed consent) should plan and execute resettlement as a development initiative that provides displaced persons with opportunities to participate in planning and implementing resettlement activities as well as to restore and improve their livelihoods.

e) **A detailed budget**: It is essential that all costs be estimated carefully and included in a detailed RAP budget. The Executing Entity should itemize resettlement costs by categories of impact, entitlement, and other resettlement expenditures including training, project management, and monitoring. The results should be presented in a tabular form that illustrates expenditures over the life of the project. To ensure that all adverse impacts have been taken into account, budget line items should be checked against categories of adverse impact and entitlements.

f) **An implementation schedule**: The RAP budget should be linked with a detailed implementation schedule for all key resettlement and rehabilitation activities. This schedule should, in turn, be synchronizing with the project's schedule of any construction. Timing of the RAP field activities (consultation, census, and survey implementation) is crucial: commencement of field activities too soon before the project begins may raise local expectations and attract newcomers; commencement of activities too late after the project starts may interfere with project implementation. Executing Entities and project planners should be attentive to the agricultural and employment cycles of affected people and avoid scheduling key resettlement activities at times that may disrupt these cycles. Linking resettlement and construction schedules ensures that project managers place key resettlement activities on the same critical path as key project construction activities. Linking schedules in this way creates an imperative for coordinating resettlement with other project activities throughout the chain of project management.

g) **A description of organizational responsibilities***:* The RAP must identify and provide details on the roles and responsibilities of all organizations—public or private, governmental or nongovernmental—that will be responsible for resettlement activities. It is the responsibility of the Executing Entity to assess the capacity of these organizations to carry out their responsibilities and to provide the results of any assessments to the Project Agency.

h) **A framework for public consultation, participation, and development planning**: Effective resettlement planning requires regular consultation with a wide range of project stakeholders. Broadly defined, stakeholders include any individual or group affected by, or that believes it is affected by, the project; and any individual or group that can play a significant role in shaping or affecting the project, either positively or negatively, including the host community. Early consultation helps to manage public expectations concerning the impact of a project and its expected benefits. Subsequent consultations provide opportunities for the sponsor and representatives of people affected by the project to negotiate compensation packages and eligibility requirements, resettlement assistance, and the timing of resettlement activities. Project consultation with people affected by resettlement is mandatory.

i) **A description of provisions for redress of grievances**: The grievance mechanism needs to take into account local dispute resolution practices. CI's Accountability and Grievance Mechanism states that that local communities and other stakeholders may raise a grievance at all times to the Executing Entity, CI or the GEF about any issues covered in the ESMF (including issues related to Involuntary Resettlement). The executing entity must ensure that procedures are in place to allow affected people to lodge a complaint or a claim (including claims that derive from customary law and usage) without cost and with the assurance of a timely and satisfactory resolution of that complaint or claim. Specifically for the Involuntary Resettlement safeguard, as a GEF Project Agency, CI recommends that project make special accommodations for women and members of vulnerable groups to ensure that they have equal access to grievance redress procedures. Such accommodation may include employment of women or members of vulnerable groups to facilitate the grievance redress process or to ensure that groups representing the interests of women and other vulnerable groups take part in the process.

j) **A framework for monitoring, evaluation, and reporting**: CI's Project Agency requires that Executing Entities monitor and report on the effectiveness of RAP

implementation, including the physical progress of resettlement and rehabilitation activities, the disbursement of compensation, the effectiveness of public consultation and participation activities, and the sustainability of income restoration and development efforts among affected communities.

Preparation and Content of a Process Framework

15. During project preparation the Executing Entity prepares a Process Framework with the informed participation of affected communities. The Executing Entity screens for possible affected communities and scopes for issues that may affect project implementation and Indigenous Peoples and local communities. Social analysis is included to assess the local context, particularly the circumstances of Indigenous Peoples and local communities and their land and natural resource use and management systems and the impacts project activities may have on them. As appropriate the Executing Entity will draw on social, legal, and other technical expertise when preparing the Framework.

16. Consultations with affected communities are undertaken to inform the Framework. Depending on the scope of project impacts, it may be appropriate to consult only a sample of potentially affected communities. However, a draft Framework should be disclosed to all potentially affected communities for their approval prior to submitting the full proposal for final approval by CI's Project Agency. Typically, the Executing Entity will prepare a draft Framework that will then be shared and discussed with communities and other relevant stakeholders. Based on the consultations, a final Framework and general project design will be prepared. CI's Project Agency may provide guidance on development of the Framework and will review and approve the final Framework along with the full project proposal.

17. The level of detail of the Process Framework may vary depending on project activities, characteristics of restrictions and their impacts, and the number of persons affected. It is not meant to include the final impact assessment and measures to address impacts, but a process to determine and develop these during project implementation (these will then be described in the Plan of Action; see below). The Framework will describe the project and how restrictions of access to natural resources and measures to assist affected communities will be determined with the participation of affected communities. It will include the following elements:

    a) **Project background**: Describe the project and its local context (including an overview of Indigenous Peoples and local communities and other relevant stakeholders and their respective use of natural resources in the project area), how the project was prepared, including consultations with Indigenous Peoples and local communities and other stakeholders, and the findings of any social analysis or surveys that informed design. It will describe project activities and their potential impacts.

    b) **Participatory implementation**: Detail the participatory planning process during project implementation for determining restrictions, mutually acceptable levels of resource use, management arrangements, and measures to address impacts on Indigenous Peoples and local communities. The roles and responsibilities of stakeholders and the methods of participation and decision-making should be described; decision-making may include the establishment of representative local structures, the use of open meetings, and involvement of existing local institutions. Methods of consultation and participation should be in a form appropriate for the Indigenous Peoples and local communities.

18. Decisions concerning restrictions of resources should be based on well-founded understandings of the biological and socio-economic contexts, including threats to

biodiversity and ecosystems; and with the free, prior and informed consent of the project-impacted communities.

19. Participatory social, biological, and ecological assessment should be conducted during project implementation to inform the decision-making process. Such an assessment would help develop an understanding of:
    a) The cultural, social, economic, and geographic setting of the communities in the project areas;
    b) The types and extent of community use of natural resources, and the existing rules and institutions for the use and management of natural resources;
    c) Identification of village territories and customary use rights;
    d) Local and indigenous knowledge of biodiversity and natural resource use;
    e) The threats to and impacts on the biodiversity from various activities in the area of both Indigenous Peoples and local communities and other stakeholders (e.g. External poachers and traders, development activities);
    f) The potential livelihood impacts of new or more strictly enforced restrictions on use of resources in the area;
    g) Communities' suggestions and/or views on possible mitigation measures to such impacts;
    h) Potential conflicts over the use of natural resources, and methods for solving such conflicts; and
    i) Strategies for community participation and consultation during project implementation, including implementation of a plan of action and monitoring and evaluation.
20. It is important to also pay particular attention to land tenure issues, including traditional land rights and obligations and use of natural resources by different Indigenous Peoples and local communities. For instance, areas used to collect non-timber forest products and for shifting cultivation, including fallow areas under traditional farming systems, should not be exposed to restrictions unless this is necessary for the conservation of important biodiversity and protection of threatened species and until appropriate agreements with Indigenous Peoples and local communities reached and alternatives found.

Criteria for eligibility of affected persons

21. The Framework describes how Indigenous Peoples and local communities will participate during project implementation in establishing criteria for eligibility for assistance to mitigate adverse impacts and improve livelihoods, or may include these criteria in the Framework itself. However, in most cases they will be developed, or refined, during implementation, typically as part of the participatory ESIA process.
22. The eligibility criteria would determine which groups and persons are eligible for assistance and mitigation measures. That is, the criteria may exclude certain affected persons or groups from assistance because their activities are clearly illegal, unsustainable and destructive (e.g., wildlife poachers, dynamite fishers). The criteria may also distinguish between persons utilizing resources unsustainably and opportunistically, and others using resources for their livelihoods, and between groups with customary rights and non-residents or immigrants. The eligibility criteria should also establish a cut-off date.

23. The Framework should identify vulnerable groups and describe what special procedures and measures will be taken to ensure that these groups will be able to participate in, and benefit from, project activities. Vulnerable groups are groups whose community survival is at risk, or who may be at risk of being marginalized from relevant project activities and decision-making processes, such as groups highly dependent on natural resources, forest dwellers, Indigenous Peoples, groups or households without security of tenure, mentally and physically handicapped people, people in poor physical health, and the very poor.

Measures to assist the affected persons

24. The Framework should describe how groups or communities will be involved in determining measures that will assist affected persons in managing and coping with impacts from agreed restrictions. The common objective is to improve or restore, in real terms, their livelihoods while maintaining the sustainability of the project objectives for conservation and protection of threatened species. However, in some circumstances affected communities may agree to restrictions without identifying one-for-one mitigation measures as they may see the long-term benefits of improved natural resource management and conservation. Possible measures to offset losses may include:

    a) Special measures for recognition and support of customary rights to land and natural resources;

    b) Transparent, equitable, and fair ways of more sustainable sharing of the resources;

    c) Access to alternative resources or functional substitutes;

    d) Alternative livelihood and income-generating activities;

    e) Health and education benefits;

    f) Obtaining employment, for example as park rangers or eco-tourist guides; and

    g) Technical assistance to improve land and natural resource use, and marketing of sustainable products and commodities.

    25. These measures should be in place before restrictions are enforced, although they may be implemented as restrictions are being introduced or enforced.

Conflict resolution and complaint mechanism

26. The Framework shall describe how conflicts involving affected persons will be resolved, and the processes for addressing grievances raised by affected communities, households or individuals regarding the restrictions, criteria for eligibility, mitigation measures and implementation of these elements of the Process Framework.

27. Roles and responsibilities concerning conflict resolution and grievances of stakeholders, including Executing Entity, affected communities and government agencies, will be described. Procedures should take into account local dispute resolution practices and institutions. Unless Affected Communities request an alternative process, the Accountability and Grievance Mechanism Policy described in the Safeguard Policies and Processes section of this ESMF shall apply.

Implementation Arrangements

28. The Framework should describe the implementation arrangements, including the roles and responsibilities concerning project implementation of different stakeholders, such as the Executing Entity, affected communities, and relevant government agencies. This includes agencies involved in the implementation of mitigation measures, delivery of services and land tenure, as appropriate and to the extent that these are known at the time of project preparation.
29. Monitoring and evaluation arrangements will also be described in the Framework, and should include a budget and financing plan for its implementation.

APPENDIX V: Indigenous Peoples Safeguard Implementation

1. This section provides guidance for applying the minimum standards for Indigenous Peoples based on CI experience.
2. Throughout this section, CI has referred specifically to Indigenous Peoples in recognition of their unique cultural and socio-economic circumstances, historic and current vulnerability, place-based culture, and the internationally recognized rights afforded them, such as under International Labor Organization's Convention N^{o} 169 (ILO 169) and the United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP).
3. These international instruments recognize the right to *free*, *prior* and *informed* consent (FPIC) for indigenous/tribal peoples alone. However, in practice the principles underlying FPIC are increasingly extended to local communities and Affected Communities, as well. This extension is consistent with the Convention on Biological Diversity, which recognizes that both indigenous and local communities have rights to prior informed consent. In short, FPIC has emerged a best practice standard for all Affected Communities.
4. In our work, the processes of consultation and obtaining FPIC will be applied to all Affected Communities, with the distinction that Indigenous Peoples enjoy a higher standard of protection based on their vulnerability and place-based culture. Thus, for Indigenous Peoples, CI would place greater priority on avoidance of adverse impacts compared to other local communities, for which mitigation or compensation may be more feasible without damage to the community. This section thus guides our work with all communities and outlines these best practice standards consistent with CI policies.

Applicability and Objectives

5. The GEF Minimum Standards and CI policies concerning Indigenous Peoples recognize the distinct circumstances that expose Indigenous Peoples to different types of risks and impacts from development projects. As social groups with identities that are often distinct from dominant groups in their national societies, Indigenous Peoples are frequently among the most marginalized and vulnerable segments of the population. As a result, their economic, social, and legal status often limit their capacity to defend their rights to lands, territories, and other productive resources, and restricts their ability to participate in and benefit from development.
6. At the same time, CI recognizes that Indigenous Peoples play a vital role in sustainable development and emphasize that conservation should benefit Indigenous Peoples, thereby ensuring long-term sustainable management of critical ecosystems and protected areas.
7. The specific objectives of GEF Minimum Standard 4 are to avoid adverse impacts on Indigenous Peoples and to provide them with culturally appropriate social and economic benefits. To meet these objectives, the Indigenous Peoples Plan describes planning procedures that Executing Entities will follow during the preparation and implementation of GEF funded projects.

Project Risks to Indigenous Peoples

8. Many areas with threatened species and other biodiversity values overlap with lands or territories traditionally owned, customarily used, or occupied by Indigenous Peoples. In this way CI-GEF projects can provide valuable long-term opportunities for sustainable development for Indigenous Peoples and other local communities. On the other hand,

projects supported by GEF could also adversely affect Indigenous Peoples and the lands and resources on which they depend. Potential impacts and risks may include (these are illustrative only, and do not exclude other impacts in particular cases):

a) Loss of customary rights to land and natural resource use areas as well as areas used for social, cultural and spiritual purposes. Such rights would need to be identified and recognized in specific projects;

b) Changes in land and natural resource use that do not take into consideration traditional resource use practices. Activities that support land and natural resource use changes based on unfounded assumptions that these are unsustainable may inflict both adverse social (e.g., decreased food security) and environmental consequences (e.g., over-exploitation of remaining land use areas). Such activities should only be undertaken based on a thorough understanding of both biological and social evidence, and through consultations with Indigenous Peoples;

c) Loss of culture and social cohesion. Given Indigenous Peoples' social and political marginalization and their distinct cultures and identities, which are often intertwined with their land and natural resource use practices, interventions may adversely affect their culture and social organization, whether inadvertently or not. While indigenous communities may welcome and seek change, they can be vulnerable when such change is imposed from external forces without their full participation and consent; and

d) Inequitable benefits and participation. Given their social and political marginalization, Indigenous Peoples may not reap the benefits of conservation projects. The costs (e.g., in time and resources) of participating in project activities may also outweigh the benefits to Indigenous Peoples. Participation design may not include appropriate capacity building (when needed), appropriate representation of Indigenous Peoples in decision-making bodies, or take into consideration local decision-making structures and processes. This may lead to alienation of Indigenous Peoples or conflicts with and/or between communities.

Screening for Indigenous Peoples

9. CI-GEF projects are required to screen for the presence of Indigenous Peoples early during project preparation. Indigenous Peoples are identified using the criteria described in Minimum Standard 4. The criteria include but are not limited to: a distinct, vulnerable, social and cultural group possessing the following characteristics: (i) self-identification and/or identification by others as Indigenous Peoples; (ii) collective attachment to land, presence of customary institutions, indigenous language, and primarily subsistence-oriented production.

10. The screening process can be based on literature review and secondary sources, but would usually also include consulting experts on the local context. Screening may also involve consultations with affected communities, Indigenous Peoples organizations, CSOs, and government representatives, as appropriate. In situations of uncertainty, disagreements, or controversy, CI's Project Agency may seek guidance from the GEF.

11. Once it has been determined that Indigenous Peoples are present in the project area, the Executing Entity utilizes the ESIA to assess the particular circumstances of the affected communities and assesses the project's positive and adverse impacts on them. The ESIA is also used to identify means to avoid or mitigate adverse impacts and ensure that project activities are culturally appropriate, will enhance benefits to target groups, and if the project

is likely to succeed in the given socioeconomic and cultural context. In this way, the ESIA informs the preparation of the project and, if warranted, the preparation of an IPP.

12. As stressed before, the level of detail of the ESIA depends on project activities and the nature and scale of effects on Indigenous Peoples. The findings are described in the project's full proposal, together with a short description of the indigenous communities and social context. The ESIA would confirm that any impacts the project might have on indigenous groups, and identify any particular issues to consider in project design and during project implementation concerning Indigenous Peoples. The ESIA is discussed with the indigenous communities during the consultation process (see below).
13. For larger or more complex projects with potential adverse impacts, the Executing Entity contracts outside independent experts to conduct the ESIA. An ESIA is prepared and summarized in the Project Proposal. The ESIA must document participatory discussions with Indigenous Peoples and local communities. As appropriate for the level of complexity of the proposed project and commensurate with the nature and scale of its potential effects on the Indigenous Peoples, the ESIA should include the following elements (and may draw also from World Bank OP 4.10 Annex A, July 2005):
    a) A description, on a scale appropriate to the project, of the legal and institutional framework applicable to Indigenous Peoples;
    b) Baseline information on the demographic, social, cultural and political characteristics of the affected indigenous communities, and the land and territories which they traditionally own, or customarily use or occupy and the natural resources on which they depend;
    c) Description of key project stakeholders and the elaboration of a culturally appropriate process for consultation, participation, and obtaining the Indigenous Peoples' free, prior and informed consent both prior to and during project implementation;
    d) An assessment, based on consultation with the affected Indigenous Peoples of the potential adverse and positive effects of the project. Critical to the determination of potential adverse impacts is an analysis of the relative vulnerability of, and risks to, the affected indigenous communities given their distinct circumstances, ties to land and dependence on natural resources, as well as their lack of opportunities relative to other social groups in the communities, regions, or national societies they live in; and
    e) Identification and evaluation, based on consultation with and the free, prior and informed consent of the affected Indigenous Peoples' communities, of measures to ensure that the Indigenous Peoples receive culturally appropriate benefits under the project and measures necessary to avoid adverse effects, or if such measures are not feasible, identification of measures to minimize, mitigate, or compensate for such effects.
14. 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.
15. The Executing Entity undertakes a process of consultations with the Indigenous Peoples during project preparation: to inform them about the project, fully identify their views, inform/adapt the project design, and to obtain their free, prior and informed consent to project activities affecting them and, if its development is required, the IPP.

16. For projects affecting indigenous communities, whether positively or adversely, a more elaborate consultation process is required. 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.
17. The extent of consultations depends on the project activities, their impacts on Indigenous Peoples and the circumstances of the communities. As a minimum (e.g. for projects with no impacts on or no direct interventions with the indigenous communities), Indigenous Peoples are informed about the project prior to its implementation, asked for their views on the project, and assured that they will not be affected during project implementation. For projects affecting indigenous communities, whether positively or adversely, a more elaborate consultation process is required. This may include, as appropriate:
    a) The consultations should be conducted in a manner that is culturally appropriate taking into consideration the indigenous communities' decision-making processes. All project information provided to Indigenous Peoples should be in a form appropriate to their needs, and taking into account literacy levels. Local languages should usually be used and efforts should be made to include all community members, including women and members of different generations and social groups (e.g., clans and socioeconomic background). The consultations should occur without any external manipulation, interference, or coercion. Communities should have prior access to information about the intent and scope of the project, including possible positive and negative results, and should be allowed to have discussions amongst themselves before agreeing to project activities.
    b) When seeking affected Indigenous Peoples consent for the project, it should be ensured that all relevant social groups within the community have been adequately consulted (e.g., women, elders, etc.). 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.

18. The Executing Entity 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.

19. 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.

20. **Indigenous Peoples Plan**: Based on the social assessment and consultations, the project is designed to address issues pertaining to Indigenous Peoples. If a project may potentially have adverse impacts on, or have direct interventions with indigenous communities, an Indigenous Peoples Plan is prepared. Whether a project requires an IPP is determined by the Project Agency in consultation with the Executing Entity.

21. If a project also involves involuntary restrictions on access to natural resources, a RAP and an IPP should be prepared in tandem and with the participation of affected indigenous communities. In cases where Indigenous Peoples are the sole or the overwhelming majority of direct project beneficiaries and the project focus is delivery of these benefits, a stand-alone IPP is not required; instead the elements of an IPP can be included in the overall project design document.

22. The following elements and principles may be included in the IPP, as appropriate:

    a) Specific measures for implementation, along with clear timetables of action, budget and financing sources. The IPP measures should also be incorporated into the general project design as appropriate. Emphasis should be on enhancing participation and culturally appropriate benefits. Adverse impacts should only be contemplated when absolutely necessary and when agreed to by the affected communities;

    b) Description and documentation of the free, prior and informed consent reached during the project preparation consultation process;

    c) Clear output and outcome indicators developed with the affected Indigenous Peoples;

    d) Project design drawing upon the strengths of Indigenous Peoples communities and their local institutions and should take into account their languages, cultural and livelihood practices, social organization, and religious beliefs;

    e) Use of indigenous and traditional knowledge and local resource management arrangements in project design as appropriate and with the community's consent;

    f) Special measures for the recognition and support of customary rights to land and natural resources [This is particularly the case for projects that support the development of management plans and other forms of land and natural resource use planning. Projects that support policy development may also affect Indigenous Peoples' customary rights.];

    g) Special measures concerning women and marginalized sub-groups in the communities to ensure inclusive development activities;

    h) Capacity building activities for the indigenous communities to enhance their participation in project activities;

    i) Capacity building of the Executing Entity (and any other implementing agency) concerning Indigenous Peoples' issues;

j) If the Executing Entity does not possess the necessary technical capacities concerning working with Indigenous Peoples, the involvement of experienced local community organizations and CSOs acceptable to the affected Indigenous Peoples;

k) Grievance mechanism taking into account local dispute resolution practices; and

l) Monitoring and reporting arrangements, including mechanisms and benchmarks appropriate to the project and affected communities. Participatory monitoring and evaluation exercises adapted to the local context, indicators, and capacity should be included.

23. **Institutional arrangements, monitoring and disclosure**: The Executing Entity is responsible for incorporating the policy requirements of the GEF Minimum Standards and CI policies into project design and executing the project in conformity with them. This includes defining monitoring indicators and reporting on progress of their achievement.

24. Project Agency will monitor implementation of the Project level ESMP and any IPP. Project Agency will review and approve the TOR for ESIA and the ESIA report. In addition, the GEF Coordination Team (GCT) will review and approve the elements of project-specific IPPs and other measures concerning Indigenous Peoples in GEF-funded projects and will monitor the implementation of these plans. During project preparation and implementation Project Agency may request further information concerning the project's effects on Indigenous Peoples, and request further assessment or consultations as well as work on the IPP.

25. IPPs prepared for projects under this framework should be disclosed in a culturally appropriate manner in draft form to affected communities prior to approval by Project Agency and again after project approval and prior to implementation. Language is critical and the IPP should be disseminated in the local language or in other forms easily understandable to affected communities; oral communication methods are often needed to communicate the proposed plans to affected communities.

Standard Outline for an Indigenous Peoples Plan

26. The Indigenous Peoples Plan (IPP), while adhering the policies and practices described herein, is prepared in a flexible and pragmatic manner, and its level of detail varies depending on the specific project and the nature of effects to be addressed.

27. The IPP includes the following elements, as needed:

a) A summary of the legal and institutional framework applicable to Indigenous Peoples in the area and a brief description of the demographic, social, cultural, and political characteristics of the affected Indigenous Peoples' communities, the land and territories that they have traditionally owned or customarily used or occupied, and the natural resources on which they depend;

b) A summary of the ESIA;

c) A detailed description of the participation and consultation process during implementation

d) A summary of results of the participatory consultation with the affected Indigenous Peoples' communities that was carried out during project preparation and that led to their free, prior and informed consent to the project;

e) A framework for ensuring FPIC with the affected Indigenous Peoples' communities during project implementation;

f) An action plan of measures to ensure that the Indigenous Peoples receive social and economic benefits that are culturally appropriate, including, if necessary, measures to enhance the capacity of the project executing entities to ensure that they are delivered and/or sustained;

g) When potential adverse project effects on Indigenous Peoples are identified, an appropriate action plan of measures to avoid, minimize, mitigate, or compensate for these adverse effects;

h) The cost estimates and financing plan for the IPP coordinated to ensure consistency with the overall project budget;

i) Accessible procedures appropriate to the project to address grievances by the affected Indigenous Peoples' communities arising from project implementation. When designing the grievance procedures, the Executing Entity takes into account the availability of judicial recourse and customary dispute settlement mechanisms among the Indigenous Peoples; and

j) Mechanisms and benchmarks appropriate to the project for monitoring, evaluating, and reporting on the implementation of the IPP. These monitoring and evaluation mechanisms should include arrangements for consultation with and the free, prior, and informed consent of the affected Indigenous Peoples' communities with respect to monitoring and evaluation.

APPENDIX VI: Pest Management Planning and Implementation

1. As a result of considerable work on removal of alien and invasive species (AIS), CI has developed guidelines for the use of chemical products and a format for a PMP.
2. A Pest Management Plan (PMP) is prepared by the Executing Entity when required by CI's Project Agency to ensure the use of best practice in the control and removal of alien and invasive plants, insects, and animals in compliance with GEF Environmental and Social Safeguards. The objective of the guidance below is to minimize and manage environmental and health risks associated with the application of pesticides, insecticides, and herbicides (herewith referred to in the unitary as "pesticides") in efforts to restore natural habitats. It describes the requirements and planning procedures for Executing Entities in the preparation and implementation of CI-GEF projects to control AIS as well as the role of the Project Agency in ensuring compliance with the GEF minimum standards and CI's own policies in this area.
3. Any CI-GEF project that proposes to use chemical pesticides must include a PMP with the following sections:
    1. **Grant Summary**
        i. Grantee organization
        ii. Grant title
        iii. GEM number (*to be completed by CI).*
        iv. Grant amount (US dollars)
        v. Proposed dates of grant
        vi. Countries or territories where pesticides will be applied
        vii. Full name, title, telephone numbers, and electronic mail address of Grantee personnel responsible for the pest management plan
        viii. Brief summary of the project
        ix. Date of preparation of the pest management plan

    2. **Pest Management Approach:** This section should describe the applicant's understanding of the problem, their experience with pest management issues, and their proposed actions during the project. Specifically, what do you intend to do and how will you do it? The information presented should include methods of application, e.g. by hand or via aerial spraying.
        i. Current and anticipated pest problems relevant to the project
        ii. Current and proposed pest management practices
        iii. Relevant integrated pest management experience within the project area, country or region
        iv. Assessment of proposed or current pest management approach and recommendations for adjustment where necessary

    3. **Pesticide Selection and Use**: This section describes the pesticide selected, why it was selected, t efforts made to assess and mitigate risk, and remaining risk(s) that the selected pesticide will have to non-target species.
        i. Description of present proposed and/or envisaged pesticide use and assessment of whether such use is in line with best management practices

ii. Indication of type and quantity of pesticides envisaged to be financed by the project (in volume and dollar value) and/or assessment of increase in pesticide use resulting from the project
iii. Chemical, trade, and common name of pesticide to be used
iv. Form in which pesticide will be used (e.g., pellet, spray)
v. Specific geographic description of where the pesticide will be applied: name of province, district, municipality, land owners, or map coordinates (if available); and the total area (hectares) to which the pesticide will be applied
vi. Assessment of environmental, occupational and public health risks associated with the transport, storage, handling and use of the proposed products under local circumstances, and the disposal of empty containers
vii. Description of plans and results for tracking of damage to and/or deaths of non-target species prior to pesticide application and subsequent to pesticide application
viii. Pre-requisites and/or measures required to reduce specific risks associated with envisaged pesticide use under the project (e.g., protective gear, training, upgrading of storage facilities, etc.)
ix. Basis of selection of pesticides authorized for procurement under the project, taking into consideration WHO and FAO's International Code of Conduct on the Distribution and Use of Pesticides
x. Name and address of source of selected pesticides.
xi. Name and address of vendor of selected pesticides.
xii. Name and address of facility where pesticides will be stored.

4. **Policy, Regulatory Framework, and Institutional Capacity:** This section explains the institutional and legal framework under which the pesticide will be applied, with reference to the documentation and standards required under local and national law and international good practice. Where the particular pesticide is not regulated at the target site, the proponent must identify similar pesticides and the applicable regulation, international laws in neighboring countries that could apply, and international good practice. The proponent must also explain why this particular pesticide is necessary even in the absence of national laws.

   i. Policies on plant/animal protection, integrated pest management, and humane treatment of animals;
   ii. Description and assessment of national capacity to develop and implement ecologically-based AIS control;
   iii. Description and assessment of the country's regulatory framework and institutional capacity for control of the distribution and use of pesticides;
   iv. Proposed project activities to train personnel and strengthen capacity (list # of people and what they are being trained in); and
   v. Confirmation that the appropriate authorities were approached (who and when) and that the appropriate licenses and permissions were obtained by the project.

5. **Consultation:** This section aims to outline the range of informed consultations that the grantee has had both with experts to optimize the potential for success, and with stakeholders, particularly local communities, who are potentially affected (by

proximity, by the use of certain areas for free-ranging livestock or non-timber forest product collection, etc.) by the use of pesticides.

i. Plans for, dates, and results of expert consultations, if necessary; and
ii. Plans for, dates, and results of consultations with local communities.

6. **Monitoring and Evaluation (M&E)**: This section aims to outline what steps the proponent will take to monitor and evaluate the purchase, storage, application and effects of the pesticide in the target area.

i. Description of activities related to pest management that require monitoring during implementation;
ii. Monitoring and supervision plan, implementation responsibilities, required expertise and cost coverage; and
iii. Implementation Strategy.

4. Examples of the types of grants to which these guidelines apply include, but are not limited to:

a) A grant that involves the employ of labor and application of herbicide to restore a degraded landscape and allow endemic vegetation and animals to return;

b) A grant that involves the supervision of teams conducting AIS control by chemical means, where those teams are operating with funding from a host country government or other donor; and

c) A grant that involves the eradication by chemical means of non-native rats, cats, reptiles (e.g., Brown Tree Snake), birds (e.g., Common Myna), and invertebrates (e.g., Golden Apple Snail) from an island or isolated natural habitat.

5. These guidelines do not apply to the removal of alien and invasive plant and animals through physical means as part of the restoration of degraded habitat or the maintenance of Key Biodiversity Areas (KBA) and biodiversity/habitat corridors.

6. A single set of guidelines cannot anticipate every scenario under which an Executing Entity will propose to remove AIS. The conditions of the habitat, the type of species present or being eradicated in the target area, the method of control, the capacity of the organization, the latest knowledge of environmental impacts, and even the definitions of “best practice” will change over time. Thus, these guidelines offer an approach that has proven effective while meeting GEF minimum standards. CI-GEF projects will not, however, finance the use of any pesticides categorized IA, IB or II by the WHO (e.g., brodifacoum, paraquat).

7. Projects should benefit from the accumulated knowledge on the use of pesticides in invasive eradication, including those that are available at:

a) The International Union for Conservation of Nature (IUCN) Invasive Species Specialist Group (http://www.issg.org /index.html), which provides dozens of resources, including the Global Invasive Species Information Network List of Invasive Alien Species Online Information Systems (http://www.gisinetwork.org/Documents/draftiasdbs.pdf); and

b) The World Health Organization’s Recommended Classification of Pesticides by Hazard, updated every two years (http://www.who.int/ipcs/publications/pesticides_hazard/en/).

8. **Disclosure:** The PMP and/or the documents required in countries where adequate policies exist are public documents. The Executing Entity must make draft and final plans (at the preparation and appraisal stages) available to affected parties and to the public (final

approved documents). CI will place final approved plans on its website, www.conservation.org.

APPENDIX VII: Accountability and Grievance Mechanisms for GEF Funded Projects

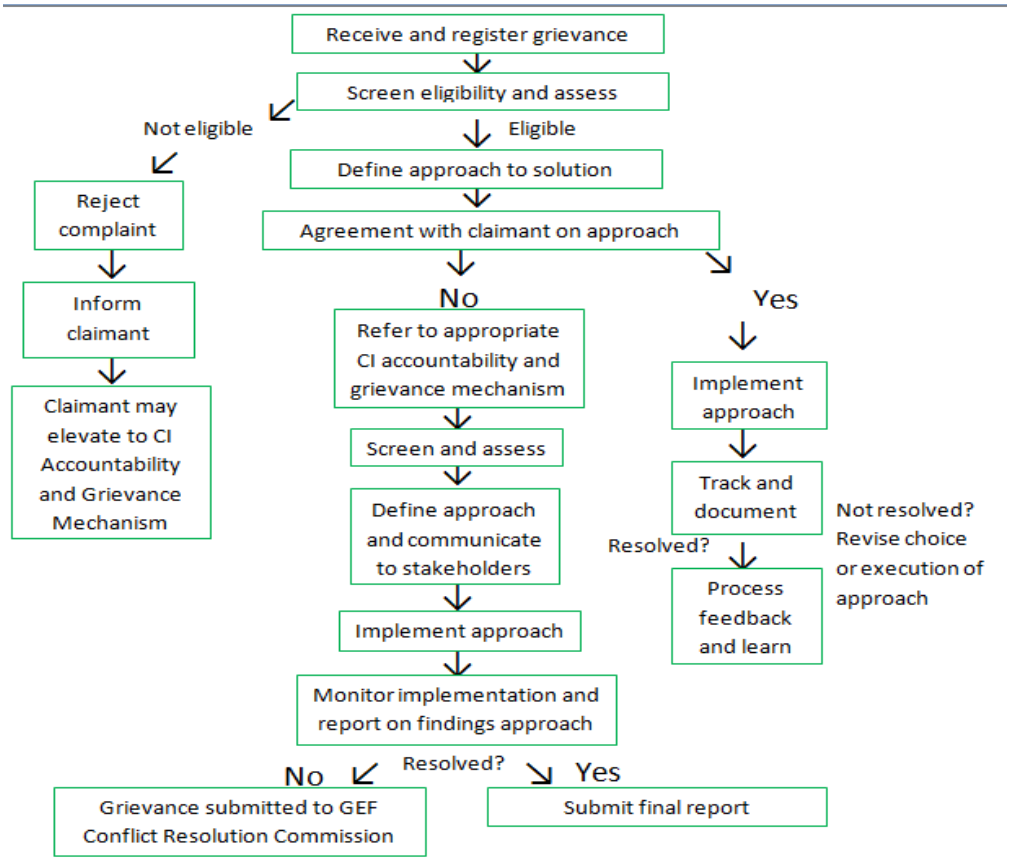
Context

1. Based on the requirements of accreditation as a Project Agency of the GEF, CI must have a system of accountability to ensure enforcement of its environmental and social safeguard policies and related systems. In addition, CI is required to have measures for the receipt of and timely response to complaints' from parties affected by the implementation of GEF-funded project and which seek resolution of complaints.
2. CI as a Project Agency has devised Accountability and Grievance Mechanisms so that local communities and other stakeholders may raise a grievance at all times to the Executing Entity, CI or the GEF about any issues covered in the ESMF. Affected communities should be informed about this possibility and contact information of the respective organizations at relevant levels should be made available publicly.

CI Organizational Structure and Staffing

3. 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 will sit within the General Counsel's Office. The Director of Compliance and Risk Management will manage all activities and processes related to the Accountability and Grievance Mechanisms.

Overview of Grievance Mechanism



Conflict Resolution on a Project-by-Project basis

4. The Executing Entity should be the first point of contact in the Grievance Mechanism. The Executing Entity will be responsible for informing Affected Communities about the project commitments and ESMF provisions. Contact information of the Executing Entity, CI, and the GEF will be made publicly available to all involved stakeholders. Complaints to the Executing Agency can be made through many different channels including, but not limited to face-to-face meetings, written complaints, telephone conversations, or e-mail.

5. A Grievance Mechanism should be put in place by the Executing Entity as early as possible – ideally at the project design phase – and may be modified for later project phases as necessary. Problems are often resolved more easily, cheaply, and efficiently when they are dealt with early and locally. The project design must include a process for hearing, responding to and resolving community and other stakeholder grievances within a reasonable time period. This grievance process must be publicized to communities and other stakeholders and may be managed by a third party or mediator to prevent any conflict of interest. Executing Entities must attempt to resolve all reasonable grievances raised, and provide a written response to grievances within 30 days. Grievances and Executing Entity responses must be well documented.

6. If this process does not result in resolution of the grievance, the grievant may file a claim with the CI Director of Compliance (DOC) who can be reached at:

   Electronic email: GEFAccountability@conservation.org

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

7. CI as a Project Agency must ensure that project design, implementation, and learning mechanisms are continuously strengthened to prevent problems and ensure compliance from the onset and to deal with the legitimate concerns of project affected people at the project and operational levels wherever possible. It is the responsibility of CI's Project Agency to monitor any mitigating measures noted from the implementation of the GEF Environmental and Social Safeguards.

8. **Specific activities in grievance review process include:**

   a) Upon receiving complaints, the Director of Compliance and Risk Management will determine eligibility of requests. Eligibility requirements for complaints will include that the complaint;

   b) Relates to a project or program in which CI is implementing or executing;

   c) Complainant has informed the Executing Entity of complaint and has worked with the Executing Entity towards identifying a solution by following the conflict resolution framework;

   d) Is submitted by or on behalf of a person or people affected by the project or program ; and

   e) Raises potential issues relating to compliance with the GEF's Minimum Standards on Environmental and Social Safeguards and Gender Policy

9. Based on determination, the Director of Compliance and Risk Management will either follow up on complaint or designate a person or panel to conduct as needed a thorough and objective review of grievance. Any designated person or panel will report to the Director of Compliance and Risk Management. This review can include in-country inspections, interviews of project-affected people, and comprehensive information gathering to allow a factual determination of the issues raised and a reliable basis for any recommendations made.
10. The Director of Compliance and Risk Management will issue reports with findings to requesters and all stakeholders involved.
11. Based on reports, the Director of Compliance and Risk Management or designated Person/Panel will assist parties to engage in resolving the problem. This may include: facilitating a consultative dialogue, promoting information sharing, undertaking joint fact-finding, facilitating establishment of a mediation mechanism, and/or using other approaches to problem solving. Remedial actions involving a change in the project require approval from the Project Agency who will then inform the GEF Secretariat.
12. Upon completion of step 4 (with or without agreement), the Director of Compliance and Risk Management or designated person/panel creates a report summarizing the complaint, steps to resolve the issues, the parties' decisions, and the parties' agreement, if any. This report will be made available to all parties involved.
13. The Director of Compliance and Risk Management will monitor implementation of decisions. As part of the monitoring process all parties involved will be consulted and the Director of Compliance and Risk Management will prepare monitoring reports on implementation of remedial actions to be sent to involved parties and submits them to them for information.
14. Conclusion of the process occurs after monitoring of remedial actions is completed. The person/panel prepares a final report and submits report to all parties involved.
15. If the claimant is not satisfied with the response from CI, the grievance may be submitted to the GEF Conflict Resolution Commissioner, Mr. Sekou Toure, tel: +1 (202) 458-4059, fax: (202) 212 9553, e-mail:Stoure1@theGEF.org

Accountability Mechanism for Non-Compliance with CI-GEF Safeguards and Gender Policy by CI/ CI-GEF Project Agency

16. For cases related to non-compliance on the part of the CI-GEF Project Agency in the implementation of environmental and social safeguards, the Director of Compliance and Risk Management does an initial determination of the eligibility of request based on the Exclusion Criteria as described below.
17. Based on determination, the Director of Compliance and Risk Management will either follow up on complaint (reject complaint based on exclusion criteria) or designate a panel to conduct as needed a thorough and objective review of grievance. The panel should consist of 2-5 members with technical expertise in environmental and social safeguards and should have at least one member with knowledge and experience of working in the country where the grievance took place,
18. The panel will review the case looking at eligibility criteria etc. Based on the initial review, the panel will send review to the Director of Compliance and Risk Management.
19. If the case is not eligible for the grievance review process, the panel will notify the Director of Compliance and Risk Management,

20. If the panel determines that the case warrants further review through the grievance process, the Director of Compliance and Risk Management will notify the Project Agency and CI Leadership Group on panel review. The Director of Compliance and Risk Management will also convene a meeting of CI Leadership Group to discuss panel review with the head of the GEF Project Agency. The purpose of this meeting is two-fold: 1) the head of the CI-GEF Project Agency Team will explain the actions of the team in relation to the complaint and 2) can serve as a mitigation measure.
21. CI Leadership Group including the head of the CI-GEF Project Agency Team will draft a management response to the complaint which the Director of Compliance and Risk Management will provide to the panel.
22. The Panel will notify all parties involved and will draft a TOR for a full review and provide to all parties for comments. The Director of Compliance and Risk Management will authorize the TOR for the review.
23. The Panel will conduct the full review based on the approved TOR. The review can include desk reviews, meetings, discussions, and site visits.
24. The Panel will provide a draft report to the complainants and the Director of Compliance and Risk Management for comments. The Director of Compliance and Risk Management will ensure that CI's Leadership Group provides comments to the report.
25. The Panel issues final report based on comments received from complainants and CI Leadership Group (including CI-GEF Project Agency Team).
26. If the report concludes that Project Agency noncompliance caused direct and material harm, CI Leadership Group will propose remedial actions.
27. The Director of Compliance and Risk Management will communicate remedial actions to the Panel who will then communicate these actions along with the final report to the complainants involved.
28. The Director of Compliance and Risk Management will monitor implementation of remedial actions and will prepare annual monitoring reports for submission to CI Leadership Group.
29. Monitoring and final reports will be included in the Complaints Registry (available online) and will be available to all parties involved.
30. Compliance review will not investigate the country or executing entities. The conduct of these parties will be considered only when relevant to the assessment of CI as the Project Agency's compliance with all policies related to the GEF process, including Environmental and Social Safeguards. Compliance review does not provide judicial-type remedies such as injunctions or monetary damages.

Who can submit?

31. Any group of two or more people (such as an organization, association, society, or other grouping of individuals) residing in the country where the GEF funded project is located.

To start the accountability review process

32. Complainants must submit a letter specifying the following:
    a) names, designations, addresses, and contact information of the complainants and their representative(s);

b) if a complaint is made through a representative, identification of the project- affected people on whose behalf the complaint is made and evidence of the authority to represent them;

c) whether the complainants choose to keep their identities confidential;

d) a brief description of the GEF funded project with the project name and location;

e) an explanation of the complainants' claim that the alleged direct and material harm is, or will be, caused by CI-GEF Project Agency Team alleged failure to follow its operational policies and procedures during the formulating, processing, or implementing the GEF funded project;

f) a description of the operational policies and procedures that have not been complied with by CI-GEF Project Agency Team during the formulating, processing, or implementing the GEF funded project;

g) a description of the complainants' good faith efforts to address the problems first with the operations department concerned, and the results of these efforts; and

h) a description of the complainants' efforts to address the problems with the project-level grievance redress mechanisms concerned, and the results of these.

Exclusions

33. Complaints will be excluded from accountability, problem solving and compliance review functions if:

a) It is not related to the Project Agency's actions or omissions during formulating, processing, or implementing GEF funded- projects;

b) Complainants have not made good faith efforts to address the problem with the Executing Entity or Project Agency;

c) Two or more years have passed since the grant closing date of the CI-GEF project;

d) It is frivolous, malicious, trivial, or generated to gain competitive advantage;

e) It is about the procurement of goods and services, including consulting services;

f) It is about fraud or corruption in GEF-funded projects or by CI staff;

g) It is about the adequacy or suitability of CI's existing policies and procedures;

h) It is within the jurisdiction of CI's Accountability and Grievance Mechanisms, or related to CI personnel matters; and/or

i) It is about CI non-operational housekeeping matters, such as finance and administration.

34. The grievance review function also excludes complaints that:

a) Are the responsibility of other parties such as the National Government or executing entity, unless the conduct of these other parties is directly relevant to the assessment of CI-GEF Project Agency Team compliance with its operational policies and procedures;

b) Do not involve CI's noncompliance with its operational policies and procedures;

c) Relate to the laws, policies, and regulations of the country, unless this directly relates to Project Agency compliance with its operational policies and procedures; and/or

d) Are about matters already considered by the Compliance Team unless new evidence is presented and unless the subsequent complaint can be readily consolidated with the earlier complaint.

Remedial actions to mitigate the non-compliance

35. Recognizing that each situation regarding non-compliance will be project specific, the following actions are proposed steps to mitigate the lack of compliance. The Director of Compliance and Risk Management (with direction from the General Counsel) will conduct the following actions:
    a) Work with the CI-GEF Project Agency Team to understand any deviations from CI-GEF Operations Manual and the ESMF;
    b) Propose corrective actions (adaptive management) with a corresponding timeline;
    c) Ensure that compliance issues are included in the CI Financial Management and Control Framework (related to managing institutional risk).
36. **In cases of non-compliance on GEF funded projects**, the head of the CI-GEF Project Agency Team will be accountable to the Chief Operating Officer and the General Counsel at Conservation International. The role of the head of the CI-GEF Project Agency Team is to ensure that all CI-GEF policies and procedures were followed in the implementation of GEF funded projects.
37. **In case of continuous non-compliance actions to be taken by CI**. As outlined in CI's Criteria for Cancellation or Suspension or Termination of Projects, if the Compliance Review process determines that the Project Agency is in continuous non-compliance, the Office of the General Counsel will have the authority to cancel, suspend or terminate the project, and will notify the GEF Secretariat and the GEF Trustee.
38. **Information disclosure**: Printed materials about the accountability and grievance review process will be distributed as widely as possible, specifically at the field program where the project is being implemented and/or executed. The stakeholder consultation process is one of the mechanisms that can be used to resolve conflicts. The CI/GEF Operations Manual details the ESMF that includes the Accountability and Grievance Mechanism as part of the implementation of the safeguards
    a) Basic information about the complaint review procedures;
    b) Instructions for how to file a complaint;
    c) Detailed rules of procedure;
    d) A registry of complaints, including basic information about the complaint and the complaint's status;
    e) Draft and final terms of reference and investigation reports as discussed above; and
    f) Annual reports describing the compliance review activities.

APPENDIX VIII: Indicators for Mainstreaming Gender in CI-GEF Funded Projects

1. The following are suggested indicators for mainstreaming gender in CI-GEF funded projects. Depending on Project design, please see World Bank website on gender indicators http://data.worldbank.org/indicator.

Input indicators: assessing equal opportunities

a) Number of men and women participating in activity and percentage of total of their population;

b) Number of hours of training or number of activities provided to male/female participants;

c) Percent of project inputs contributed to project activities (labor, tools, money, time, in-kind contributions, etc) (male: female);

d) Was a gender expert, women's group, or gender-focused CSO consulted in the project development phase? (Y/N); and

e) Is access to resources through the project (land, technical assistance, etc) equal between men and women? (Y/N).

Output indicators: assessing participation

a) Number/percentage of women/men *attending* activities & trainings & meetings;

b) Number/percentage of women/men *actively participating* in activities & trainings & meetings;

c) Number of men/women benefitting from the project; and

d) Number of men/women demonstrating leadership in project implementation.

Organizational-level indicators

a) Is a gender mainstreaming policy in place within the partner organization? (Y/N);

b) Number/percentage of men/women working in leadership positions within the institution (CI and/or partner organization); and

c) Percent of project budget dedicated to gender analysis and M&E for project.

Summary of Roles and Responsibilities by Project Phase for Gender Mainstreaming

PROJECT CYCLE STAGE	CI-GEF PROJECT AGENCY	EXECUTING ENTITY
Identification, Preparation Development	• Providing guidance on incorporating gender sensitive indicators in project design and implementation • Ensuring that the project level log frame includes explicit gender results (outputs and outcomes) and indicators. • Reviewing ESIA TORs to ensure that gender issues are incorporated • Providing guidance to Executing Entities on measures to avoid, minimize and/or mitigate gender-related adverse impacts	• Undertaking social assessments to analyze the social and gender context in country. If available, the Executing Entity should utilize the World Bank's Strategic Gender Assessment (conducted per country) as a resource to identify gender considerations • During stakeholder consultations, the IFC's Gender Considerations in Consultation should be used as a guidance tool to ensure that gender issues are fully incorporated into project design • Depending on the project, build in gender-sensitive indicators (disaggregated data) • Based on social analysis, prepare a project-specific gender plan, as appropriate, using qualified professionals based on-site, studies, and meetings.
Implementation	• Ensuring reports and monitoring plans report on results relating to gender • Report to the GEF on results and impacts of gender considerations on the project level • (in line with CI Evaluation Policy) Liaising with the Chief Operating Office to ensure that the TORs for project evaluations include whether gender issues have been taken into account during project design and implementation	• Including results on gender-sensitive indicators • Gender indicators and assessments are incorporated in mid-term reviews

APPENDIX IX: Stakeholder Engagement Plan

1. The Project Agency will oversee the Executing Entity involving all stakeholders, including project-affected groups, Indigenous Peoples, and local CSOs, as early as possible in the preparation process and ensure that their views and concerns are made known and taken into account. The CI-GEF Project Agency Team will also ensure that the Executing Entity will continue to hold consultations throughout project implementation as deemed necessary to address ESIA -related issues that affect them. The Executing Entity is responsible for drafting and executing the SEP. The Project Agency will review the plan and oversee execution.
2. Benefits of Stakeholder Engagement include:
    a) Letting interested and affected parties participate in decision-making to give them more control and security;
    b) Sharing information and facilitating understanding;
    c) Building legitimacy and support for decisions;
    d) Fostering constructive working relationships among stakeholders;
    e) Building consensus and generating support for the project;
    f) Reducing conflict;
    g) Tapping into the local, specialist knowledge of stakeholders to inform assessment and design; and
    h) Improving the end decision and aiding sustainability.
3. A SEP should:
    a) describe CI-GEF requirements for consultation and disclosure;
    b) identify and prioritize key stakeholder groups;
    c) provide a strategy and timetable for sharing information and consulting with each of these groups;
    d) describe resources and responsibilities for implementing stakeholder engagement activities;
    e) describe how stakeholder engagement activities will be incorporated into a company's management system; and
    f) The scope and level of detail of the plan should be scaled to fit the needs of the project.

Contents of a SEP

4. A SEP should contain the following sections:
    a) **Introduction**: Briefly describe the project including design elements and potential social and environmental issues. Where possible, include maps of the project site and surrounding area
    b) **Policies and Requirements**: Summarize any requirements by CI or the GEF pertaining to stakeholder engagement applicable to the project. This may involve public consultation and disclosure requirements related to the social and environmental assessment process

c) **Summary of any Previous Stakeholder Engagement Activities**: If the Executing Entity has undertaken any activities to date, including information disclosure and/or consultation, provide the following details:

- Type of information disclosed, in what forms (e.g. oral, brochure, reports, posters, radio, etc.), and how it was disseminated;
- The locations and dates of any meetings undertaken to date;
- Individuals, groups, and/or organizations that have been consulted
- Key issues discussed and key concerns raised;
- Executing Entity response to issues raised, including any commitments or follow-up actions; and
- Process undertaken for documenting these activities and reporting back to stakeholders.

d) **Project Stakeholders**: List the key stakeholder groups who will be informed and consulted about the project. These should include persons or groups who:

- Are directly and/or indirectly affected by the project have "interests" in the project that determine them as stakeholders; and
- Have the potential to influence project outcomes (examples of potential stakeholders are affected communities, local organizations, CSOs, and government authorities. Stakeholders can also include politicians, companies, labor unions, academics, religious groups, national social and environmental public sector agencies, and the media.)

e) **Stakeholder Engagement Plan**: Summarize the purpose and goals of the plan. Briefly describe what information will be disclosed, in what formats, and the types of methods that will be used to communicate this information to each of the stakeholder groups identified in section 4 above. Methods used may vary according to target audience, for example:

- Newspapers, posters, radio, television;
- Information centers and exhibitions or other visual displays; and
- Brochures, leaflets, posters, non-technical summary documents and reports.

f) Description of the methods that will be used to consult with each of the stakeholder groups identified in previous sections. Methods used may vary according to target audience, for example:

- Interviews with stakeholder representatives and key informants;
- Surveys, polls, and questionnaires;
- Public meetings, workshops, and/or focus groups with a specific group;
- Participatory methods; and
- Other traditional mechanisms for consultation and decision-making.

g) Description of any other engagement activities that will be undertaken, including participatory processes, joint decision-making, and/or partnerships undertaken with local communities, CSOs, or other project stakeholders. Examples include benefit-sharing

programs, community development initiatives, resettlement and development programs, and/or training and micro-finance programs.

h) **Timetable**: Provide a schedule outlining dates and locations when various stakeholder engagement activities, including consultation, disclosure, and partnerships will take place and the date by which such activities will be incorporated into the project management system

i) **Resources and Responsibilities**: Indicate what staff and resources will be devoted to managing and implementing the company's Stakeholder Engagement Plan. Who within the Executing Entity will be responsible for carrying out these activities? What budget has been allocated toward these activities?

j) **Grievance Mechanism**: Describe the process by which people affected by the project can bring their grievances to the Executing Entity for consideration and redress. Who will receive public grievances, how and by whom will they be resolved, and how will the response be communicated back to the complainant? See CI-GEF Accountability and Grievance Mechanism

k) **Monitoring and Reporting**: Describe any plans to involve project stakeholders (including affected communities) or third-party monitors in the monitoring of project impacts and mitigation programs. Describe how and when the results of stakeholder engagement activities will be reported back to affected stakeholders as well as broader stakeholder groups?

Appendix X: Terms of Reference for Environmental and Social Management Plan

Background

1. To facilitate the review process, and ensure the project has fully considered all relevant safeguards policies and processes, the Executing Entity will prepare an ESMP which will explain how each of the safeguards has been or is to be addressed. The ESMP is a coherent compilation of the applicable project-level plans prepared by the Executing Entity that describes how negative environmental and social impacts will be managed and mitigated during the preparation, design, implementation and monitoring phases of a CI-GEF funded project. Based on the results of the project screening process and the results of the ESIA, the CI-GEF Project Agency Team will determine what project-level plans will be needed for the ESMP.
2. The ESMP serves as a framework for managing and mitigating the environmental and social risks and impacts associated with implementing a project. Its content will depend on the extent to which issues have been identified. If issues are not yet clearly identified, the ESMP will lay out principles and criteria for project design, while leaving more specific measures to be finalized once the assessments have been conducted. Conversely, if safeguards issues and activities are already identified while the proposal is still being prepared, the ESMP should include summaries of detailed safeguard plans.
3. Proposals with minor and manageable environmental or social impacts or on physical cultural resources must include the following elements in the ESMP:
    a) A description of the possible adverse effects that specific project activities may cause;
    b) A description of any planned measures to avoid or mitigate adverse impacts, and how and when they will be implemented and managed;
    c) A system for monitoring the environmental, social, and physical cultural effects of the project, including key indicators, location and frequency of monitoring activities and a reporting mechanism;
    d) A description of who will be responsible for implementing and monitoring the mitigation measures, including their capacity and experience; and
    e) Cost-benefit estimates of proposed mitigation measures (the costs for environmental and social management will be included in the budget of the project proposal).
4. For the ESMP to ensure compliance with the applicable safeguards, it has to contain specific sections addressing all safeguards. These sections will draw on country- and site-specific information and take the form of free-standing sections or chapters comprised of the plans and frameworks provided for in the applicable safeguards themselves, namely, as relevant and as further described in the body of this section:
    a) ESIA: contents will reflect the project Category (A, B, or C) and describe any potential environmental and social impacts and risks, including cumulative and/or indirect impacts of multiple activities (to be included after the review of the PIF);
    b) ESMP to address Protection of Natural Habitats and Physical Cultural Resources;
    c) Indigenous Peoples: an IPP to address any effects on Indigenous Peoples;
    d) Involuntary resettlement: a RAP or a Process Framework to address any potential land acquisition and/or physical relocation, loss of livelihoods or restriction or loss of access

to natural resources, including those related to legally designated parks and protected areas; and

e) Stakeholder engagement and dispute resolution: a stakeholder engagement and grievance resolution process to ensure ongoing communication with stakeholders, good faith consideration of their concerns and mechanisms to resolve any grievances in accordance with the grievance mechanism. Established best practice guidance, such as that contained in IFC's Stakeholder Engagement: A Good Practice Handbook for Companies Doing Business in Emerging Markets (International Finance Corp., Washington DC, 2010) should be followed. Specifically, the following six aspects of stakeholder consultation must be followed:

- Planning;
- Identifying and analyzing stakeholders;
- Consulting with stakeholders;
- Recording and tracking interactions and feedback;
- Responding to submissions by stakeholders; and
- Reporting back

Components of an ESMP

Project description

5. This component includes a comprehensive description of the project, using the best available information for the project site. The project description must include at a minimum the following information:

   a) Location and geographic extent of the project;

   b) Description of relevant socio-cultural, institutional, historical, legal and political context;

   c) Description of the biophysical context, including details accounts of the species, habitats, ecosystems, and ecosystem services found in the project area;

   d) Description of existing physical cultural resources or sites where they may be present;

   e) Description of the institutional, policy, and conflict management arrangements in place to secure local stakeholders' involvement in the management of natural and cultural resources of the project area; and

   f) Description of the type and extent of project activities, including project length, implementation schedule and sequence, available financial and human resources, expected implementation arrangements, etc.

6. For Community-based forest management projects, the following additional information must be provided:

   a) Description of the type of uses and dependency of local livelihoods on forest resources in the project and adjacent area; and

   b) Description of forest products and ecosystem services relevant to local people living in or near forests in the project area, as well as opportunities for promoting the involvement of women.

Environmental and social impacts and mitigation measures

7. This component of the ESMP identifies feasible and cost-effective measures to avoid, minimize and/or mitigate potentially significant adverse environmental and social impacts, including impacts to critical natural habitats and physical cultural resources, to acceptable levels. Whenever mitigation measures are not feasible, cost-effective, or they are sufficient, the ESMP must include measures to restore, offset and/or compensate environmental and social impacts. More specifically, the ESMP must include:
8. Identification and summary of all anticipated significant positive and negative environmental and social impacts that the project may cause to critical natural habitats and physical cultural resources;
9. Description of the proposed project alternatives, which will be based on the findings of the previous step. For adverse impacts, alternatives are identified to establish the most environmentally and socially sound and benign option(s) for achieving project goals;
10. Detailed technical description of each mitigation measure under each project alternative, including the type of impact(s) that it will address and the conditions under which it is required (e.g., continuously or in the event of contingencies), together with designs, equipment descriptions, and operating procedures, as appropriate;
11. Provisions for managing "chance finds" in the case of physical cultural resources[7];
12. A description of who will be responsible for implementing and monitoring the mitigation measures, including their capacity and experience;
13. Cost-benefit estimates of proposed mitigation measures (the costs for environmental and social management will be included in the budget of the project proposal).
14. Estimation of any potential environmental and social impacts of the proposed measures; and
15. Description of the relationships of the proposed measures with any other mitigation plans (e.g., for involuntary resettlement, pest management, Indigenous Peoples) required for the project.
16. If the project includes forest restoration activities, a comprehensive description of the project's potential to improve biodiversity, ecosystem functions and services -compared to what would be expected for a similar native forest in the area- must be included in the ESMP.

Monitoring plan

17. Monitoring activities during the implementation phase provides crucial information about the environmental and social impacts of the project and the effectiveness of mitigation measures. Accurate and timely information from monitoring activities will enable the implementers to assess the effectiveness of the ESMP, and allow corrective actions to be taken when needed. This component of the ESMP includes the following:
18. Detailed description of monitoring measures, including the audience, objectives, parameters to be measured (indicators), methods for data gathering and analysis, sampling locations,

[7] In accordance with the guidelines provided in Annex III (Chance Find Procedures) of CI's Environmental and Social Management Framework (ESMF)

frequency of measurements, detection limits (where appropriate), and definition of thresholds that will signal the need for corrective actions; and

19. Monitoring plan and reporting procedures to: a) ensure early detection of conditions that require particular mitigation measures; and b) provide information on the progress and results of the mitigation measures.

Capacity development and training

20. The effectiveness of the ESMP greatly relies on the capacity of the institutions and staff involved in the implementation of the project. Therefore, ESMPs must assess the institutional and staff structure and capacity to successfully implement mitigation and monitoring measures, as well as recommend measures to strengthen institutions and build staff capacity, as needed. To strengthen the project sponsor's environmental and social management capability, most ESMPs address issues related, but not limited, to: a) technical assistance programs; b) procurement of equipment and supplies; and c) organizational changes.

Stakeholder engagement

21. The development and implementation of ESMPs are expected to fully adhere to the "Stakeholder Engagement" process and guidelines described in of CI's ESMF.

Expected outputs

22. The main expected outcome is an ESMP that contains all the components described in this TOR.

Schedule and budget

23. For components B, C, and D (impacts and mitigation, monitoring, and capacity development and training), the ESMP must provide:
    a) An implementation schedule for measures that must be carried out as part of the project, showing phasing and coordination with overall project implementation plans; and
    b) A detailed budget, including capital and recurrent cost estimates and sources of funds for implementing the measures identified in the ESMP.
24. CI's Project Agency expects the ESMP to be specific in its description of the individual mitigation, management, monitoring and reporting measures and its assignment of responsibilities, and it must be integrated into the project's overall planning, design, budget, and implementation. Such integration is achieved by establishing the ESMP within the project so that the plan will receive funding and supervision along with the other components.