



**CRITICAL ECOSYSTEM PARTNERSHIP FUND (CEPF)**

**ENVIRONMENTAL AND SOCIAL  
MANAGEMENT FRAMEWORK (ESMF)**

**Version 1.1, 4 May 2022**

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## 1. ACRONYMS & ABBREVIATIONS

<b>AFD</b>	l'Agence Française de Développement
<b>AZE</b>	Alliance for Zero Extinction
<b>CEPF</b>	Critical Ecosystem Partnership Fund
<b>CI</b>	Conservation International
<b>CSO</b>	Civil Society Organization
<b>ESIA</b>	Environmental and Social Impact Assessment
<b>ESMF</b>	Environmental and Social Management Framework
<b>ESMP</b>	Environmental and Social Management Plan
<b>EU</b>	European Union
<b>FPIC</b>	Free, Prior and Informed Consent
<b>GBV</b>	Gender-based Violence
<b>GCF</b>	Green Climate Fund
<b>GEF</b>	Global Environment Facility
<b>GHG</b>	Green House Gas
<b>IAS</b>	Invasive Alien Species
<b>IBA</b>	Important Bird and Biodiversity Area
<b>ILO</b>	International Labour Organization
<b>IPM</b>	Integrated Pest Management
<b>IVM</b>	Integrated Vector Management
<b>KBA</b>	Key Biodiversity Area
<b>LOI</b>	Letter of Inquiry
<b>NGO</b>	Non-Governmental Organization
<b>RIT</b>	Regional Implementation Team
<b>SEAH</b>	Sexual Exploitation, Abuse and Harassment
<b>TOR</b>	Terms of Reference
<b>UNDRIP</b>	United Nations Declaration on the Rights of Indigenous Peoples

## 2. DEFINITIONS

<b>Affected Communities</b>	Communities of the local population within the project's area of influence who are likely to be affected by the project (positively or adversely).
<b>Chance Finds</b>	Tangible cultural heritage that is not identified during project preparation but found opportunistically during implementation, for instance through activities involving surveys, excavation, construction, etc.
<b>Complainant</b>	A project-affected party that brings a complaint about a CEPF-funded project forward, either via a locally available grievance mechanism or the CI Ethics Hotline.
<b>Contracted Workers</b>	People engaged through third parties (sub-grantees, consultants, etc.) to perform work related to core functions of the project for a substantial duration.
<b>Critical Habitats</b>	Natural habitats considered essential for biodiversity conservation and/or the provision of ecosystem services, such as carbon storage, freshwater provision and regulation. Critical habitats include <i>inter alia</i> 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, such as Key Biodiversity Areas (KBAs), Alliance for Zero Extinction (AZE) Sites, Important Bird and Biodiversity Areas (IBAs), Ramsar sites, etc.
<b>Cultural Heritage Plan</b>	A document that identifies a set of mitigation, management, monitoring, and capacity strengthening actions to be implemented by CEPF-funded projects that present significant risks in relation to adverse impacts on cultural heritage.
<b>Direct Workers</b>	People employed or engaged directly by the grantee to work on the project.
<b>Economic Displacement</b>	Loss of employment or income, including loss of access to natural resources, that leads directly or indirectly to the loss of traditional/subsistence livelihoods, including assets, social capital, cultural identity, among other impacts.

**Environmental and Social Impact Assessment (ESIA)**

A process to identify, predict and assess the potential environmental and social impacts of a proposed project prior to major decisions or commitments being made; evaluate alternatives; and inform the design of appropriate mitigation, monitoring and capacity-building measures.

**Environmental and Social Management Plan (ESMP)**

A document that sets out measures to manage environmental and social risks arising from a project, following the mitigation hierarchy of avoid, minimize, mitigate and offset (compensate).

**Free, Prior and Informed Consent (FPIC)**

A right of Indigenous Peoples, recognized in the UN Declaration on the Rights of Indigenous Peoples, that allows them to give or withhold consent to project activities that affect them or their territories. This consent is granted by Indigenous Peoples voluntarily, without coercion, on the basis of a process of engagement that provides them with the full facts and is carried out before activities begin.

**Gender**

The economic, social, political, and cultural attributes and opportunities associated with being women and men. The social definitions of what it means to be a woman or a man vary among cultures and change over time. Gender is a sociocultural expression of particular characteristics and roles that are associated with certain groups of people with reference to their sex and sexuality.

**Gender Analysis**

The process of collecting and interpreting information on the respective roles and responsibilities among men and women in the following domains: practices and participation; access to resources; knowledge and beliefs; and laws, policies and regulatory institutions.

**Gender Aware**

Explicit recognition of local gender differences, norms and relations, and their importance to outcomes in program/policy design, implementation and evaluation. This recognition derives from analysis or assessment of gender differences, norms and relations in order to address gender equity in outcomes.

<b>Gender-based Violence</b>	Any harmful act that is perpetrated against a person's will and that is based on socially ascribed differences between male and female individuals, including acts that inflict physical, mental or sexual harm, or suffering; threats of such acts; and coercion and other deprivations of liberty, whether occurring in public or in private life.
<b>Gender Equality</b>	The state or condition that affords women and men equal enjoyment of human rights, socially valued goods, opportunities, and resources.
<b>Gender Equity</b>	The process of being fair to women and men. To ensure fairness, measures must be taken to compensate for historical and social disadvantages that prevent women and men from operating on a level playing field.
<b>Gender Gap</b>	Any disparity and inequality between women's and men's condition due to their position or role in society. It concerns inequalities in terms of their participation, their access to opportunities, rights, power to influence and make decisions, incomes and benefits, and control and use of resources.
<b>Gender Integration</b>	Strategies applied in program assessment, design, implementation and evaluation to take gender norms into account and compensate for gender-based inequalities.
<b>Gender Mainstreaming</b>	The process of incorporating a gender perspective into policies, strategies, programs, project activities and administrative functions, as well as into the institutional culture of an organization.
<b>Gender Mainstreaming Plan</b>	A document that presents the results of gender analysis or equivalent socio-economic assessment together with the corresponding gender-responsive measures to address differences, identified impacts and risks, and opportunities.
<b>Grantee</b>	A civil society organization that receives financial support from CEPF, either directly via a large grant, or indirectly from a small grant mechanism managed by a Regional Implementation Team.

**Indigenous Peoples**

Members of a distinct social and cultural group possessing the following characteristics to varying degrees:

- (a) Self-identification as members of a distinct indigenous social and cultural group and recognition of this identity by others;
- (b) Collective attachment to geographically distinct habitats, ancestral territories, or areas of seasonal use or occupation, as well as to the natural resources in these areas;
- (c) Customary cultural, economic, social or political systems that are distinct or separate from those of the mainstream society or culture; and
- (d) A distinct language or dialect, often different from the official language(s) of the country or region in which they reside. This includes a language or dialect that has existed but does not exist now due to impacts that have made it difficult for a community or group to maintain it.

In some countries, such groups are referred to as Indigenous Peoples. In other countries, they may be referred to by other terms, such as "sub-Saharan African historically underserved traditional local communities", "Indigenous ethnic minorities", "Afro-descendent communities of South America and the Caribbean", "ethnic groups", "aboriginals", "hill tribes", "vulnerable and marginalized groups", "minority nationalities", "scheduled tribes", "first nations", "tribal groups", "pastoralists", "hunter-gatherers", "nomadic groups" or "forest dwellers". Regardless of which terminology is used, the requirements of Safeguard Policy 7 will apply to all groups that meet the definition.

**Indigenous Peoples Plan**

A document that assesses the potential impacts (adverse and positive) of project activities on Indigenous Peoples and sets out a detailed plan for: meaningful consultation with affected Indigenous Peoples communities on their rights and options; process for obtaining and documenting FPIC; measures to avoid, minimize and mitigate adverse impacts and ensure equitable sharing of benefits; compensation for adverse impacts that cannot be otherwise mitigated; and capacity strengthening for the grantee.

**Intangible Cultural Heritage**

Traditions or living expressions inherited from our ancestors and passed on to our descendants, such as oral traditions, performing arts, social practices, rituals, festive events, knowledge and practices concerning nature and the universe or the knowledge and skills to produce traditional crafts

**Integrated Pest Management (IPM)**

An ecosystem-based strategy that focuses on long-term prevention of pests or their damage through a combination of techniques such as biological control, habitat manipulation, modification of cultural practices, and use of resistant varieties. Pesticides are used only after monitoring indicates they are needed according to established guidelines, and treatments are made with the goal of removing only the target organism. Pest control materials are selected and applied in a manner that minimizes or eliminates risks to human health, beneficial and non-target organisms, and the environment.

**Integrated Vector Management (IVM)**

A rational decision-making process for the optimal use of resources for control of disease vectors, which seeks to improve efficacy, cost-effectiveness, ecological soundness and sustainability. The goal is to prevent the transmission of vector-borne diseases such as malaria, dengue, Japanese encephalitis, leishmaniasis, schistosomiasis and Chagas disease.

**Invasive Alien Species (IAS)**

Plants, animals, pathogens and other organisms that are not native to an ecosystem, and which may cause economic or environmental harm or adversely affect human health. In particular, they have adverse impacts upon biodiversity, including declines or elimination of native species (through competition, predation, or transmission of pathogens) and disruption of local ecosystems and ecosystem functions.

**Labor Management Procedures**

Measures put in place by the grantee to manage risks associated with employment under the project, and to help determine the resources necessary for effective management of these risks.

**Livelihood**

The different ways by which individuals, families, and communities support themselves to make a living, such as wage-based income, agriculture, fishing, foraging, other natural resource-based livelihoods, petty trade and bartering.



<b>Livelihood Restoration and Compensation Plan</b>	A document that assesses the potential impacts of economic displacement arising from restrictions on access to natural resources, and provides guidance on specific issues and due process related to: consultations with affected persons on their rights and options; compensation for loss of employment, income or assets and/or livelihood-restoration strategies; free, prior and informed consent in cases of Indigenous lands and territories; and a grievance mechanism.
<b>Mitigation Hierarchy</b>	An approach to managing environmental and social risks whereby potential adverse impacts to people and/or the environment are first <i>avoided</i> or, where avoidance is not possible, <i>minimized</i> and then <i>mitigated</i> , and, as a last resort, residual adverse impacts are <i>offset</i> (or compensated for).
<b>Modified Habitats</b>	Areas that contain a large proportion of plant and/or animal species of non-native origin. They can also include areas where human activity has substantially modified an area's primary ecological function or composition. Modified habitats may include, for example, agricultural land, forest plantations, urban parks or reclaimed coastal zones.
<b>Natural Habitats</b>	Terrestrial, freshwater or marine areas where: the biological communities are formed largely by native plant and animal species; and human activity has not essentially modified the primary ecological functions.
<b>Pest Management Plan</b>	A comprehensive framework through which pest management measures are defined and implemented. It identifies measures to ensure health and environmental safety, pest identification and pest management, as well as pesticide storage, transportation, use and disposal.
<b>Process Framework</b>	A document that describes: the nature of restrictions on access to natural resources that a project proposes to introduce; the participatory process by which project activities will be designed; measures to avoid, minimize, mitigate and offset adverse cultural and socio-economic impacts; the criteria by which project-affected persons are eligible for compensation, livelihood restoration and/or transitional support; and the means by which any conflicts will be resolved.
<b>Project Worker</b>	A person directly employed or engaged by the grantee or engaged via a third party to work on the project.

<b>Resettlement</b>	Physical displacement of communities, households or individuals, involving relocation or loss of shelter.
<b>Safeguards</b>	Measures put in place and/or implemented to protect people and/or the environment from undesirable impacts.
<b>Sex</b>	The biological differences that distinguish males, females and intersex. Sex differences are concerned with physiology.
<b>Sex-disaggregated Data</b>	Information that is collected and presented separately on men and women.
<b>Significant Loss and/or Degradation</b>	The elimination and/or severe reduction of the integrity of a critical habitat and/or natural habitat caused by a major, long-term change in land or water use, such as may result from land clearing, replacement of natural vegetation 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, habitat degradation can occur as the result of severe pollution or from over-exploitation of species populations, leading to a significant reduction in ecological function.
<b>Social Assessment</b>	A document that describes: the Indigenous Peoples communities who are present in the project area; their rights to and use of land, territory and resources; the nature of potential impacts (adverse and positive) on them; the process to involve affected communities in the design of project activities and obtain and document FPIC; the measures to avoid, minimize, mitigate and compensate for adverse cultural and socio-economic impacts; the approach to monitor compliance, with the participation of Indigenous People; and the grievance redress mechanism.
<b>Stakeholder</b>	A person or group who is directly or indirectly affected by a project, or who may have interests in a project and/or the ability to influence its outcome, either positively or negatively. Stakeholders may include locally affected communities or individuals and their formal and informal representatives, national or local government authorities, politicians, religious leaders, civil society organizations, special interest groups, academic institutions, or businesses.

<b>Stakeholder Engagement</b>	A process where intervening agencies practice a partnership ethos, treating all other parties with equity and inclusivity, such that stakeholders have meaningful and measurable influence in the conceptualization, design, implementation, and evaluation of programmatic activities.
<b>Stakeholder Engagement Plan</b>	A document that details the differentiated measures that the grantee will implement to ensure the effective participation of key project stakeholders, including those identified as disadvantaged or vulnerable stakeholders. The plan will describe stakeholder identification and analysis, and plans for engagement activities, disclosure of information, meaningful consultation and informed participation, monitoring, evaluation and learning throughout the project cycle, addressing grievances, and on-going reporting to stakeholders.
<b>Sustainable Harvesting of Natural Resources</b>	The use of components of natural resources in a way and at a rate that does not lead to the long-term decline of biodiversity and ecosystem services, thereby maintaining the potential to meet the needs and aspirations of present and future generations.
<b>Tangible Cultural Heritage</b>	Movable or immovable objects, sites, structures, and natural features and landscapes that have archaeological, paleontological, historical, architectural, religious, aesthetic, sacred or other cultural significance.
<b>Vulnerable or Disadvantaged Groups</b>	Groups of people 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, women, youth, elders, persons with disabilities, persons in poor physical health, and the very poor.

### 3. INTRODUCTION

1. CEPF is a joint initiative of l'Agence Française de Développement (AFD), Conservation International (CI), the European Union (EU), the Global Environment Facility (GEF), the Government of Japan and the World Bank. CEPF was established in 2000 as a mechanism to empower Civil Society Organizations (CSOs) to conserve critical ecosystems within the biodiversity hotspots. CI hosts the CEPF Secretariat on behalf of the global partnership.
2. In each biodiversity hotspot where it is active, CEPF's investment is guided by an Ecosystem Profile, which sets out geographic and thematic priorities for grant making, developed through an extensive process of stakeholder consultation.
3. CEPF makes two types of grants to CSOs: large grants, which are administered by the CEPF Secretariat; and small grants, which are administered by the Regional Implementation Team (RIT) in each hotspot. As well as administering small grants, each RIT supports the CEPF Secretariat by engaging and strengthening CSOs, providing technical assistance with and monitoring the impact of grants, and communicating results to stakeholders.
4. In a typical year, CEPF makes more than 100 grants to CSOs, mainly in response to proposals received under open calls. The activities supported by these grants have many social and environmental benefits but also present a variety of social and environmental risks.
5. The Environmental and Social Management Framework (ESMF) establishes a process and defines the roles and responsibilities for identifying and managing these risks throughout the project cycle. The ESMF also helps ensure that CEPF grants have more sustainable, efficient, and equitable conservation outcomes, through enhancing project design and delivery while prioritizing the rights of target populations.
6. Recognizing the potential for adverse impacts, and mindful of its overriding responsibility to do no harm to people or the environment, CEPF has managed environmental and social risks arising from its grant making since inception. From inception in 2000, CEPF applied the environmental and social safeguard policies of the World Bank. In 2008, CEPF developed an ESMF, which adapted the World Bank's policies to the context of the Fund's operations. In 2015, CEPF adopted two additional policies, on gender and stakeholder engagement, based on existing CI policies.
7. In 2022, CEPF updated its ESMF to align with the minimum environmental and social safeguard requirements of the Green Climate Fund (GCF)<sup>1</sup> and the GEF<sup>2</sup>. The updated ESMF is based upon the ESMF

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<sup>1</sup> <https://www.greenclimate.fund/document/environmental-and-social-policy>

<sup>2</sup> [https://www.thegef.org/gef/policies\\_guidelines/safeguards](https://www.thegef.org/gef/policies_guidelines/safeguards)

developed by the CI-GEF/GCF Project Agency, with adaptations to make it relevant to the context of CEPF grant making.

8. The updated ESMF applies to CEPF grant making in all biodiversity hotspots apart from the Caribbean Islands, where CEPF grant making is financed through a World Bank project. CEPF has adopted a dedicated ESMF for the Caribbean Islands, which complies with the World Bank's Environmental and Social Framework.
9. CEPF recognizes that gender equality and equity are a critical component of its overall strategy to ensure empowered civil society, equitable participation and decision-making by stakeholders at all scales, and the sustainability of conservation impacts. To this end, the ESMF takes into account the different roles of men and women, and incorporates gender equality and equity into all aspects of the management of environmental and social risks.
10. The ESMF sets out the process for identifying and managing environmental and social risks, establishes institutional roles and responsibilities, and presents 10 safeguard policies, together with templates for associated environmental and social plans.
11. The 10 safeguard policies are as follows: 1. Environmental and Social Assessment; 2. Labor and Working Conditions; 3. Resource Efficiency and Pollution Prevention; 4. Community Health, Safety and Security; 5. Restrictions on Land Use and Involuntary Resettlement; 6. Biodiversity Conservation and the Sustainable Management of Living Natural Resources; 7. Indigenous Peoples; 8. Cultural Heritage; 9. Gender Mainstreaming; and 10. Stakeholder Engagement.
12. Policies 1, 9 and 10 apply to all CEPF-funded projects. The applicability of Policies 2 to 8 is established through the environmental and social process. If it is determined that a project triggers a particular policy, the requirements of that policy must be complied with by the grantee organization.

#### **4. PURPOSE**

13. The purpose of the ESMF is to ensure that adverse environmental and social risks and impacts arising from CEPF-funded projects are *avoided* or, where unavoidable, *minimized* and/or *mitigated* to the extent possible, with any residual impacts being appropriately compensated for (*offset*). Through the implementation of Safeguard Policy 9 on Gender Mainstreaming, CEPF will require an approach that enhances gender equality and equity throughout the implementation of the ESMF.
14. A key principle of the ESMF is to follow the mitigation hierarchy: to first *avoid*, then *minimize*, then *mitigate* and finally, when all other options have been exhausted, *offset* any harm to the environment and/or people by incorporating environmental and social concerns throughout the project cycle. Any identified adverse environmental and social impacts and risks will be addressed and tracked throughout all stages of the

project cycle, to ensure that supported activities comply with the safeguard policies laid out in the ESMF.

15. Another key principle of the ESMF is the Precautionary Principle: when a project activity risks harm to people or the environment, precautionary measures should be taken, even if the causal relationship between the activity and the risk is not conclusively established.
16. The objectives of the ESMF are to: (i) strengthen the quality of CEPF grant making by ensuring a principled approach; (ii) avoid adverse impacts on people and the environment; (iii) minimize, mitigate, and compensate for adverse impacts where avoidance is not possible; (iv) strengthen CEPF Secretariat, RIT and grantee capacities for managing social and environmental risks; and (v) ensure full and effective stakeholder engagement, including a mechanism to redress grievances of project-affected persons.

## **5. SCOPE OF APPLICATION**

17. CEPF requires adherence to the ESMF, and the safeguard policies contained therein, for all projects that it funds. The requirements of the safeguard policies will apply to all activities of these projects, regardless of whether a particular activity is financed by CEPF or co-funding.
18. Where CEPF is jointly financing a project with another donor or donors whose own environmental and social safeguard requirements differ from those of CEPF, the grantee will be required to comply with whichever requirements are more stringent. Similarly, if a grantee has its own institutional policies related to management of environmental and social risks, the grantee will be required to comply with whichever requirements are more stringent. Moreover, regarding applicable local laws, the grantee will be required to comply with whichever requirements are more stringent.
19. For CEPF projects that involve the award of one or more sub-grants, the principal grantee will be responsible for ensuring that the requirements of the CEPF safeguard policies are flown down in the sub-grant agreement(s) and complied with by the sub-grantee(s).

## **6. INSTITUTIONAL ARRANGEMENTS**

### **Environmental and Social Safeguard Responsibilities**

20. The CEPF Donor Council is responsible for approving the adoption of substantive revisions to the ESMF.
21. The CEPF Working Group is responsible for providing technical guidance to the CEPF Secretariat on the development, implementation and revision of the ESMF.
22. The CEPF Secretariat has overall responsibility for ensuring that environmental and social risks and impacts associated with CEPF-funded

projects are identified and appropriately managed throughout the project cycle, in compliance with the ESMF and the safeguard policies therein.

23. The CEPF Secretariat is responsible for directly supervising compliance with the ESMF by recipients of large grants ("large grantees"), and for overseeing the RITs' supervision of compliance with the ESMF by recipients of small grants ("small grantees"). It is also responsible for strengthening the capacity of the RITs and of its own staff in managing environmental and social risks.
24. The CEPF Secretariat is responsible for ensuring that all CEPF-funded projects mainstream gender throughout the project cycle, in line with Safeguard Policy 9 on Gender Mainstreaming. This includes ensuring the equitable participation of women and men in development and implementation of measures to manage environmental and social risks, and ensuring that indicators used to monitoring socio-economic benefits are disaggregated by sex.
25. Within each biodiversity hotspot where the Fund is active, the CEPF Secretariat will be supported by an RIT, which will help engage and strengthen CSOs through provision of training, technical support and small grants. The RIT is responsible for supervising compliance with the ESMF by small grantees, and for strengthening the capacity of large and small grantees in managing environmental and social risks.
26. The activities of CEPF-funded projects are implemented by CSOs, including local and international non-governmental organizations (NGOs), community-based organizations, academic institutions and private businesses. CEPF grantees are responsible for designing and implementing projects in accordance with the requirements set out in the ESMF. This includes monitoring, evaluating and reporting on compliance with safeguard policies triggered by the project.
27. The roles and responsibilities of the different parties involved in the environmental and social process are set out in Table 1. Due to the different management and supervision arrangements for large and small grants, these are described separately.

**Table 1. Roles and Responsibilities of Parties Involved in the Environmental and Social Process**

<b>ROLE</b>	<b>RESPONSIBLE PARTY (LARGE GRANTS)</b>	<b>RESPONSIBLE PARTY (SMALL GRANTS)</b>
Preparation and revision of ESMF	CEPF Secretariat	CEPF Secretariat
Provision of technical guidance on preparation, implementation and revision of ESMF	CEPF Working Group	CEPF Working Group
Approval of adoption of and revisions to ESMF	CEPF Donor Council	CEPF Donor Council
Preparation of environmental and social plan templates, guidance and worked examples	CEPF Secretariat	CEPF Secretariat
Preparation and submission of Letter of Inquiry (LOI)	Grantee	Grantee
Screening of LOI for eligibility	CEPF Secretariat	RIT
Risk assessment of LOI	CEPF Secretariat (with assistance from RIT)	RIT
Provision of guidance and (if required) capacity building for grantee on compliance with ESMF requirements	CEPF Secretariat (with assistance from RIT)	RIT
Compliance with requirements of any safeguard policies triggered by the project	Grantee	Grantee
Preparation of any environmental and social plans required	Grantee	Grantee
Public disclosure of environmental and social plans via the CEPF website	CEPF Secretariat	CEPF Secretariat
Public disclosure of relevant project information to project-affected persons and other stakeholders	Grantee	Grantee
Incorporation of components into project design on strengthening institutional capacity to manage identified environmental and social risks (if required)	CEPF Secretariat	RIT
Review and approval of project proposal and any environmental and social plans required	CEPF Secretariat	RIT
Semi-annual reporting on compliance with safeguard policies triggered by the project	Grantee	Grantee
Monitoring and evaluation of grantee compliance with safeguard policies	CEPF Secretariat (with assistance from RIT)	RIT (with supervision from CEPF Secretariat)

## **7. DISCLOSURE OF INFORMATION**

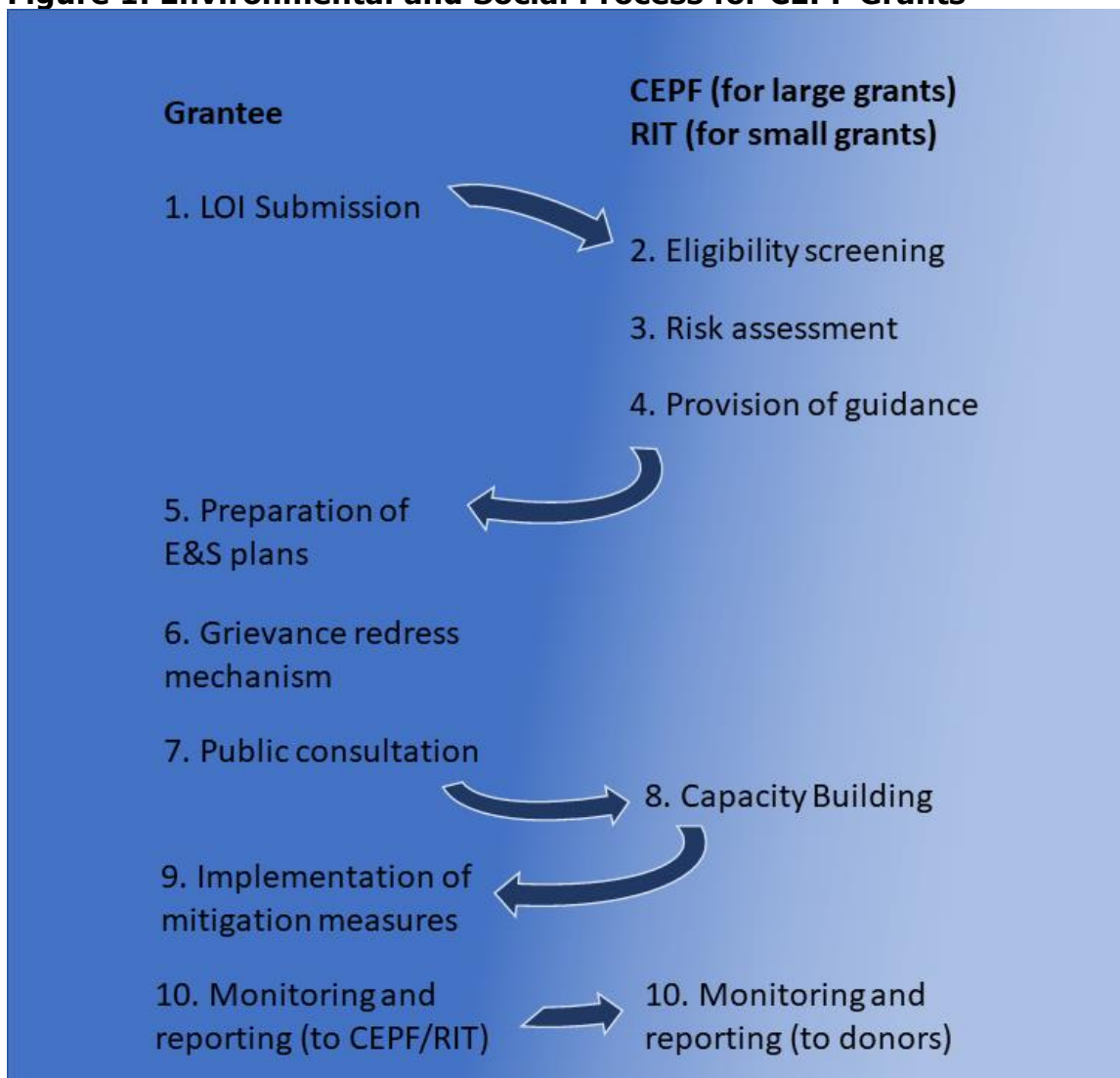
28. Disclosure of relevant project information helps project-affected persons and other stakeholders understand the risks, impacts and opportunities of the project. The grantee will provide project-affected persons and other stakeholders with access to relevant information on: (i) the purpose, nature, and scale of the project; (ii) the duration of proposed project activities; (iii) any risks to and potential impacts on people and



relevant mitigation measures; (iv) the envisaged stakeholder engagement process; and (v) the grievance mechanism.

29. Depending on the scale of the project and the significance of the risks and impacts, relevant project information could include the environmental and social plans in their entirety, or easy-to-understand summaries, making use of local languages and appropriate formats. Where relevant, project relevant information can be disclosed verbally, provided that the process is documented appropriately.
30. The CEPF Secretariat will disclose the ESMF plus any environmental and social plans prepared by grantees via the CEPF website.
31. Disclosure is not limited to project design and start-up phases but also includes ongoing reporting of project results to project-affected persons and other relevant stakeholders.

**Figure 1. Environmental and Social Process for CEPF Grants**



## **8. ENVIRONMENTAL AND SOCIAL PROCESS**

32. The process whereby environmental and social risks in relation to individual CEPF grants are identified, assessed and managed is set out in Figure 1.

### **Step 1: LOI submission**

33. Through an open call for proposals, CSOs will be invited to apply for grants by submitting project concepts in the form of Letters of Inquiry (LOIs). Each LOI will include a description of the project approach, project location and dates of implementation, as well as responses to the following safeguard questions. If the grantee answers yes to any of these questions, they will be required to provide a narrative description:

- Will the proposed project support any physical construction or building of trails?
- Will the proposed project support any forestry activities?
- Will the proposed project support activities in an area used or inhabited by Indigenous Peoples?
- Will the proposed project involve activities that are likely to have adverse impacts on the local community?
- Will the proposed project result in the strengthened management of a protected area?
- Will the proposed project result in reduced or restricted access to the resources in a protected area?
- Will the proposed project result in the physical resettlement of communities, households or individuals?
- Will the proposed project involve use of herbicides, pesticides, insecticides or any other poison?
- Will the proposed project include any activities that might impact the health or safety of project staff or other people associated with the project?
- Will the proposed project involve the removal or alteration of any tangible cultural heritage (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)?

### **Step 2: Eligibility screening**

34. Before proceeding to technical review, all LOIs will be screened for eligibility by the CEPF Secretariat and the RIT. During the screening step, LOIs will be reviewed against a set of eligibility criteria, which apply to the grantee organization, the location of the project and the types of activities being proposed. Based on the results of the screening, applications will either be rejected or proceed to the risk assessment step.

35. The eligibility screening will include application of a “negative list”. Applications proposing activities on the negative list will be either rejected or allowed to proceed on the condition that the project is redesigned to remove those activities.

**Negative list: activities ineligible for CEPF funding**

- Use of child labor or forced labor.
- Construction or rehabilitation of large or complex dams.
- Payment of salaries or salary supplements to government personnel.
- Purchase of firearms or other weapons.
- Activities that promote the trade in or use of any substances listed under the Stockholm Convention on Persistent Organic Pollutants, or other chemicals or hazardous materials subject to international bans, restrictions or phaseouts due to high toxicity to living organisms, environmental persistence, potential for bioaccumulation, or potential depletion of the ozone layer.
- Purchase and use of pesticides that fall in the World Health Organization classes IA and IB, or in class II if they are likely to be used by, or be accessible to, lay personnel, farmers or others without training, equipment and facilities to handle, store and apply these products properly.
- Physical resettlement of people (voluntary or involuntary).
- Purchase of land.
- Activities that have the potential to cause adverse impacts to critical habitat.

**Step 3: Risk assessment**

36. All grant applications that pass the screening step will undergo a risk assessment. This will take place during the LOI technical review, to allow sufficient time for measures to be agreed upon and incorporated into project design.
37. The CEPF Secretariat (in the case of large grants) or the RIT (in the case of small grants) will determine which safeguard policies apply to the project. Safeguard Policies 1 (Environmental and Social Assessment), 9 (Gender Equality) and 10 (Stakeholder Engagement) apply to all projects; the other safeguard policies apply to some projects but not all.
38. The CEPF Secretariat (or the RIT) will then assign a risk category to each applicable safeguard policy, based on information provided in the LOI, supplemented if needed by communication with the applicant to clarify any points. A worksheet for this purpose is provided in Annex 1.
39. There are three risk categories:
- **Category A.** The project has the potential for significant adverse environmental and/or social impacts that are diverse, irreversible or unprecedented;

- **Category B.** The project has the potential for adverse environmental and social impacts that are few, generally site-specific, largely reversible and readily addressed through mitigation measures;
  - **Category C.** The project is likely to have minimal or no adverse environmental and social impacts.
40. Individual risk categories will not be assigned to Safeguard Policies 1 (Environmental and Social Assessment) or 10 (Stakeholder Engagement), because they relate to processes rather than specific types of risk.
  41. The CEPF Secretariat (or the RIT) will then assign an overall risk category to the project, equivalent to the highest category for individual safeguard policies. For example, a project with three Category C policies and one Category B policy will be assigned to Category B.
  42. The results of the risk assessment are not binding and can be revisited at any point during project preparation and implementation, if new information comes to light or unanticipated risks and impacts emerge. This could lead to a determination that one or more safeguard policies no longer apply, or that one or more additional policies do apply.
  43. Applicants whose projects are assigned to Category C will not be required to prepare any stand-alone environmental and social plans. To comply with the minimum requirements of Safeguard Policy 1 on Environmental and Social Assessment, these applicants will be required to complete the safeguard questions in the LOI, and respond to any questions of clarification from the CEPF Secretariat and/or RIT. To comply with the minimum requirements of Safeguard Policy 2 on Labor and Working Conditions, they will be required to complete the labor management section of the financial questionnaire. Finally, to comply with the minimum requirements of Safeguard Policy 10 on Stakeholder Engagement, they will be required to complete the stakeholder engagement section of the project proposal and elaborate a grievance redress mechanism for the project.
  44. Applicants whose projects are assigned to Category B will be required to prepare plans for the applicable environmental and social safeguard policies, as shown in Table 2. These projects will be subjected to enhanced monitoring and evaluation by the CEPF Secretariat (in the case of large grants) or RIT (in the case of small grants).
  45. Applicants whose projects are assigned to Category A will also be required to prepare plans for the applicable safeguard policies, as shown in Table 2. The first plans that must be completed will be a full Environmental and Social Impact Assessment (ESIA) and an accompanying Environmental and Social Management Plan (ESMP). For Category A projects, the ESIA and ESMP must be prepared by an independent consultant, contracted by the applicant. Based on the findings of the ESIA, the risk assessment for the project may be updated, and other environmental and social plans may be prepared by the

applicant, as shown in Table 2. Category A projects will be subjected to the highest intensity of monitoring and evaluation by the CEPF Secretariat and the RIT.

**Table 2. Documentation Requirements by Risk Category**

Safeguard Policy	Risk Category		
	Category A	Category B	Category C
1. Environmental and Social Assessment	Full Environmental and Social Impact Assessment / Environmental and Social Management Plan	Fit-for-purpose Environmental and Social Impact Assessment / Environmental and Social Management Plan	Safeguard questions in LOI
2. Labor and Working Conditions	Labor Management Procedures	Labor Management Procedures	Labor management section of financial questionnaire
3. Resource Efficiency and Pollution Prevention	Pest Management Plan <i>and/or</i> Environmental and Social Management Plan	Pest Management Plan <i>and/or</i> Environmental and Social Management Plan	None
4. Community Health, Safety and Security	Community Health and Safety Plan	Community Health and Safety Plan	None
5. Restrictions on Land Use and Involuntary Resettlement	Livelihood Restoration and Compensation Plan	Process Framework	None
6. Biodiversity Conservation and Sustainable Management of Living Natural Resources	Environmental and Social Management Plan	Environmental and Social Management Plan	None
7. Indigenous People	Indigenous Peoples Plan	Social Assessment	None
8. Cultural Heritage	Cultural Heritage Plan	Cultural Heritage Plan	None
9. Gender Mainstreaming	Gender Mainstreaming Plan	Gender Mainstreaming Plan	None
10. Stakeholder Engagement	Stakeholder Engagement Plan	Stakeholder Engagement Plan	Stakeholder Engagement and Grievance Mechanism sections of proposal

#### **Step 4: Provision of guidance**

46. The CEPF Secretariat (or the RIT) will provide the grantee with information on the relevant safeguard policies, including the policies themselves, guidance materials, templates for the relevant environmental and social plans, and worked examples. These materials will be made available on the CEPF website, in English and other languages commonly used by CEPF grantees.

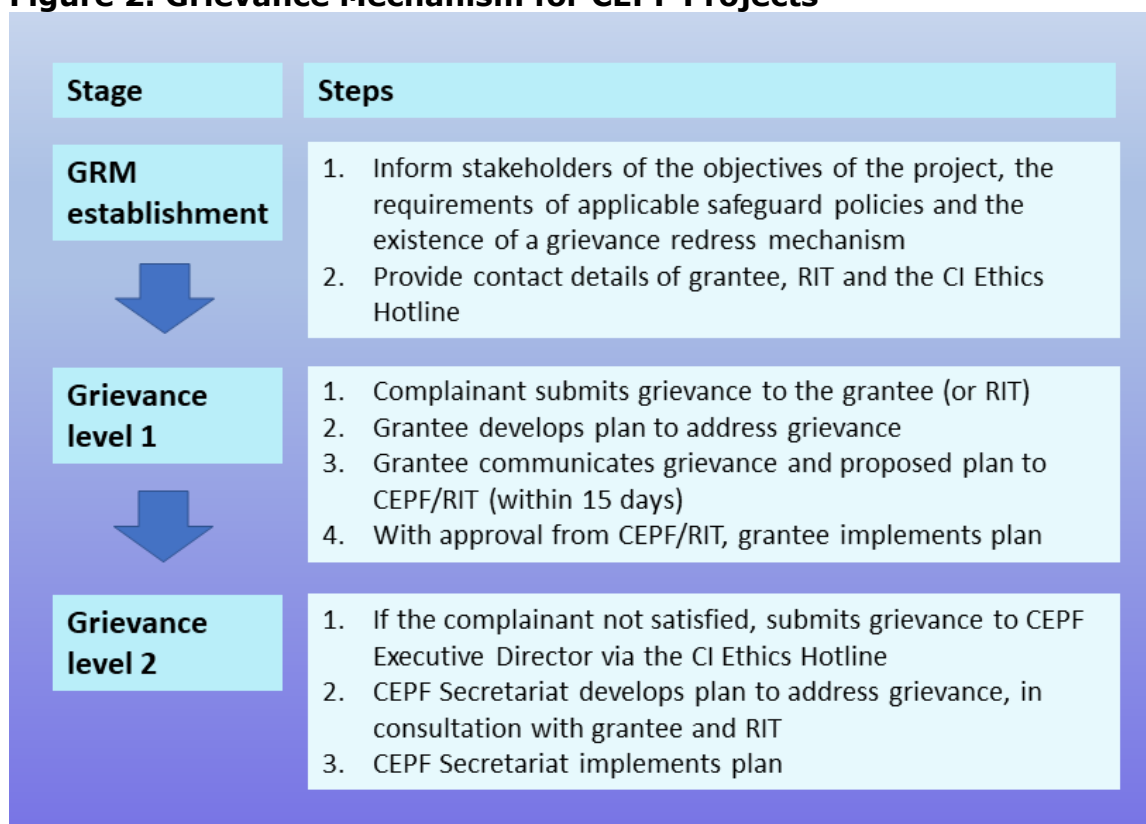
#### **Step 5: Preparation of environmental and social plans**

47. Following the guidance provided by the CEPF Secretariat (or the RIT), the applicant will prepare the required environmental and social plans, as shown in Table 2. Templates for these plans are provided in Annexes 2 to 12.
48. For Category A and B projects, environmental and social plans must be prepared as stand-alone documents. However, provided that the requirements of the relevant safeguard policies are met, several plans can be combined into a single document. For example, a Process Framework could be combined with a Stakeholder Engagement Plan.
49. For Category C projects, stand-alone documents are not required, provided that the information required by the relevant safeguard policies is provided in the LOI, proposal and financial questionnaire.
50. The draft environmental and social plans will be reviewed by the CEPF Secretariat (or the RIT), and the final, approved versions will be publicly disclosed on the CEPF website.

#### **Step 6: Grievance redress mechanism**

51. Each grantee will be responsible for establishing a grievance redress mechanism that meets the minimum requirements of Safeguard Policy 10 on Stakeholder Engagement. Guidance on the basic elements of a grievance mechanism is provided in Figure 2.
52. Each grievance mechanism will provide a mechanism whereby project-affected persons may raise a grievance, at any time, and whereby this grievance may be considered and satisfactorily resolved. Where possible, each grievance mechanism will utilize existing formal or informal mechanisms, supplemented as needed with project-specific arrangements designed to resolve disputes in an impartial manner.
53. The grantee will be responsible for informing stakeholders of the objectives of the project, the relevant provisions of the relevant safeguard policies, and the existence of a grievance mechanism. Contact information of the grantee, the RIT and the CEPF Secretariat will be made publicly available using locally appropriate means, such as posters, community meetings, radio broadcasts, newspaper articles, etc.

**Figure 2. Grievance Mechanism for CEPF Projects**



54. In the first instance, grievances should be submitted to the grantee. However, in case that the claimant is not comfortable in raising a matter directly with the grantee, they should have the option of raising it with the RIT. Upon receiving a grievance, the grantee (or RIT) should confirm receipt with the claimant.
55. All reported grievances will be treated confidentially, and there will be no retribution to the claimant by the grantee, the CEPF Secretariat or the RIT. Retribution to a claimant by the grantee will be grounds for suspension or termination of the grant.
56. Any grievances received by the grantee will be reported to the CEPF Secretariat (or the RIT, in the case of small grants) within 15 days, together with a proposed plan to address the grievance. With approval from CEPF (or the RIT), the grantee will then implement the plan, reporting back to CEPF (or the RIT) on progress. The RIT will report to the CEPF Secretariat any grievances it receives in relation to small grants and the actions taken to resolve them.
57. If complainants are not satisfied with the way in which their grievance has been handled by the grantee, they will be given the opportunity to raise it with the CEPF Executive Director via the CI Ethics Hotline.
58. For any grievance received via the CI Ethics Hotline, the CEPF Secretariat will develop a plan to address it, in consultation with the grantee and the

RIT. The CEPF Secretariat will then implement the plan. The CEPF Secretariat will aim to resolve all grievances within 60 days of receipt.

59. The CEPF Secretariat will maintain a log of grievances, which it will include in its routine reporting to the Donor Council; serious incidents (project-related fatalities, serious accidents, significant pollution, community unrest caused by a project, allegations of gender-based violence, etc.) will be reported within 15 days.

### **Step 7: Stakeholder engagement and public consultation**

60. Consultations with key stakeholders, beneficiaries and project-affected persons will be systematically carried out during preparation and implementation of each CEPF-funded project, in line with the requirements of Safeguard Policy 10 on Stakeholder Engagement. Meaningful consultations will be undertaken in a manner that provides project-affected persons and other stakeholders with opportunities to express their views on environmental and social risks and impacts of the project, and mitigation measures, and that allows the grantee to consider and respond to them.
61. All grantees will be required to develop a plan for engagement with project-affected persons and other stakeholders. For Category C projects, the plan will be outlined in the proposal. For Category A and B projects, a Stakeholder Engagement Plan will be prepared, following the template in Annex 12 and worked examples and other guidance made available on the CEPF website. The plan will ensure that all vulnerable and disadvantaged groups are identified and consulted to reduce the risk of elite capture of project benefits. This plan must include a grievance redress mechanism for the project. The plan must also detail how the grantee will monitor and evaluate the effectiveness of the stakeholder engagement activities. Where other environmental and social plans are required for a project, the Stakeholder Engagement Plan may be incorporated into those plans, to reduce workload for the grantee, provided that the requirements of Safeguard Policy 10 are met.
62. Consultations may take the form of one-on-one interviews, small-group consultations, public meetings or workshops. They may be in-person or virtual. Whatever forms of consultation are used, attention will be given to using local languages, and ensuring that voices of both men and women are heard. In some contexts, this may require holding separate consultations for men and women.

### **Step 8: Capacity building**

63. Grantees are required to have sufficient institutional capacity to manage environmental and social risks. If the CEPF Secretariat (or the RIT) concludes that a grantee has inadequate capacity, it may require capacity strengthening activities to be included as part of the project design. Such a determination would usually be made during the review and due diligence process, prior to grant award, but it may also be made



during project implementation, should a need be identified. Capacity building in safeguard compliance may be carried out by the CEPF Secretariat, the RIT or third-party service providers.

### Step 9: Implementation of mitigation measures

64. During implementation, the grantee will be responsible for compliance with the applicable safeguard policies, including implementation of all agreed measures in the final project proposal (which will form part of the grant agreement). These measures will be budgeted for and incorporated into the design of the project, as activities with related deliverables.
65. Table 3 identifies possible measures to reduce potential adverse environmental and social risks and impacts to acceptable levels. These measures will be taken in accordance with the mitigation hierarchy, under which adverse impacts are first avoided, then reduced, then mitigated and finally, if any residual impacts remain, offset (or compensated for). These measures will be elucidated in greater detail in project design, including, where required, in environmental and social plans. In this regard, Table 3 can be considered an indicative (but not exhaustive) list of the types of measures that could be taken by grantees.

**Table 3. Potential Risks and Impacts of CEPF-funded Projects and Mitigation Measures**

Risk/Impact	Mitigation Measure			
	Avoidance	Minimization	Mitigation	Offset
<b><i>Environmental Risks and Impacts</i></b>				
Pollution of natural ecosystems from pesticides	Use alternatives to pesticides, such as physical removal / trapping; avoid most hazardous chemicals	Use pesticides as a component of Integrated Pest Management or Integrated Vector Management	Implement protocols on safe storage and handling of pesticides; deliver staff training; raise awareness among local communities	N/A
Harm to non-target species during eradication or control of invasive alien species (IAS)	Avoid pesticides with a broad range of target species / indiscriminate application	Minimize volume / area of treatment; combine with non-lethal trapping where possible	Establish captive populations of endemic and threatened non-target species during treatment	Implement conservation actions for non-target species at other locations

<b>Risk/Impact</b>	<b>Mitigation Measure</b>			
	<b>Avoidance</b>	<b>Minimization</b>	<b>Mitigation</b>	<b>Offset</b>
Conversion of habitats due to expansion of commercial agriculture or forestry plantations	Include provisions in certification schemes that prohibit conversion of critical habitat	Include provisions in certification schemes that minimize conversion of natural habitat	Incentivize conservation and/or restoration of critical and natural habitats	Restore areas of degraded natural habitat
Introduction of IAS	Avoid import of biological material (seeds, seedlings, saplings, etc.) from overseas	Implement biosecurity protocols on import and use of biological material	Monitor for IAS establishment; implement rapid response to eradicate	N/A
Overharvesting of living natural resources	Prohibit harvesting of certain species (species protected under national law, species with low reproductive rates, etc.)	Regulate seasons, areas, catch effort and/or gear; introduce quotas per household, community or cooperative	Improve habitat quality / area for harvested species	Implement conservation actions for harvested species at other locations
<b><i>Social Risks and Impacts</i></b>				
Hazards to project workers	Avoid scheduling project activities during severe weather seasons, especially ones involving boat travel or visits to remote sites	Use well maintained vehicles; limit boat travel to essential journeys only; avoid travel at night	Provide workers with personal protective equipment; provide field teams with safety, first aid and communication equipment	Provide workers compensation insurance for all direct workers
Hazards to local people	Avoid scheduling travel or in-person gatherings during severe weather seasons	Minimize number of local people participating in project activities (surveys, patrolling, etc.)	Provide training in health and safety to local people; provide personal protective equipment	N/A

<b>Risk/Impact</b>	<b>Mitigation Measure</b>			
	<b>Avoidance</b>	<b>Minimization</b>	<b>Mitigation</b>	<b>Offset</b>
Physical, psychological or sexual abuse of project workers	Conduct background checks for new project workers, in compliance with applicable local law	Provide workers with workplace environment training	Establish and promote grievance redress mechanisms	N/A
Unfair treatment or discrimination of project workers	Provide project workers with copies of employer's human resources policies	Provide managers with training in fair treatment/non-discrimination	Establish and promote grievance redress mechanisms	N/A
Health impacts from unsafe storage or use of pesticides	Use alternatives to pesticides, such as physical removal/trapping; avoid most hazardous chemicals	Use pesticides as a component of integrated pest management	Implement protocols on safe storage and handling of pesticides; raise awareness among local communities	N/A
Security personnel engaging in unlawful or abusive acts against local people	Prohibit use of project funds to purchase weapons or support salaries of government security personnel; make reasonable inquiries to verify that individuals hired are not implicated in past abuses	Provide training for security personnel in the appropriate use of force, and appropriate conduct towards communities; implement codes of conduct	Establish and promote grievance mechanisms for local communities; maintain a list of gender-based violence (GBV) providers and ensure that their services are available to survivors of GBV perpetrated by security personnel	N/A

Risk/Impact	Mitigation Measure			
	Avoidance	Minimization	Mitigation	Offset
Transmission of COVID-19 or other communicable diseases	To the extent possible, organize virtual meetings and monitor remotely; comply with applicable guidance when scheduling travel or in-person gatherings	Minimize number of visits / visitors to remote, rural communities; minimize number and size of in-person gatherings	Provide project workers and local people with personal protective equipment, hand sanitizer and disinfectant	N/A
Involuntary resettlement of people, due to physical and/or economic displacement	Prohibit use of project funds for purchase of land or resettlement of people	N/A	N/A	N/A
Restrictions on access to natural resources within a protected area or communally managed property	Use alternative area-based conservation measures, such as voluntary commitments	Minimize area/ activities covered by restrictions; exempt community members in highly vulnerable groups	Develop and introduce restrictions in a participatory manner; establish and promote grievance redress mechanisms	Provide affected persons with cash/ in-kind compensation or alternative livelihoods
Commercial development of or restrictions on access to natural resources central to Indigenous Peoples' identity and/or livelihood	Exclude areas/ natural resources used by Indigenous People from commercial developments and/or restrictions on access	Minimize area/ resources covered by restrictions; exempt Indigenous People from restrictions	Implement effective consultation processes that seek Indigenous Peoples' free, prior and informed consent (FPIC) for project activities affecting them; establish and promote grievance redress mechanisms	Provide affected Indigenous People with culturally appropriate benefits that are agreed upon with them through an appropriate process

Risk/Impact	Mitigation Measure			
	Avoidance	Minimization	Mitigation	Offset
Disturbance or damage to cultural heritage	Locate parking lots, campsites, trails and other visitor infrastructure away from areas with tangible or intangible cultural heritage	Minimize visitor numbers/ access to sites with tangible or intangible cultural heritage	Include Chance Find Procedures in all contracts relating to construction or civil works	N/A
Risk of elite capture of project benefits and/or social exclusion	Develop and implement robust Stakeholder Engagement Plans that ensure that stakeholders and vulnerable groups are adequately identified and consulted on project activities	N/A	N/A	N/A

### Step 10: Monitoring and reporting

66. During project preparation, each grantee will be required to define the steps it will take to monitor the implementation of the agreed mitigation measures. This will be described in the proposal and/or the relevant environmental and social plan(s) and budgeted for. For example, monitoring may involve socio-economic surveys with a sample of households in each affected community, at the start, mid-point and end of the project, in order to measure impacts (planned and unanticipated) on human wellbeing.
67. During project implementation, the grantee will implement the agreed monitoring steps and report on them to the CEPF Secretariat (or the RIT). For Category B and C projects, the grantee will be asked to report in a dedicated section of its performance report. For Category A projects, the grantee will be requested to submit stand-alone safeguard monitoring reports on a semi-annual basis, following the template in Annex 13.
68. Whichever way grantees report, their reports should contain a description of the measures they have taken to comply with the applicable safeguard

policies over the previous six months, including a summary of stakeholder engagement activities and a log of grievances received.

69. At project close, the grantee will be required to summarize the implementation of any measures required to comply with safeguard policies in its final completion and impact report. Release of the final payment under the grant will be conditional upon the receipt of a satisfactory report.
70. The CEPF Secretariat will have ultimate responsibility for monitoring compliance with the safeguard policies. The CEPF Secretariat will take the lead on monitoring large grants, with assistance from the RIT as needed. The RIT will lead on monitoring of small grants, with supervision from the CEPF Secretariat.
71. Provided that travel restrictions allow, the CEPF Secretariat and the RIT will carry out site visits to all Category A projects and a sample of other projects. The CEPF Secretariat and the RIT will jointly develop a site visit plan each year, identifying which projects will be visited, when and by whom. Site visits will involve interviews with grantee staff and review of records on compliance with safeguard policies, as well as consultations with selected stakeholders, giving priority to project-affected persons. These consultations may take the form of structured or semi-structured interviews, focus group discussions, public meetings or workshops, and will adopt appropriate protocols to prevent transmission of communicable diseases. Attention will be given to create a safe space, in which stakeholders can raise concerns without fear of reprisal. Particular attention will be given to ensuring that voices of women and vulnerable groups can be heard.
72. The CEPF Secretariat will maintain a log of grievances. Personal identifiable information (names, email addresses, identification numbers, etc.) related to complainants will be stored in hard copy in a secure location, for confidentiality and to comply with data protection legislation. Pseudonyms (e.g., Person A, Person B) will be used in all records stored online.
73. The CEPF Secretariat will report on compliance with the safeguard policies as part of its periodic reporting to the Donor Council. It will keep detailed records of compliance by grantees, as well as in relation to activities implemented by the CEPF Secretariat. These records will be available for review by the CEPF's donors. The CEPF Secretariat will also disclose, via the CEPF website, information related to every grant awarded, including all environmental and social plans, summary information from the application, and the final completion and impact report. No personal identifiable information about any grantee or stakeholder will be publicly disclosed.

## 9. SAFEGUARD POLICY 1: ENVIRONMENTAL AND SOCIAL ASSESSMENT

### **Purpose**

74. To ensure that all CEPF-funded projects are environmentally and socially sound and sustainable and avoid/mitigate unintentional adverse impacts.

### **Definitions**

75. *Environmental and Social Impact Assessment (ESIA)* is a process to identify, predict and assess the potential environmental and social impacts of a proposed project prior to the making of major decisions or commitments; evaluate alternatives; and design appropriate mitigation, monitoring and capacity building measures.
76. *Environmental and Social Management Plan (ESMP)* is a document that sets out measures to manage environmental and social risks arising from a project, following the mitigation hierarchy of avoid, minimize, mitigate and offset (compensate).
77. The *Mitigation Hierarchy* is an approach to managing environmental and social risks whereby potential adverse impacts to people and/or the environment are first avoided or, where avoidance is not possible, minimized and then mitigated, and, as a last resort, residual adverse impacts are offset (or compensated for).

### **Requirements**

78. To comply with this policy, the CEPF Secretariat (or the RIT, in the case of small grants) will implement an eligibility screening and risk assessment process for all CEPF-funded projects. The purpose of the eligibility screening is to reject applications that include activities on the negative list or redesign projects to remove such activities. The purpose of the risk assessment is to categorize projects according to their potential environmental and social impacts.
79. This systematic screening and assessment of projects will extend to short- and long-term risks posed by climate change and other natural hazards (e.g., hurricanes, fires), based on established methodologies.
80. The eligibility screening and risk assessment will be carried out early in the technical review of the LOI. This allows mitigation, monitoring and capacity building measures to be incorporated into the detailed project design. Project activities are assessed for potential social and environmental risks prior to the application of mitigation measures. It is necessary to form a clear picture of potential inherent risks in the event that mitigation measures are not implemented or fail. This means that risks should be identified and quantified as if no mitigation measures were to be put in place.
81. The risk assessment may result in a project being designated as:
- **Category A**, if the proposed project has the potential for significant adverse environmental and/or social impacts that are diverse,

irreversible or unprecedented. A full ESIA and an ESMP are required, which should be prepared by an independent consultant, contracted by the applicant. These documents must be prepared and approved prior to the start of the project;

- **Category B**, if the proposed project has the potential for adverse environmental and social impacts that are few, generally site-specific, largely reversible and readily addressed through mitigation measures. A fit-for-purpose ESIA and an ESMP are required, which may be more limited in focus, depending on the type, degree and extent of the impacts, and may be prepared by the applicant; or
  - **Category C**, if the proposed project is likely to have minimal or no adverse environmental and social impacts. No ESIA is required for a Category C project.
82. If the risk assessment finds that an ESIA is necessary, it should be prepared (by the applicant or an independent consultant) following the template in Annex 2, and worked examples and additional guidance provided on the CEPF website. The ESIA can be prepared in any language, provided that the contents are accessible to project-affected persons and other stakeholders.
  83. The ESIA will be designed to identify impacts and mitigation measures that will be incorporated into project design. The results of the ESIA, including actions to avoid, minimize, mitigate and/or offset environmental and social impacts, monitor compliance with the relevant safeguard policies, and strengthen institutional capacity to implement these measures, will be included in the project's ESMP, which will follow the template in Annex 2.
  84. For all Category A and relevant Category B projects, the CEPF Secretariat (or the RIT) will ensure that the grantee will establish, maintain, and strengthen as necessary an organizational structure that defines roles, responsibilities, authority, workplan, and budget to implement the ESMP.
  85. For all Category A projects, independent expertise will be used in the assessment of environmental and social risks and impacts, including specialized knowledge where needed. Independent consultants will be hired by grantees with Category A projects to prepare ESIA's and ESMPs. Independent advisory panels may be used to oversee the design and implementation of Category A projects where the magnitude of risks and potential impacts is deemed especially high. In general, however, CEPF will avoid supporting such projects, except in cases of over-riding programmatic need.
  86. Third-party (e.g., independent expert, local community, other) monitoring and/or independent audits will be used, where appropriate, to monitor compliance with agreed measures in the ESMP for Category A projects. The costs of third-party monitoring will be built into the CEPF grant.



87. When assessing social risks, special consideration will be given to vulnerable and disadvantaged groups and individuals (persons with disabilities, unemployed youth, members of landless households, etc.), who may be more likely to be adversely affected by the project impacts and/or more limited than others in their ability to take advantage of project benefits. Such individuals and groups may also be more likely to be excluded from mainstream consultation processes and, as such, may require specific measures and/or assistance to participate.
88. The special needs and circumstances of disadvantaged and vulnerable groups and individuals will be addressed in the ESMP, in such a way that:
  - a) Risks and impacts do not fall disproportionately on disadvantaged or vulnerable individuals or groups;
  - b) Disadvantaged or vulnerable individuals or groups do not face discrimination or prejudice in accessing benefits and resources; and
  - c) Persons with disabilities are able to participate in and benefit from projects and programs on an equal basis with others.
89. Any sub-grants awarded under the main project must also meet the requirements of this policy and the ESMF as a whole.
90. The grantee is required to inform the CEPF Secretariat (or the RIT) of any instance where the project undergoes a significant change during implementation. The CEPF Secretariat (or the RIT) will then determine whether any action is required in respect of this safeguard policy. Such action may include *inter alia* reassignment of the project to a different category, revision of the ESIA/ESMP and/or additional capacity building for the grantee.
91. All ESIA's and ESMPs must be reviewed and approved by the CEPF Secretariat (or the RIT) prior to the signature of the grant agreement.
92. Approved ESIA's and ESMPs will be disclosed publicly via the CEPF website. Relevant content from these documents and the project proposal will also be disclosed by the grantee to project-affected persons and other stakeholders, to provide them with timely, relevant and understandable information about the project, and allow them to participate in meaningful consultations throughout the project cycle.

## **10. SAFEGUARD POLICY 2: LABOR AND WORKING CONDITIONS**

### **Purpose**

93. To protect workers by ensuring that risks or potential adverse impacts to workers are avoided or mitigated, and the fundamental rights of workers are respected, consistent with the International Labour Organization's (ILO's) Declaration on the Fundamental Principles and Rights at Work. This policy seeks to promote the fulfilment of these rights.

### **Definitions**

94. *Direct Workers* are people employed or engaged directly by the grantee to work on the project.

95. *Contracted Workers* are people engaged through third parties (sub-grantees, consultants, etc.) to perform work related to core functions of the project for a substantial duration.
96. *Labor Management Procedures* document the measures put in place by the grantee to manage risks associated with employment under the project and help to determine the resources necessary for effective management of these risks.
97. *Project Workers* are direct workers and contracted workers.

### **Requirements**

98. The following requirements are to be applied in a proportional manner based on the capacity of the grantee, the nature of the project, its specific activities, the project's associated social and environmental risks and impacts, and the type of contractual relationships with workers engaged in relation to the project.
99. This policy applies to both direct workers and contracted workers.
100. Where the risk assessment process identifies risks or potential adverse impacts to workers, further assessments will be undertaken, and measures will be developed, implemented and monitored to manage them in a way that is consistent with this policy and respects and protects the fundamental rights of workers, consistent with the ILO's Declaration on the Fundamental Principles and Rights at Work, including:
  - a) Freedom of association and the effective recognition of the right to collective bargaining;
  - b) The elimination of discrimination, in respect of employment and occupation;
  - c) The prevention of child labor; and
  - d) The elimination of all forms of forced or compulsory labor.
101. When assessing risks, special consideration will also be given to identifying potential adverse gender-related impacts, including Gender-Based Violence (GBV), and Sexual Exploitation, Abuse and Harassment (SEAH). Discrimination against women or girls, or gender-based discrimination will be prevented, and risk management measures will be differentiated by gender where appropriate.
102. Grantees will not directly or indirectly condone, encourage or tolerate participation, or engagement in any conduct substantially equivalent to SEAH (as defined in [CI's Policy on Prevention of Sexual Exploitation, Sexual Abuse, and Sexual Harassment](#)) in carrying out project-related activities.
103. If risks of GBV and SEAH are identified, whether during the initial risk assessment or during implementation, the project will establish:
  - a) Reporting and response protocols with specific procedures for GBV, including confidential reporting with safe and ethical documentation of GBV cases, which indicate when and where to report incidents and what follow-up actions will be undertaken; and

- b) Modalities for providing services and redress to survivors.
104. For proposed projects assessed as having significant risks in relation to labor and working conditions (Category A or B), Labor Management Procedures will be established in accordance with applicable national laws and the requirements of this policy, and following the template in Annex 3. These Labor Management Procedures shall be appropriate to the size of the organization and the nature of project activities. For Category A projects, detailed Labor Management Procedures will be prepared, whereas simplified Labor Management Procedures are required for Category B projects.
  105. To the extent that provisions of national law are relevant to project activities and satisfy the requirements of this safeguard policy, the Labor Management Procedures will not be required to duplicate such provisions.
  106. For proposed projects assessed as having negligible or no risks in relation to labor and working conditions (Category C), the applicant will be required to complete the labor management section of the financial questionnaire, which requests information about the organization's labor management policies. If significant gaps are identified, the applicant will be asked to fill them, during either project preparation or implementation. Support and guidance will be provided to the grantee, in accordance with their capacity and the nature of the project.
  107. Workers will be provided with clear and understandable documentation of employment terms and conditions, including their rights under national law related to hours of work, wages, overtime, compensation and benefits, and those arising from this policy.
  108. Workers will be provided with regular and timely payment of wages; adequate periods of rest, holiday, sick, maternity, paternity, and family leave; and written notice of termination and severance payments, as required under national laws or other appropriate procedures and the project's Labor Management Procedures.
  109. Forced labor and child labor will not be used in connection with any CEPF-funded project<sup>3</sup>. Child labor includes both: (i) labor below the minimum age of employment; and (ii) any other work that may be hazardous, may interfere with the child's education, or may be harmful to the child's health or to the child's physical, mental, spiritual, moral, or social development.
  110. Decisions relating to any aspect of the employment relationship, including recruitment, hiring and treatment of workers, will be made based on the principles of non-discrimination, equal opportunity and fair treatment, and not on the basis of personal characteristics unrelated to inherent job requirements.

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<sup>3</sup> In compliance with ILO conventions 29 and 105, and the protocol to conventions 29 (forced labor), 87 (freedom of association), 98 (right to collective bargaining), 100 and 111 (discrimination), 138 (minimum age) and 182 (worst forms of child labor).

111. Appropriate measures will be put in place to prevent harassment, intimidation and exploitation, and to protect vulnerable workers, including *inter alia* women, children of working age, migrants and persons with disabilities.
112. Workers who participate, or seek to participate, in workers' organizations and collective bargaining, will be allowed to do so without interference, will not be discriminated or retaliated against, and will be provided with information needed for meaningful negotiation in a timely manner.
113. Occupational Health and Safety (OHS) measures will be applied to establish and maintain a safe and healthy working environment. Such measures will be designed and implemented to address:
  - a) Identification of potential hazards to workers, particularly those that may be life threatening;
  - b) Provision of preventive and protective measures, including modification, substitution, or elimination of hazardous conditions or substances;
  - c) Training of workers and maintenance of training records;
  - d) Documentation and reporting of occupational accidents, diseases and incidents;
  - e) Emergency prevention and preparedness and response arrangements to emergency situations; and
  - f) Remedies for adverse impacts such as occupational injuries, deaths, disability and disease.
114. Workers will have access to a workplace grievance mechanism. The grantee will inform workers, at the time of their employment, of the existence of the mechanism and of measures to protect them against any reprisal for its use. The grantee may utilize existing mechanisms, provided they are properly designed, sufficiently responsive and readily accessible to project workers. Alternatively, existing mechanisms may be supplemented with project-specific arrangements.
115. Workers will be able to report grievances without retribution, and the workplace grievance mechanism will not impede access to other judicial or administrative remedies available under the law or through existing arbitration procedures, or substitute for grievance systems provided through collective agreements.
116. All direct and contracted workers will also be provided with Conservation International's (CI's) Code of Ethics, and be informed that any violations of the Code of Ethics should be reported to via the CI Ethics Hotline at <https://secure.ethicspoint.com/domain/media/en/gui/10680/index.html>
117. Grantees will contractually require that all third parties who receive CEPF funds and who engage contracted workers in association with the project are legitimate and reliable entities who have in place appropriate policies, processes and systems that allow them to operate in accordance with the

requirements of this policy, and that all contracted workers have access to a workplace grievance mechanism.

## **11. SAFEGUARD POLICY 3: RESOURCE EFFICIENCY AND POLLUTION PREVENTION**

### **Purpose**

118. To avoid or minimize adverse impacts on human health and the environment by avoiding or minimizing pollution from project activities, including by:
- a) Promoting more sustainable use of resources, including energy and water;
  - b) Reducing project-related emissions of Green House Gases (GHGs);
  - c) Avoiding or minimizing generation of hazardous waste; and
  - d) Minimizing and managing the risks and impacts associated with pesticide use.

### **Definitions**

119. *Integrated Pest Management* (IPM) is an ecosystem-based strategy that focuses on long-term prevention of pests or damage caused by them through a combination of techniques, such as biological control, habitat manipulation, modification of cultural practices and use of resistant varieties. Pesticides are used only after monitoring indicates they are needed according to established guidelines, and treatments are made with the goal of removing only the target organism. Pest control materials are selected and applied in a manner that minimizes or eliminates risks to human health, beneficial and non-target organisms, and the environment.
120. *Integrated Vector Management* (IVM) is a rational decision-making process for the optimal use of resources for controlling vectors that transmit diseases, such as malaria, dengue, Japanese encephalitis, leishmaniasis, schistosomiasis and Chagas disease. The approach seeks to improve the efficacy, cost-effectiveness, ecological soundness and sustainability of disease-vector control.
121. *Invasive Alien Species* (IAS) are plants, animals, pathogens and other organisms that are non-native to an ecosystem, and that may cause economic or environmental harm or adversely affect human health. In particular, they have adverse impacts on biodiversity through competition, predation, or transmission of pathogens, and disruption of local ecosystems and ecosystem functions.
122. A *Pest Management Plan* is a comprehensive framework through which pest management is defined and accomplished. It identifies measures to ensure health and environmental safety, pest identification, and pest management, as well as pesticide storage, transportation, use and disposal.

## **Requirements**

123. This policy outlines a project-level approach to managing any risks and adverse impacts that may be related to resource use and pollution.
124. For proposed projects assessed as having significant risks in relation to use of pesticides (Category A or B), the applicant will prepare a Pest Management Plan in accordance with the requirements of this policy and following the template in Annex 4.
125. For proposed projects assessed as having significant risks in relation to resource efficiency and/or forms of pollution other than pesticides (Category A or B), these will be addressed in the project's ESMP, in accordance with applicable national laws and the requirements of this policy; a separate plan will not be required.
126. For proposed projects assessed as having negligible or no risks in relation to resource efficiency or pollution (Category C), the applicant will not be required to prepare any additional documents.
127. CEPF-funded projects must not include any activities that promote the trade in or use of any substances listed under the Stockholm Convention on Persistent Organic Pollutants, or other chemicals or hazardous materials subject to international bans, restrictions or phaseouts due to high toxicity to living organisms, environmental persistence, potential for bioaccumulation, or potential depletion of the ozone layer, consistent with relevant international treaties and agreements.
128. Grantees will avoid the generation of hazardous and non-hazardous waste, where feasible, or minimize waste generation, and reuse, recycle and recover waste in a safe manner, with environmentally sound waste treatment and disposal.
129. Hazardous waste must be treated in accordance with national laws, applicable international treaties and agreements, and/or good international industry practice, whichever is most stringent. To the extent possible, grantees will avoid the use and release of hazardous materials, and minimize and control such use and release across production, transportation, handling and storage.
130. Grantees will avoid or minimize the potential for community exposure to hazardous materials and substances that may be released by project activities. Where there is potential for the public to be exposed to hazards, grantees will exercise special care to avoid or minimize their exposure by modifying, substituting, or eliminating the condition or material causing the potential hazard(s).
131. Grantees will avoid or minimize project-related emissions of GHGs and black carbon (soot).
132. CEPF-funded projects shall avoid and, if not possible, minimize and control the intensity, concentration and mass flow of pollutants from routine, non-routine and accidental releases. Grantees shall establish preventive measures wherever possible and ensure that application of

- pollution prevention and control technologies are consistent with good international practice throughout the project cycle.
133. CEPF-funded projects will promote efficient use of energy, water and other resources and material inputs. If project activities involve high demand for water resources, the grantee must apply measures to reduce water use and ensure that such usage does not have significant adverse impacts on communities, other users, or on the environment and ecosystems.
  134. For projects that involve pest management measures, IPM or IVM will be applied, where feasible.
  135. Where pesticides are procured or used, the grantee will ensure that:
    - a) The products used do not contain active ingredients that are banned or restricted under applicable international treaties and agreements, or meet the criteria of carcinogenicity, mutagenicity, or reproductive toxicity as set forth by relevant international agencies;
    - b) Adequate restrictions, skills, equipment and facilities are in place to ensure their safe use, taking into account the pesticide's potential risks; and
    - c) Project activities avoid, where feasible, or otherwise minimize the use of pesticides that damage non-target species or the natural environment, or contribute towards the development of resistance in pests and vectors.

## **12. SAFEGUARD POLICY 4: COMMUNITY HEALTH, SAFETY AND SECURITY**

### **Purpose**

136. To ensure that risks or potential impacts to the health, safety and security of project-affected communities are identified, and that appropriate measures to manage these risks are designed, implemented and monitored.

### **Definitions**

137. A *Community Health and Safety Plan* contains a more detailed analysis of risks to community health and safety than that undertaken during the eligibility screening and risk assessment steps; it then sets out appropriate measures to avoid and, where avoidance is not possible, minimize and mitigate the identified risks.
138. A *Full Ethical Review Form* contains a detailed analysis of potential risks to data subjects in human subject research; it then sets out appropriate measures to address these risks, obtain the informed consent of participants, resolve conflicts of interest, and protect personal identifiable information and other sensitive or protected information.
139. *Human Subject Research* refers to any form of disciplined inquiry that aims to contribute to a body of knowledge or theory that involves the obtention of (i) data on living individuals through intervention or

interaction with the individual or (ii) personal identifiable information. At CEPF, conservation and/or development field demonstration projects are generally not considered to be research, nor are standard, participatory methods used to monitor the impacts of these projects on human wellbeing (e.g., focus group discussions).

### **Requirements**

140. Grantees will design, implement and monitor appropriate measures to prevent or avoid any adverse impacts on the health, safety and security of project-affected communities or, where avoidance or prevention are not feasible, minimize or mitigate these impacts, giving special consideration to:
  - a) The specific needs and exposure of disadvantaged or vulnerable groups or individuals;
  - b) The particular risks that may be present in a conflict or post-conflict context;
  - c) The impacts of the project on provisioning and regulating ecosystem services, as they are directly relevant to community health and safety;
  - d) Current or projected effects of climate change and other natural hazards;
  - e) Community exposure to hazardous materials and substances;
  - f) The potential risks posed to individuals by human subject research activities; and
  - g) The potential risks posed to communities by a project's use of rangers, eco-guards, or similar security personnel, whether armed or unarmed.
141. For proposed projects assessed as having significant risks in relation to community health and safety, the applicant will prepare a Community Health and Safety Plan in accordance with applicable national laws and the requirements of this policy, and following the template in Annex 5. This plan shall be appropriate to the size of the organization and the nature of the proposed activities. For Category A projects, a detailed plan will be prepared, whereas a simplified plan will be prepared for Category B projects.
142. For proposed projects assessed as having negligible or no risks in relation to community health and safety (Category C), the applicant will not be required to prepare any additional documents.
143. CEPF-funded projects will not propose or implement initiatives that involve the construction or rehabilitation of large or complex dams.
144. For proposed projects that are likely to generate emergency situations affecting community health, safety and/or security, emergency preparedness plans will be developed, implemented and monitored in collaboration with stakeholders and relevant authorities.
145. Projects will avoid, where feasible, or minimize the risk of community exposure to disease and other relevant health risks, taking into account



differentiated levels of exposure, and the needs and exposure of disadvantaged or vulnerable groups or individuals.

146. Projects that involve the design and implementation of human subject research studies will ensure integrity and quality and adhere to CEPF's [Data Guidelines for Social Science](#). Researchers and participants will be adequately informed of the purposes, methods and future uses of the results prior to the implementation of the study. Researchers and participants will be adequately informed about the scope of the study, as well as its potential risks and benefits, and how data obtained in such research will be used and protected against unauthorized use or disclosure. Researchers will respect and protect the confidentiality of information provided by participants, and processing of any personal identifiable information will adhere to applicable privacy laws. Participation in the study will be fully free and voluntary, and consent will be obtained by the researchers before implementation begins. Researchers will avoid causing harm to the participants, and any conflicts of interest or partiality will be explicitly disclosed.
147. Where a CEPF-funded project involves human subject research activities, the grantee will submit a research ethics policy or other appropriate research protocols for prior approval by the CEPF Secretariat (or RIT). In the event that the project does not have an adequate research ethics policy or research protocols in place, the grantee will prepare a Full Ethical Review Form (Annex 14), with supporting documents (consent form, data management plans, etc.), and submit for approval by the CEPF Secretariat prior to conducting the human subject research activities.
148. Where a CEPF-funded project involves funding the salaries and/or operations of rangers, eco-guards or similar security personnel<sup>4</sup>, the grantee will ensure that such security arrangements are proportional and consistent with applicable national laws and good international industry practice and do not violate international human rights standards or principles<sup>5</sup>.
149. The risks posed to the potentially affected community by such security arrangements will be assessed to ensure that those providing security are appropriately vetted, trained and supervised. Allegations of unlawful or abusive acts will be monitored and reviewed, and actions will be taken to prevent recurrence against individuals and communities.
150. CEPF-funded projects will not involve purchase of firearms or other weapons, nor will they involve payment of salaries or salary supplements to government security personnel.

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<sup>4</sup> This provision applies regardless of whether the security personnel are employed or contracted by the grantee, a government agency or a third party.

<sup>5</sup> International human rights standards and principles include the UN Basic Principles on the Use of Force and Firearms by Law Enforcement Officials, the UN Code of Conduct for Law Enforcement Officials, the Voluntary Principles on Security and Human Rights, and the International Code of Conduct on Private Security Providers.

### **13. SAFEGUARD POLICY 5: RESTRICTIONS ON LAND USE AND INVOLUNTARY RESETTLEMENT**

#### **Purpose**

151. To ensure that risks to project-affected communities arising from restrictions on land-use and involuntary resettlement are identified, and that appropriate measures to manage these risks are designed, implemented and monitored.

#### **Definitions**

152. *Resettlement* is physical displacement of communities, households or individuals, involving relocation or loss of shelter.
153. *Economic Displacement* is loss of employment or income, including loss of access to natural resources, that leads directly or indirectly to the loss of traditional/subsistence livelihoods, including assets, social capital or cultural identity, among other impacts.
154. A *Livelihood Restoration and Compensation Plan* is a document that assesses the potential impacts of economic displacement arising from restrictions on access to natural resources, and that provides guidance on specific issues and due process related to: consultations with affected persons on their rights and options; compensation for loss of employment, income or assets and/or livelihood-restoration strategies; and free, prior and informed consent in cases of Indigenous lands and territories.
155. A *Process Framework* is a document that describes: the nature of restrictions on access to natural resources that a project proposes to introduce; the participatory process by which project components will be prepared; measures to avoid, minimize, mitigate and offset adverse cultural and socio-economic impacts; the criteria by which project-affected persons are eligible for compensation, livelihood restoration and/or transitional support; and the means by which any conflicts will be resolved.

#### **Requirements**

156. CEPF-funded projects must not involve the physical resettlement of people (whether voluntary or involuntary) or the purchase of land.
157. For proposed projects that involve access restrictions associated with adverse impacts on livelihoods that are of sufficient magnitude to warrant them being designated as Category A, the applicant will prepare a Livelihood Restoration and Compensation Plan in accordance with applicable national laws and the requirements of this policy and following the template in Annex 6.
158. For proposed projects that involve access restrictions associated with adverse impacts on livelihoods that are of sufficient magnitude to warrant them being designated as Category B, the applicant will prepare

- a Process Framework in accordance with the requirements of this policy and following the template in Annex 7.
159. For proposed projects that involve no or negligible access restrictions associated with adverse impacts on livelihoods (Category C), the applicant will not be required to prepare any additional documents.
160. The level of detail in the Livelihood Restoration and Compensation Plan or Process Framework will be proportionate to the complexity of the proposed project and commensurate with the nature and scale of its potential impacts on people. This will be determined by the CEPF Secretariat (or the RIT), based on a subjective assessment of project activities, circumstances of project-affected communities, social risks and project impacts.
161. Livelihood Restoration and Compensation Plans and Process Frameworks should take into account the different roles, responsibilities, natural resource needs and uses, and livelihoods of men and women. Arrangements to assist project-affected persons should be gender sensitive.
162. A CEPF-funded project may include activities that result in economic displacement only after all viable alternatives have been assessed and provided that the consent of affected communities has been sought, obtained and documented. In accordance with the mitigation hierarchy, restrictions on access will be avoided where possible, and then minimized or mitigated; offsets (compensation payments, alternative livelihoods, etc.) should only be used in the case of residual impacts that cannot be reasonably avoided, minimized or mitigated.
163. If a project results in economic displacement due to restrictions on access to natural resources (e.g., as a result of the creation of a new protected area or enactment of a new zoning scheme), affected persons with title or a claim recognizable under national law<sup>6</sup> shall be provided with the following support, based on meaningful consultations and with particular attention to any affected disadvantaged or vulnerable groups or individuals:
- a) Prompt and adequate compensation for the loss of assets or access to assets, such as sites of productive activity, with replacement assets of equal or greater value, or cash compensation at replacement cost; and/or
  - b) Assistance to improve, or at least restore, their livelihoods and living standards, in real terms, to pre-displacement levels or to levels prevailing prior to the start of project implementation, whichever is higher; and
  - c) Transitional support, as necessary, to address a temporary reduction in livelihoods or living standards following economic displacement.

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<sup>6</sup> This policy extends to the inclusion of customary rights and is not limited strictly to areas where there are formal legal rights over access and use of resources. This is based on the understanding that, in some countries and territories, customary or traditional rights are fully recognized and respected, even when they are not recognized by specific pieces of legislation, land title, resource use permits, etc.

164. Affected persons whose livelihoods are derived from illegal activities under applicable laws (poaching, logging, dynamite fishing, etc.) will not be eligible for the above support.
165. Compensation, assistance and benefits to affected persons will be provided in a timely manner, ideally before restrictions on access to natural resources are introduced.
166. Good-faith efforts will be undertaken to secure negotiated settlements.
167. The grantee will disclose all cases where it intends to implement activities on land that was acquired prior to the project, or where access restrictions were undertaken or initiated in anticipation of, or in preparation for, the project.
168. Particular care will be taken where the grantee intends to use or restrict access to natural resources that are central to the identity, culture, and livelihood of project-affected communities of Indigenous Peoples and their usage thereof may exacerbate livelihood risk. All such projects will also trigger Safeguard Policy 7 on Indigenous Peoples.
169. As outlined in Safeguard Policy 10 on Stakeholder Engagement, the grantee will ensure that a grievance mechanism is established for the project, which will be put in place to address specific concerns about compensation or livelihood restoration that may be raised by project-affected individuals and communities.

#### **14. SAFEGUARD POLICY 6: BIODIVERSITY CONSERVATION AND SUSTAINABLE MANAGEMENT OF LIVING NATURAL RESOURCES**

##### **Purpose**

170. To avoid or mitigate any significant loss or degradation, and to maintain and promote the sustainable management, protection, conservation, maintenance, and rehabilitation of natural habitats and their associated biodiversity and ecosystem functions and services.

##### **Definitions**

171. *Natural Habitats* are land, freshwater or marine areas or airways where:  
(i) the biological communities are formed largely by native plant and animal species; and (ii) human activity has not essentially modified the area's primary ecological functions.
172. *Critical Habitats* are natural habitats that are considered essential for biodiversity conservation and/or the provision of ecosystem services, such as carbon storage, freshwater provision and regulation. Critical habitats include *inter alia* existing protected areas, areas officially proposed as protected areas and areas recognized as protected by traditional local communities, as well as areas identified as important for conservation, such as Key Biodiversity Areas (KBAs), Alliance for Zero Extinction (AZE) Sites, Important Bird and Biodiversity Areas (IBAs), Ramsar sites, etc.

173. *Significant Loss and/or Degradation* is the elimination and/or severe reduction of the integrity of a critical habitat and/or natural habitat caused by a major, long-term change in land or water use, such as may result from land clearing, replacement of natural vegetation 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, habitat degradation can occur as the result of severe pollution or from over-exploitation of species populations, leading to a significant reduction in ecological function.
174. *Modified Habitats* are areas that contain a large proportion of plant and/or animal species of non-native origin. Modified habitats can also include areas where human activity has substantially modified an area's primary ecological function or composition. Modified habitats may include, for example, agricultural land, forest plantations, urban parks or reclaimed coastal zones.
175. *Sustainable Harvesting of Natural Resources* is the use of components of natural resources in a way and at a rate that does not lead to the long-term decline of biodiversity and ecosystem services, thereby maintaining the potential to meet the needs and aspirations of present and future generations.

### **Requirements**

176. CEPF-funded projects must not cause adverse impacts on critical habitats, including forests that are critical habitats, including from the procurement of natural resource commodities, except for adverse impacts on a limited scale that result from conservation actions that achieve a net gain of the biodiversity values associated with the critical habitat.
177. CEPF-funded projects must consider potential adverse impacts on natural habitats, and ensure that, in areas of natural habitat, mitigation measures are designed to achieve no net loss and preferably a net gain of the associated biodiversity values and/or ecosystem services, following the mitigation hierarchy described in Safeguard Policy 1.
178. For proposed projects assessed as having significant risks of degradation or loss of a critical habitat or other natural habitat (Category A or B), the applicant will prepare an ESMP in accordance with applicable national laws and the requirements of this policy, and following the template in Annex 2. The ESMP will set out measures to manage risks and impacts identified in the ESIA prepared under Safeguard Policy 1.
179. For projects that involve risks to critical habitat or other natural habitat that are of sufficient magnitude to warrant them being designated as Category A, the ESMP should be prepared as a stand-alone document, which can be presented in the form of a Biodiversity Management Plan.
180. For projects that involve risks to critical habitat or other natural habitat that are only of sufficient magnitude to warrant them being designated as Category B, provided that these risks are addressed by the

ESIA/ESMP prepared under Safeguard Policy 1, a separate document will not be required.

181. For proposed projects assessed as having a negligible risk of degradation or loss of critical habitats or other natural habitats (Category C), the applicant will not be required to prepare any additional documents.
182. All CEPF-funded project activities will be consistent with existing protected area management plans or other resource management strategies that are applicable to national or local situations.
183. CEPF-funding projects must not include any activities that contravene applicable international environmental treaties or agreements, including *inter alia* the Convention on Biological Diversity, the Convention on Wetlands of International Importance (Ramsar Convention), and the Convention on International Trade in Endangered Species of Wild Flora and Fauna.
184. CEPF-funded projects must not introduce or use potentially invasive, non-indigenous species.
185. The procurement of natural resource commodities that may contribute to significant conversion or degradation of natural habitats will be avoided, where feasible, or limited to suppliers that can demonstrate that they are not contributing to significant conversion or degradation of natural habitats. This may be demonstrated by delivery of certified product, or progress towards verification or certification under a credible scheme in certain commodities and/or locations. The ability to address these risks will be based, in part, on the grantee's control or influence over its suppliers.
186. Any production or harvesting of living natural resources must adopt an approach consistent with good sustainable management practices, including industry-specific standards, where such standards exist. Given that the sustainability of a harvesting approach varies according to the resource to be harvested, the carrying capacity of the habitat(s) where the resource exists, and other biological and socioeconomic contexts, whenever a project proposes to carry out sustainable harvesting of natural resources, the sustainability of the proposed harvesting approach must be approved by the CEPF Secretariat (or the RIT).
187. CEPF-funded projects that involve forest restoration will maintain or enhance biodiversity and ecosystem functionality, and be environmentally appropriate, socially beneficial and economically viable.
188. CEPF-funded projects will conform with applicable frameworks and measures related to access and benefit sharing (such as the Nagoya Protocol) in the utilization of genetic resources.
189. Compensation, or offsets, will be used by grantees to mitigate adverse impacts on biodiversity and ecosystems in rare cases, only as a last resort, and only in specific instances where: all other technically feasible avoidance, minimization or restoration measures have been considered; supported by rigorous, sound science; developed in consultation with

independent experts; and long-term management, support and financing have been secured.

## **15. SAFEGUARD POLICY 7: INDIGENOUS PEOPLES**

### **Purpose**

190. To ensure that:

- a) CEPF-funded projects respect Indigenous Peoples' rights, including their rights to Free, Prior and Informed Consent (FPIC);
- b) Potential adverse impacts are assessed and avoided, minimized, mitigated or adequately compensated for, through a participatory and consultative approach; and
- c) When entitled to receive them, Indigenous Peoples receive culturally appropriate benefits that are negotiated and agreed upon through meaningful consultations.

### **Definitions**

191. *Indigenous Peoples* are members of a distinct social and cultural group possessing the following characteristics to varying degrees:

- (a) Self-identification as members of a distinct indigenous social and cultural group and recognition of this identity by others;
- (b) Collective attachment to geographically distinct habitats, ancestral territories, or areas of seasonal use or occupation, as well as to the natural resources in these areas;
- (c) Customary cultural, economic, social, or political systems that are distinct or separate from those of the mainstream society or culture; and
- (d) A distinct language or dialect, often different from the official language or languages of the country or region in which they reside. This can include a language or dialect that has existed but does not exist now due to impacts that have made it difficult for a community or group to maintain it.

192. An *Indigenous Peoples Plan* is a document that assesses the potential impacts (adverse and positive) of project activities on Indigenous Peoples and sets out a detailed plan for: meaningful consultation with affected Indigenous Peoples communities on their rights and options; the process to obtain and document FPIC; measures to avoid, minimize and mitigate adverse impacts and ensure equitable sharing of benefits; compensation for adverse impacts that cannot be otherwise mitigated; and capacity strengthening for the grantee.

193. A *Social Assessment* is a document that describes: the Indigenous Peoples communities that are present in the project area; their rights to and use of land, territory and resources; the nature of potential impacts (adverse and positive) on them; the process to involve affected communities in the design of project activities, and obtain and document FPIC; the measures to avoid, minimize, mitigate and compensate for

adverse cultural and socio-economic impacts; and the approach to monitor compliance, with the participation of Indigenous People.

### **Requirements**

194. This policy applies to all projects that affect Indigenous Peoples, whether adversely or positively. Such projects need to be prepared with care and with the full and effective participation of affected persons, including Indigenous women, youth, the elderly and persons with disabilities. This policy applies even when the applicant is an Indigenous Peoples organization.
195. All CEPF-funded projects are required to:
- a) Assess potential impacts on Indigenous Peoples as early as possible during project preparation;
  - b) Ensure the effective participation of Indigenous Peoples in the preparation of the ESIA prepared under Safeguard Policy 1, to assess risks and opportunities and to improve the understanding of the local context and affected communities;
  - c) Implement effective consultation processes with the affected Indigenous Peoples communities to fully identify their views and to seek FPIC for project activities that affect them *before these activities begin*; and
  - d) Actively engage project-affected Indigenous Peoples to ensure their ownership and participation in the development, implementation, and monitoring of ESMPs or equivalent safeguard plans.
196. FPIC does not necessarily require unanimity and may be achieved even when individuals or groups within a community explicitly disagree. While FPIC is a community-level process, it is important to ensure that decisions at the community level are representative of all community members, especially those who have historically been left out of decision-making, such as Indigenous women, youth and persons with disabilities.
197. For proposed projects assessed as having significant risks in relation to impacts on Indigenous Peoples that warrant them being designated as Category A, the applicant will prepare an Indigenous Peoples Plan in accordance with applicable national laws and the requirements of this policy and following the template in Annex 8.
198. For proposed projects assessed as having significant risks in relation to impacts on Indigenous Peoples that warrant them being designated as Category B, the applicant will prepare a Social Assessment in accordance with the requirements of this policy and following the template in Annex 9.
199. For proposed projects assessed as having negligible or no risks in relation to impacts on Indigenous Peoples (Category C), the applicant will not be required to prepare any additional documents.
200. The level of detail in the Indigenous Peoples Plan or Social Assessment will be proportionate to the complexity of the proposed project and



commensurate with the nature and scale of its potential impacts on Indigenous Peoples, whether adverse or positive. This will be determined by the CEPF Secretariat (or the RIT), based on a subjective assessment of project activities, circumstances of Indigenous Peoples, social risks and project impacts.

201. Each Indigenous Peoples Plan or Social Assessment will set out measures to avoid, minimize, mitigate and compensate for adverse impacts (and ensure equitable benefit sharing in the case of positive impacts) through meaningful consultations with the affected Indigenous Peoples communities. These measures should be developed in a culturally appropriate manner commensurate with the nature and scale of the impacts and the vulnerability of the affected communities of Indigenous Peoples.
202. When Indigenous Peoples are the sole, or constitute the overwhelming majority of, beneficiaries of project activities, the elements of the Indigenous Peoples Plan or Social Assessment may be included in the overall project design and the ESMP prepared under Safeguard Policy 1. In such cases, the preparation of a stand-alone Indigenous Peoples Plan or Social Assessment will not be necessary.
203. CEPF-funded projects will fully respect and support Indigenous Peoples' rights related to land, territories, resources, cultural and spiritual heritage and values, traditional knowledge, resource management systems and practices, occupations and livelihoods, customary institutions, and overall well-being, and the relevant international instruments that protect them, including but not limited to the United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP), the ILO's Convention No. 169, the International Covenant on Economic, Social and Cultural Rights, and the International Convention on the Elimination of All Forms of Racial Discrimination.
204. Projects will recognize, respect and value Indigenous Peoples' cultural heritage, as well as traditional knowledge held by Indigenous Peoples and Indigenous ways of ownership and knowledge transmission, and will promote the participation and leadership of traditional-knowledge-holders in project activities.
205. Projects will also respect the right of Indigenous Peoples communities to freely pursue their economic, social and cultural development and their right to autonomy or self-government in matters relating to their internal and local affairs, as well as ways and means for financing their autonomous functions.
206. When project activities include the commercial development of lands and natural resources central to Indigenous Peoples' identity and livelihood or commercial use of Indigenous Peoples' cultural heritage, the project will inform the affected people of their rights under national and international law and of the scope, nature and impacts of the potential use, enabling the Indigenous Peoples to determine the extent of the use of these

natural and cultural resources and share equitably in the benefits from such commercial development or use.

207. When a project may restrict the access of Indigenous Peoples to a protected area, at minimum the grantee will involve the affected Indigenous Peoples in the planning and management of the protected area and key species therein.
208. When a project may affect Indigenous Peoples in voluntary isolation or remote groups with limited external contact, the grantee will respect the right of these people to remain isolated and to live freely according to their culture. Appropriate measures will be taken to recognize, respect, and protect their lands and territories, environment, health, and culture, as well as to avoid all undesired contact. Aspects of the project that would result in such undesired contact must not proceed further.
209. The grantee will ensure that the grievance mechanism established for the project in compliance with the requirements of Safeguard Policy 10 is culturally appropriate and accessible to the affected Indigenous Peoples.

## **16. SAFEGUARD POLICY 8: CULTURAL HERITAGE**

### **Purpose**

210. To ensure that cultural heritage, both tangible and intangible, is appropriately preserved and its destruction or damage is appropriately avoided.

### **Definition**

211. *Tangible Cultural Heritage* is movable or immovable objects, sites, structures, and natural features and landscapes that have archaeological, paleontological, historical, architectural, religious, aesthetic, sacred or other cultural significance.
212. *Intangible Cultural Heritage* includes traditions or living expressions transmitted from generation to generation, such as oral traditions, performing arts, social practices, rituals, festive events, knowledge and practices concerning nature and the universe or the knowledge and skills to produce traditional crafts.
213. *Chance Finds* are tangible cultural heritage that is not identified during project preparation but found opportunistically during implementation, for instance through activities involving surveys, excavation, construction, etc.
214. A *Cultural Heritage Plan* is a document that identifies a set of mitigation, management, monitoring and capacity strengthening actions to be implemented by CEPF-funded projects that present significant risks in relation to adverse impacts on cultural heritage.

### **Requirements**

215. CEPF-funded projects must not remove or alter any tangible cultural heritage.

216. Projects must consider potential adverse impacts on tangible and intangible cultural heritage, and ensure that, in areas where such features are present, mitigation measures are designed through Meaningful Consultations with local stakeholders and relevant authorities, implemented, and monitored, following the mitigation hierarchy described in Safeguard Policy 1.
217. For proposed projects assessed as having a significant risk of adverse impacts to tangible and/or intangible cultural heritage (Category A or B), the applicant will prepare a Cultural Heritage Plan in accordance with applicable national laws and the requirements of this policy, and following the template in Annex 10. This plan will be appropriate to the size of the organization and the nature of the proposed activities. For Category A projects, a detailed plan will be prepared, whereas a simplified plan will be prepared for Category B projects.
218. For proposed projects assessed as having a negligible risk of adverse impacts to tangible and/or intangible cultural heritage (Category C), the applicant will not be required to prepare any additional documents.
219. Qualified experts, local people, and other relevant stakeholders shall be consulted during the preparation of the Cultural Heritage Plan. Field-based surveys shall also be used to: assess the nature, extent and significance of cultural heritage that may be affected by the project; assess whether destruction or damage can be avoided; and develop plans for managing risks and impacts.
220. Where projects have potential impacts on intangible cultural heritage belonging to Indigenous People and/or tangible cultural heritage located within the territories/lands of an Indigenous Peoples community, then a process of FPIC must occur before any mitigation measures are implemented.
221. Jointly with the relevant authorities, the grantee shall determine whether disclosure of information regarding cultural heritage may jeopardize its safety or integrity, or endanger sources of information.
222. Chance Finds will be reported to the relevant authorities, protected from further disturbance and managed through meaningful consultation with stakeholders, based on a pre-defined approach. Where national procedures do not exist, appropriate procedures will be developed in line with an assessment by qualified experts.
223. Where a project introduces restrictions on stakeholder access to cultural heritage, continued access shall be arranged in consultation with stakeholders, where feasible, subject to overriding safety and security considerations.
224. Where a project involves the commercial use of cultural heritage, project-affected parties will be informed of their rights under national law and of the scope, nature and impacts of the potential use, and arrangements will be made to provide for the fair and equitable sharing of benefits from such use.

## 17. SAFEGUARD POLICY 9: GENDER MAINSTREAMING

### **Purpose**

225. To mitigate potential adverse impacts of project activities on men and women, contribute to closing gender gaps in access to and control over resources, improve participation and decision-making of women in natural resource governance, and promote equitable socio-economic project benefits.

### **Definitions**

226. *Gender* refers to the economic, social, political, and cultural attributes and opportunities associated with being women and men. The social definitions of what it means to be a woman or a man vary among cultures and change over time. Gender is a sociocultural expression of particular characteristics and roles that are associated with certain groups of people with reference to their sex and sexuality.
227. *Gender Analysis* is the process of collecting and interpreting information on the respective roles and responsibilities among men and women in the following domains: practices and participation; access to resources; knowledge and beliefs; and laws, policies and regulatory institutions.
228. *Gender Aware* refers to explicit recognition of local gender differences, norms, and relations and their importance to outcomes in program/policy design, implementation and evaluation. This recognition derives from analysis or assessment of gender differences, norms, and relations in order to address gender equity in outcomes.
229. *Gender Equity* is the process of being fair to women and men. To ensure fairness, measures must be taken to compensate for historical and social disadvantages that prevent women and men from operating on a level playing field.
230. *Gender Equality* is the state or condition that affords women and men equal enjoyment of human rights, socially valued goods, opportunities and resources.
231. *Gender Integration* refers to strategies applied in program assessment, design, implementation and evaluation to take gender norms into account and to compensate for gender-based inequalities.
232. *Gender Mainstreaming* is the process of incorporating a gender perspective into policies, strategies, programs, project activities and administrative functions, as well as into the institutional culture of an organization.
233. *Gender Gap* is any disparity and inequality between women and men's condition due to their position or role in society. It concerns inequalities in terms of their participation, their access to opportunities, rights, power to influence and make decision, incomes and benefits, and control and use of resources.

234. *Sex* refers to the biological differences that distinguish males, females and intersex. Sex differences are concerned with physiology.
235. A *Gender-sensitive Indicator* is an indicator that can be used at various levels to monitor and report on socio-economic and gender-sensitive changes over a period of time.
236. *Sex-disaggregated Data* is information that is collected and presented separately on men and women.
237. A *Gender Mainstreaming Plan* is a document that presents the results of gender analysis or equivalent socio-economic assessment together with the corresponding gender-responsive measures to address differences, identified impacts and risks, and opportunities.

### **Requirements**

238. CEPF-funded projects are required to mainstream gender through designing, implementing and monitoring activities in such a way that they:
- a) Do not exacerbate existing gender-related inequalities and, where relevant, address gender gaps;
  - b) Strive to provide equal opportunities for men and women to benefit; and
  - c) Provide equal opportunities for women and men to actively participate and make decisions throughout identification, design, implementation, monitoring and evaluation, including in project consultations.
239. During project preparation, the applicant will undertake a gender analysis or equivalent socio-economic assessment that identifies and describes any gender differences, gender-differentiated impacts and risks, and opportunities to address gender gaps and provide equal opportunities for men and women that may be relevant to the proposed project.
240. Based on the results of the gender analysis, the applicant will formulate corresponding gender-responsive measures to address differences, identified impacts and risks, and opportunities.
241. For proposed projects assessed as having a significant risk of adverse impacts on promotion, protection and respect for gender equality and equity (Category A or B), the gender analysis and the resulting measures will be documented as a stand-alone Gender Mainstreaming Plan, in accordance with applicable national laws, obligations under relevant international treaties and agreements, and the requirements of this policy, and following the template in Annex 11. This plan will be appropriate to the size of the organization and the nature of the proposed activities. For Category A projects, a detailed plan will be prepared, whereas a simplified plan will be prepared for Category B projects.
242. For proposed projects assessed as having a negligible risk of adverse impacts on promotion, protection and respect for gender equality and equity (Category C), the gender analysis and the resulting measures will

be documented in the Social Context section of the project proposal, and the applicant will not be required to prepare any additional documents.

243. For projects involving climate change mitigation and/or adaptation activities, the gender analysis will integrate analysis of the contextual and sociocultural factors underlying climate-change-exacerbated gender inequality and optimize the potential contributions of women and men of all ages to build both individual and collective resilience to climate change.

## **18. SAFEGUARD POLICY 10: STAKEHOLDER ENGAGEMENT**

### **Purpose**

244. To promote transparency, accountability, integrity, effective participation and inclusion in CEPF-funded projects by seeking and incorporating the knowledge, views and concerns of stakeholders.

### **Definitions**

245. *Stakeholders* are persons or groups who are directly or indirectly affected by a project, as well as those who may have interests in a project and/or the ability to influence its outcome, either positively or negatively. Stakeholders may include locally affected communities or individuals and their formal and informal representatives, national or local government authorities, politicians, religious leaders, civil society organizations and groups with special interests, the academic community, or other businesses.
246. *Affected Communities* are communities of the local population within the project's area of influence that are likely to be affected by the project (positively or adversely).
247. A *Stakeholder Engagement Plan* is a document that details the differentiated measures that the grantee will implement to ensure the effective participation of key project stakeholders, including those identified as disadvantaged or vulnerable stakeholders. The plan will describe stakeholder identification and analysis, and plans for engagement activities, disclosure of information, meaningful consultation and informed participation, monitoring, evaluation and learning throughout the project cycle, addressing grievances, and on-going reporting to stakeholders.

### **Requirements**

248. All CEPF-funded projects must engage with key stakeholders, including project-affected communities, Indigenous Peoples and local CSOs, as early as possible in the preparation process and throughout the project cycle, to ensure that their views and concerns are made known and taken into account, risks of adverse impacts are managed, and benefits are provided equitably.

249. To this end, grantees will:

- a) Identify and involve stakeholders in the project preparation process to understand local needs and avoid adverse impacts;
- b) Provide stakeholders with timely, relevant and understandable information about project activities in a timely manner, in languages and formats that are easily understood by them, and establish clear procedures whereby stakeholders can request additional information;
- c) Engage stakeholders in meaningful consultations where they are able to express their views on project plans, benefits, risks, impacts and mitigation measures that may affect them;
- d) Ensure that such consultations are culturally appropriate, gender inclusive and responsive, free of manipulation, interference, coercion, discrimination and intimidation, and responsive to the needs and interests of disadvantaged or vulnerable groups;
- e) Incorporate the knowledge of stakeholders and ensure that their views and concerns are taken into account by during all phases of the project and addressed by key decision-makers; and
- f) Continue consultations throughout project implementation, monitoring and evaluation, as necessary, to enable adaptive management and ensure compliance with other safeguard policies.

250. Grantees will ensure that members of disadvantaged or vulnerable groups (e.g., women, youth, persons with disabilities) are able to participate in this process fully and effectively, including by making provision for separate or targeted engagement where required, and by conducting consultations in a manner that does not put vulnerable individuals or groups at risk.

251. During project preparation, the applicant will identify persons or groups who could be directly or indirectly affected by the proposed project.

252. Based on the results of this exercise, the applicant will formulate corresponding measures to engage stakeholders throughout the project cycle and establish a grievance mechanism.

253. For proposed projects assessed as having a significant risk of adverse environmental and/or social impacts (Category A or B), the results of this exercises and the corresponding measures will be documented as a stand-alone Stakeholder Engagement Plan, in accordance with applicable national laws and the requirements of this policy and following the template in Annex 12.

254. The Stakeholder Engagement Plan should be scaled to the project risks and impacts, and be tailored to the characteristics and interests of the affected communities, recognizing that some community members may not be able to effectively communicate outside of the local language.

255. If the proposed project triggers another safeguard policy, the contents of the Stakeholder Engagement Plan may be incorporated into the environmental and social plan(s) prepared for that policy (Pest Management Plan, Indigenous Peoples Plan, etc.).

256. For proposed projects assessed as having a negligible risk of adverse environmental or social impacts (Category C), the results of this exercise and the corresponding measures (including the grievance mechanism) will be documented in the Stakeholder Engagement section of the project proposal, and the applicant will not be required to prepare any additional documents.
257. Grantees must ensure that the requirements of Safeguard Policy 9 on Gender Mainstreaming are met throughout the stakeholder engagement process, especially the need to ensure that women and men are provided with equal opportunities to actively participate in decision-making processes.
258. When the stakeholder engagement process depends substantially on community representatives, the grantee 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.
259. For Category A projects, stakeholder engagement through meaningful consultations must occur and be documented at least twice:
- a) The Terms of Reference for the full ESIA must be distributed to project-affected persons and other stakeholders, in order to identify additional requirements for the ESIA report; and
  - b) The ESIA report must be distributed to project-affected persons and other stakeholders in easily understood language(s)/format(s). This must occur prior to approval of the project by the CEPF Secretariat (or the RIT).
260. Once the ESIA has been completed, stakeholder engagement will focus on the implementation of the project. Ongoing stakeholder engagement must continue throughout the life of the project. The nature, frequency and level of effort of stakeholder engagement may vary considerably, and will be commensurate with the project's risks and adverse impacts, and the project's phase of development.
261. For Category A and B projects, stand-alone environmental and social plans (other than Labor Management Procedures) will be disclosed to affected communities, including Indigenous Peoples communities, and stakeholders in a form, manner and language appropriate for the local context.
262. All environmental and social plans will also be disclosed publicly through the CEPF website.
263. For Category C projects, grantees will be responsible for disclosing summary information about the project, including the grievance mechanism, to stakeholders.
264. All grantees will maintain and disclose a public record of Stakeholder Engagement throughout the project cycle. In cases where confidentiality is necessary to protect stakeholders from harm, statistical information will be recorded and made publicly available.



265. All grantees will establish a mechanism whereby project-affected persons may raise a grievance, at any time, and whereby this grievance may be considered and satisfactorily resolved.
266. Where possible, each grievance mechanism will utilize existing formal or informal mechanisms, supplemented as needed with project-specific arrangements designed to resolve disputes in an impartial manner.
267. Each mechanism will include at least one locally available option for redressing grievances, including the grantee, the RIT and/or a third party. This option will be established early, proportionate to the potential risks and impacts of the project or program, readily accessible, and culturally appropriate. It will include appropriate confidentiality protections, including regarding confidentiality and non-retaliation.
268. The grantee will ensure that each locally available option is functioning effectively, efficiently, legitimately and independently, in a manner that is accessible, equitable, predictable and transparent, and that allows for continuous learning.
269. Each locally available option will be scaled to the risks and impacts of the project. It will facilitate the resolution of grievances promptly through an accessible, fair, transparent and constructive process. It will also be culturally appropriate and readily accessible, at no cost to the public, and without retribution to the complainant.
270. Each mechanism will also include the option of reporting grievances directly to the CEPF Executive Director via the CI Ethics Hotline. The CI Ethics Hotline allows grievances to be made anonymously via a toll-free telephone line (+1-866-294-8674) or a secure web portal (<https://secure.ethicspoint.com/domain/media/en/gui/10680/index.html>)
271. Any grievances received by the grantee must be reported to the CEPF Secretariat (or the RIT, in the case of small grants) within 15 days, together with a proposed plan to address the grievance. With approval from the CEPF Secretariat (or the RIT), the grantee will then implement the plan, reporting back on progress.
272. For any grievance received via the CI Ethics Hotline, the CEPF Secretariat will develop a plan to address it, in consultation with the grantee and the RIT. The CEPF Secretariat will then implement the plan.
273. The existence of project-level grievance mechanisms must not limit in any way the ability of complainants to access directly the grievance mechanisms of any CEPF donor or funding source.
274. For projects in areas with Indigenous Peoples, the grievance mechanism must be culturally appropriate, available in local languages, accessible to affected Indigenous Peoples, and take into account the availability of customary dispute settlement mechanisms among Indigenous Peoples.

## 19. ANNEXES

### Annex 1: Environmental and Social Risk Assessment Worksheet

This worksheet is designed to assist CEPF Secretariat and Regional Implementation Team (RIT) staff (hereafter “the reviewer”) identify and assess the environmental and social risks associated with projects funded by CEPF grants. This worksheet should be completed during the technical review of the Letter of Inquiry (LOI), to allow sufficient time for risk mitigation measures to be agreed upon and incorporated into the final project design.

First, the reviewer should determine which safeguard policies apply to the project. Safeguard Policies 1 (Environmental and Social Assessment), 9 (Gender Equality) and 10 (Stakeholder Engagement) apply to all projects; the other safeguard policies apply to some projects but not all.

Next, the reviewer should assign a risk category to each applicable safeguard policy, based on information provided in the LOI, supplemented if needed by communication with the applicant to clarify any points.

There are three risk categories:

- **Category A.** The project has the potential for significant adverse environmental and/or social impacts that are diverse, irreversible or unprecedented;
- **Category B.** The project has the potential for adverse environmental and social impacts that are few, generally site-specific, largely reversible and readily addressed through mitigation measures; and
- **Category C.** The project is likely to have minimal or no adverse environmental and social impacts.

Note that individual risk categories should not be assigned to Safeguard Policies 1 (Environmental and Social Assessment) or 10 (Stakeholder Engagement).

Next, the reviewer should assign an overall risk category to the project, equivalent to the highest category for individual safeguard policies. For example, a project with three Category C policies and one Category B policy will be assigned to Category B.

The results of the risk assessment are not binding and can be revisited at any point during project preparation and implementation, if new information comes to light or unanticipated risks and impacts emerge. This could lead to a determination that one or more safeguard policies no longer apply, or that one or more additional policies do apply.

CEPF’s environmental and social safeguard policies can be found in the Environmental and Social Management Framework (ESMF), which is available at this [link](#).

## Risk Assessment

Section 1: Project Details	
Project Title	
Applicant Organization	
Name of Person Completing Risk Assessment	
Date of Risk Assessment	

Section 2: Risk Assessment				
Safeguard Policy	Applicable?	Risk Assessment	Risk Category	Notes (the below examples are indicative and do not foresee every eventuality)
1. Environmental and Social Assessment	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No [Applies to all projects]	N/A	N/A	An individual risk category does not need to be assigned to this policy
2. Labor and Working Conditions	<input type="checkbox"/> Yes <input type="checkbox"/> No	Does the proposed project present significant risks in relation to labor and working conditions?  <i>Details:</i> _____	<input type="checkbox"/> Category A <input type="checkbox"/> Category B <input type="checkbox"/> Category C	Projects will typically be assigned to Category C for this policy, unless there are elevated risks to project workers related to occupational health and safety, such as scuba diving or work as eco-guards/rangers

<p>3. Resource Efficiency and Pollution Prevention</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>Does the proposed project present significant risks in relation to pesticides? <i>Details:</i> _____</p> <p>Does the proposed project present significant risks in relation to unsustainable use of resources and/or forms of pollution other than pesticides? <i>Details:</i> _____</p>	<p><input type="checkbox"/> Category A <input type="checkbox"/> Category B <input type="checkbox"/> Category C</p>	<p>Projects that involve the procurement or use of chemical pesticides will be assigned to Category B</p> <p>Projects with the potential for community exposure to hazardous materials and substances released by project activities will be assigned to Category A or B</p>
<p>4. Community Health, Safety and Security</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>Does the proposed project present significant risks in relation to community health, safety and security? <i>Details:</i> _____</p>	<p><input type="checkbox"/> Category A <input type="checkbox"/> Category B <input type="checkbox"/> Category C</p>	<p>Projects that fund the salaries and/or operations of rangers, eco-guards, or similar security personnel (whether armed or unarmed) will be assigned to Category B<sup>7</sup></p> <p>Projects that involve human subject research<sup>8</sup> activities will be assigned to Category B</p>
<p>5. Restrictions on Land Use and Involuntary Resettlement</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>Does the proposed project present significant risks in relation to access restrictions associated with negative impacts on livelihoods? <i>Details:</i> _____</p>	<p><input type="checkbox"/> Category A <input type="checkbox"/> Category B <input type="checkbox"/> Category C</p>	<p>Projects that involve creation or expansion of protected areas will be assigned to Category B</p>

<sup>7</sup> This provision applies regardless of whether the security personnel are employed or contracted by the grantee, a government agency or a third party.

<sup>8</sup> Human Subject Research refers to any form of disciplined inquiry that aims to contribute to a body of knowledge or theory that involves the obtention of (a) data on living individuals through intervention or interaction with the individual or (b) personal identifiable information. Conservation and/or development field demonstration projects are generally not considered research, nor are standard, participatory methods used to monitor the impacts of these projects on human wellbeing (e.g., focus group discussions).

<p>6. Biodiversity Conservation and Sustainable Management of Living Natural Resources</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>Does the proposed project present significant risks in relation to degradation or loss of critical habitat or other natural habitat?</p> <p><i>Details:</i> _____</p>	<p><input type="checkbox"/> Category A <input type="checkbox"/> Category B <input type="checkbox"/> Category C</p>	<p>Projects that involve adverse impacts to critical habitat<sup>9</sup> will be assigned to Category A</p> <p>Projects that involve the procurement of natural resource commodities (e.g. timber) that may contribute to significant conversion or degradation of natural habitats will be assigned to Category B</p> <p>Projects that involve production or harvesting of living natural resources from wild populations of globally threatened species will be assigned to Category B</p>
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<sup>9</sup> Critical habitats include *inter alia* existing and proposed protected areas, areas recognized as protected by traditional local communities, as well as areas identified as important for conservation, such as Key Biodiversity Areas (KBAs), Alliance for Zero Extinction (AZE) Sites, Important Bird and Biodiversity Areas (IBAs), Ramsar sites, etc.

<p>7. Indigenous People</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>Does the proposed project present significant risks in relation to impacts on Indigenous Peoples?</p> <p><i>Details:</i> _____</p>	<p><input type="checkbox"/> Category A <input type="checkbox"/> Category B <input type="checkbox"/> Category C</p>	<p>Projects that may affect Indigenous Peoples in voluntary isolation or remote groups with limited external contact will be assigned to Category A</p> <p>Projects that involve use of or restrictions on access to natural resources that are central to the identity, culture, and livelihood of Indigenous Peoples will be assigned to Category B</p> <p>Projects that involve the commercial development of lands and natural resources central to Indigenous Peoples' identity and livelihood, or commercial use of Indigenous Peoples' cultural heritage will be assigned to Category B</p>
<p>8. Cultural Heritage</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>Does the proposed project present significant risks in relation to impacts on tangible and/or intangible cultural heritage?</p> <p><i>Details:</i> _____</p>	<p><input type="checkbox"/> Category A <input type="checkbox"/> Category B <input type="checkbox"/> Category C</p>	<p>Projects that introduce restrictions on stakeholder access to cultural heritage will be assigned to Category B</p> <p>Projects that involve the commercial use of cultural heritage will be assigned to Category B</p>

9. Gender Equality	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No [Applies to all projects]	Does the proposed project present significant risks in relation to impacts on promotion, protection and respect for gender equality?  <i>Details:</i> _____	<input type="checkbox"/> Category A <input type="checkbox"/> Category B <input type="checkbox"/> Category C	Projects will typically be assigned to Category C for this policy, unless there are elevated risks of exacerbating existing gender-related inequalities
10. Stakeholder Engagement	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No [Applies to all projects]	N/A	N/A	An individual risk category does not need to be assigned to this policy
OVERALL RISK CATEGORY	N/A	N/A  [Risk category follows the highest risk category assigned to Safeguard Policies 2-9]	<input type="checkbox"/> Category A <input type="checkbox"/> Category B <input type="checkbox"/> Category C	The overall risk category for the project is equivalent to the highest category for individual safeguard policies
Capacity strengthening	Does the applicant require capacity strengthening to manage the environmental and social risks identified here? If yes, please describe the capacity strengthening activities that need to be integrated into the project design:  <hr/> <hr/> <hr/> <hr/>			

**Annex 2: Environmental and Social Impact Assessment and  
Environmental and Social Management Plan Template**

**Environmental and Social Impact Assessment  
and  
Environmental and Social Management Plan**

**Date**

**CEPF Grant xxxxx**

**Grantee**

***Project Title***

**Project Location**



## **Grant Summary**

1. Grantee organization.
2. Grant title.
3. Grant number.
4. Grant amount (US dollars).
5. Proposed dates of grant.
6. Countries or territories where project will be undertaken.
7. Summary of the project [copy and paste Project Rationale and Project Approach from proposal].
8. Date of preparation of this document.
  
9. **Legal and regulatory framework**: This section will analyze the legal and institutional framework for the project, within which the environmental and social assessment is carried out, in compliance with Safeguard Policy 1 on Environmental and Social Assessment.
  
10. **Status of area to be impacted**: This section will describe the applicant's understanding of the project site, including a concise description of the proposed project's geographic, environmental, social, and temporal context. Where possible, it should include a map of sufficient detail, showing the project site and the area(s) that may be affected by the project's direct and indirect impacts.
  
11. **Baseline data**: This section will assess the dimensions of the study area and describe relevant physical, biological, and socioeconomic conditions, including any changes anticipated before the project commences. It will also take into account current and proposed development activities within the project area that are not directly connected to the project. Data should be relevant to decisions about project location, design, operation, or mitigation measures. The section will indicate the accuracy, reliability, and sources of the data.
  
12. **Anticipated impacts and risks**: This section will describe the anticipated environmental and social impacts and risks, and explain how these have been determined. It should consider both positive and adverse impacts.
  
13. **Mitigation measures**: This section will describe measures that will be taken to mitigate adverse impacts. For each anticipated adverse or risk identified in Section 12, it should describe, with technical detail, appropriate mitigation measure(s), including 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. It should also estimate any potential environmental and social impacts of these measures. Differentiated measures should be identified so that adverse impacts do not fall disproportionately on disadvantaged or vulnerable groups or individuals.
  
14. **Actions to ensure health and safety**: This section will describe actions that will be taken to ensure the health and safety of workers.
  
15. **Monitoring and evaluation**: This section will outline the steps the applicant will take to monitor and evaluate the impact of the proposed project. It should identify the

monitoring objectives and specify the type of monitoring, with linkages to the impacts assessed and the mitigation measures described. This is meant to provide (a) a specific description, and technical details, of monitoring measures, including the parameters to be measured, methods to be used, sampling locations, frequency of measurements, detection limits (where appropriate), and definition of thresholds that will signal the need for corrective actions; and (b) monitoring and reporting procedures to: (i) ensure early detection of conditions that necessitate particular mitigation measures; and (ii) furnish information on the progress and results of mitigation.

16. **Timeline and resources**: For the mitigation and monitoring measures in Sections 14 and 15, this section will 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) cost estimates and sources of funding for implementing the ESMP.
17. **Permission of the landowner**: Please obtain permission of the landowner to undertake actions on the site, and verify that you have the required permits to undertake this work.
18. **Participatory preparation**: This section aims to outline the range of meaningful consultations that you have had both with experts to optimize the potential for success, and with stakeholders, particularly local communities, who are potentially affected by the proposed project. It should include dates of consultations.
20. **Disclosure**: CEPF requires that environmental and social plans are disclosed to affected local communities and stakeholders prior to project implementation. Please describe efforts to disclose this impact assessment and environmental management plan and provide dates.

## **Annex 3: Labor Management Procedures Template**

### **Labor Management Procedures**

**Date**

**CEPF Grant xxxxx**

**Grantee**

***Project Title***

**Project Location**

## **Grant Summary**

1. Grantee organization.
2. Project title.
3. Grant number.
4. Grant amount (US dollars).
5. Proposed dates of grant.
6. Countries where activities will be undertaken.
7. Summary of the project [copy and paste Project Rationale and Project Approach from proposal].
8. Date of preparation of this document.
9. **Overview of labor use on the project:** This section should describe the main types of workers who will be employed or engaged on the project, as follows:

***Number of Project Workers:*** The total number of workers to be employed on the project, and the different types of workers: direct workers (people employed or engaged directly by the grantee to work on the project); and contracted workers (people engaged through third parties (sub-grantees, consultants, etc.) to perform work related to core functions of the project for a substantial duration). Where numbers are not yet firm, an estimate should be provided.

***Characteristics of Project Workers:*** To the extent possible, a broad description and an indication of the likely characteristics of the project workers (e.g. locally hired workers, female workers, expatriate workers).

***Timing of Labor Requirements:*** The timing and sequencing of labor requirements in terms of numbers, locations, types of jobs and skills required.

***Contracted Workers:*** The anticipated or known contracting structure for the project, with numbers and types of consultants/sub-grantees and the likely number of project workers to be employed or engaged by each consultant/sub-grantee.

10. **Assessment of key potential labor risks:** This section should identify key potential labor risks related to the project, assess each risk against criteria of probability and severity, and describe in detail all higher risks. Risks may include, for example:
  - Conduct of hazardous work, such as working at heights or in confined spaces, use of heavy machinery, or use of hazardous materials.
  - Use of child labor or forced labor, with reference to the sector or locality.
  - Physical, psychological or sexual abuse of project workers
  - Unfair treatment or discrimination.
  - Possible accidents or emergencies, with reference to the sector or locality.
  - General understanding and implementation of occupational health and safety requirements.
11. **Risk mitigation measures:** This section will describe the measures that will be taken to mitigate all higher risks. Mitigation measures will be presented following the mitigation hierarchy, which requires that risks are anticipated and avoided where

possible. Where avoidance is not possible, risks should be minimized to acceptable levels. Any risks that remain following avoidance and minimization should be mitigated.

12. **Brief overview of legislation: terms and conditions:** This section should present a brief overview of the *key aspects* of national labor and employment law relevant to terms and conditions of employment (e.g., wages, deductions, benefits, etc.).
13. **Brief overview of legislation: occupational health and safety:** This section should present a brief overview of the *key aspects* of national labor and employment law relevant to occupational health and safety.
14. **Responsible staff:** This section identifies the functions and/or individuals within the project responsible for (as relevant):
  - Engagement and management of direct workers.
  - Engagement and management of contracted workers.
  - Occupational health and safety.
  - Training of workers.
  - Addressing worker grievances.
15. **Policies and procedures:** This section should describe policies and procedures for managing each category of project staff, in accordance with national labor and employment law and Safeguard Policy 2 on Labor and Working Conditions. Wherever provisions of national law are relevant to project activities and satisfy the requirements of Safeguard Policy 2, these provisions do not need to be duplicated in this section.
16. **Contracted workers:** This section will describe how the requirements of national labor and employment law and Safeguard Policy 2 will be incorporated into sub-grant agreements and/or service contracts with third parties who will employ or engage contracted workers.
17. **Workplace grievance mechanism:** This section will describe how a mechanism will be provided for all direct workers and contracted workers (and, where relevant, their organizations) to raise workplace concerns. The mechanism must: be made easily accessible to such workers; address concerns promptly, using an understandable and transparent process that provides timely feedback to those concerned in a language they understand, without any retribution; and operate in an independent and objective manner. Please describe how you will put in place a workplace grievance mechanism that meets these requirements.
18. **Disclosure:** CEPF requires that all direct and contracted workers be informed of the existence of the grievance mechanism and the measures put in place to protect them against any reprisal for its use, either at the time of recruitment or at the start of the project, whichever is later. CEPF also requires that all direct and contracted workers be provided with Conservation International's (CI's) Code of Ethics, and be informed that any violations of the Code of Ethics should be reported to CI via its Ethics Hotline at <https://secure.ethicspoint.com/domain/media/en/gui/10680/index.html>

## **Annex 4: Pest Management Plan Template**

### **Pest Management Plan**

**Date**

**CEPF Grant xxxxx**

**Grantee**

***Project Title***

**Project Location**

## **Grant Summary**

1. Grantee organization.
2. Grant title.
3. Grant number.
4. Grant amount (US dollars).
5. Proposed dates of grant.
6. Countries or territories where project will be undertaken.
7. Summary of the project [copy and paste Project Rationale and Project Approach from proposal].
8. Date of preparation of this document.

**Pest Management Approach:** This section should describe your understanding of the problem, your experience with pest management issues, and your 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.

9. Current and anticipated pest problems relevant to the project.
10. Current and proposed pest management practices.
11. Relevant integrated pest management experience within the project area, country or region.
12. Assessment of proposed or current pest management approach and recommendations for adjustment where necessary.

**Pesticide Selection and Use:** This section should provide a comprehensive understanding of the pesticide that will be selected, why it was selected and what efforts were made to assess risks to human health. Note that this section should also present information on the potential impacts that the selected pesticide(s) will have on natural ecosystems and non-target species.

13. Description of present, proposed and/or envisaged pesticide use and assessment of whether such use is in line with international good practice.
14. Indication of the type and quantity of pesticides to be financed by the CEPF grant (in volume and dollar value) and/or assessment of increase in pesticide use resulting from the project.
15. Chemical, trade and common names of pesticide(s) to be used.
16. Form(s) in which pesticide(s) will be used (e.g., pellet, block, spray).
17. Specific geographic description of where the pesticide(s) will be applied: province, district, municipality, landowners [do not give names of individual persons], and map coordinates (if available); and the total area (hectares) to which the pesticide(s) will be applied.
18. 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.

19. Description of plans and results for tracking of damage to natural ecosystems and/or harm to non-target species prior to pesticide application and subsequent to pesticide application.
20. Prerequisites 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.).
21. Basis of selection of pesticide(s) authorized for procurement under the project, taking into consideration the risks identified under Section 19, and the availability of newer and less hazardous products and techniques (e.g. bio-pesticides, traps).
22. Name and address of source of selected pesticides [do not give names of individual persons].
23. Name and address of vendor of selected pesticides [do not give names of individual persons].
24. Name and address of facility where pesticides will be stored.

**Policy and regulatory framework, and institutional capacity:** This section should describe the institutional and legal framework under which the pesticide(s) will be applied, with reference to the documentation and standards required under local and national law and international good practice. Where a particular pesticide is not regulated at the target site, you must identify similar pesticides and the applicable regulation in neighboring countries that could apply, and international good practice. You must also explain why this particular pesticide is necessary, even in the absence of national laws.

25. Policies on plant/animal protection, integrated pest management, and humane treatment of animals.
26. Description and assessment of national capacity to develop and implement ecologically based invasive alien species control [where relevant].
27. Description and assessment of the country's regulatory framework and institutional capacity for control of the distribution and use of pesticides.
28. Proposed project activities to train personnel and strengthen capacity [list the number of people and what they are being trained in].
29. Confirmation that the appropriate authorities were approached and that the appropriate licenses and permissions were obtained by the project.

**Participatory preparation:** This section aims to outline the range of informed consultations that you have had both with experts to optimize the potential for success, and with stakeholders, particularly local communities, who are potentially affected by the use of pesticides (due to, for instance, proximity, use of certain areas for free-ranging livestock or non-timber forest product collection, etc.).

30. Dates, and results of expert consultations, if necessary.
31. Dates, and results of consultations with local communities.



**Monitoring and evaluation:** This section aims to outline the steps you will take to monitor and evaluate the purchase, storage, application and effects of the pesticide(s) in the target area.

32. Description of activities related to pest management that require monitoring during implementation.
33. Monitoring and supervision plan, implementation responsibilities, required expertise and cost coverage.
34. **Disclosure:** CEPF requires that pest management plans are disclosed to affected local communities and other stakeholders prior to project implementation. Please describe the efforts you have taken to disclose this plan.

## **Annex 5: Community Health and Safety Plan Template**

### **Community Health and Safety Plan**

**Date**

**CEPF Grant xxxxx**

**Grantee**

***Project Title***

**Project Location**

## **Grant Summary**

1. Grantee organization.
2. Project title.
3. Grant number.
4. Grant amount (US dollars).
5. Proposed dates of grant.
6. Countries where activities will be undertaken.
7. Summary of the project [copy and paste Project Rationale and Project Approach from proposal].
8. Date of preparation of this document.
9. **Risks to community health and safety:** This section will assess the risk of each activity to community health and safety, against criteria of probability and severity, and describe in detail all higher risks.
10. **Risk mitigation measures:** This section will describe the measures that will be taken to mitigate all higher risks. Mitigation measures will be presented following the mitigation hierarchy, which requires that risks are anticipated and avoided where possible. Where avoidance is not possible, risks should be minimized to acceptable levels. Any risks that remain following avoidance and minimization should be mitigated.
11. **Measures to avoid risk of communicable disease:** This section will describe the measures that will be taken to avoid the risk of transmission of communicable diseases (e.g., COVID-19) to communities at the project site(s).
12. **Emergency preparedness plan:** This section will present an outline of your emergency preparedness and response plan for emergency situations affecting community health, safety and security that could be caused by project activities, if relevant.
13. **Measures to mitigate risks relating to security personnel:** If the project involves support to security personnel (park guards, community rangers, etc.), this section will describe the measures you will take in relation to hiring, rules of conduct, training, equipping, and monitoring the action of security personnel, to ensure they do not engage in unlawful or abusive acts against local people. Where security personnel are, themselves, community members, risks to their health and safety should be considered under Sections 9 and 10.
14. **Timeline and resources:** This section will present an implementation timeline for each measure listed in Sections 10 to 13, together with an estimate of resource needs.
15. **Monitoring and evaluation:** This section will outline the steps you will take to monitor and evaluate the effectiveness of the measures listed in Sections 10 to 13.
16. **Disclosure:** CEPF requires that community health and safety plans are disclosed to affected local communities and other stakeholders. Please describe your efforts to disclose this plan.

## **Annex 6: Livelihood Restoration and Compensation Plan Template**

### **Livelihood Restoration and Compensation Plan**

**Date**

**CEPF Grant xxxxx**

**Grantee**

***Project Title***

**Project Location**

## **Grant Summary**

1. Grantee organization.
2. Project title.
3. Grant number.
4. Grant amount (US dollars).
5. Proposed dates of grant.
6. Countries where activities will be undertaken.
7. Summary of the project [copy and paste Project Rationale and Project Approach from proposal].
8. Date of preparation of this document.
  
9. **Project background:** This section will provide an overview of Indigenous Peoples, local communities and other relevant stakeholders in the project area and their respective use of natural resources (disaggregated by men and women as appropriate). This section will also describe how the project was prepared. This will include a summary of consultations held with Indigenous Peoples, local communities and other stakeholders, and the findings of any social analysis or surveys that informed design of the project, including gender-related considerations.
  
10. **Participatory implementation:** This section will detail the participatory planning process that will be followed 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, being sure that vulnerable or disadvantaged groups (such as women and youth) are able to participate in decision-making processes. Methods of consultation and participation should be in a form appropriate for the Indigenous Peoples and local communities.
  
11. **Potential areas of impact:** This section will detail the specific social, environmental, and cultural areas where project activities may lead to impacts on Indigenous Peoples and local communities with the possibility of economic displacement. These areas of potential impact should be the basis for assessing the adequacy of proposed mitigation actions, and/or compensation. Potential areas of impact may be identified by considering the following:
  - The cultural, social, economic, and geographic setting of the communities in the project area(s);
  - The types and extent of community use (and use by men and women) of natural resources, and the existing rules and institutions for the use and management of natural resources;
  - Identification of village territories and customary use rights;
  - Local and indigenous knowledge of biodiversity and natural resource use;
  - 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);
  - The potential livelihood impacts on men and women of new or more strictly enforced restrictions on use of resources in the area; and

- Potential conflicts over the use of natural resources, and methods for solving such conflicts.

12. **Criteria for eligibility of affected persons:** This section will describe how Indigenous Peoples and local communities will participate in establishing criteria for determining which groups and persons are eligible for assistance and mitigation measures. The criteria may exclude certain affected persons or groups from assistance because their activities are illegal (e.g., wildlife poachers, dynamite fishers). In most cases, these criteria will be developed, or refined, during project implementation.

This section should also identify vulnerable or disadvantaged groups and describe what special procedures and measures will be taken to ensure that affected persons from these groups will be able to benefit from assistance and mitigation measures.

13. **Measures to assist the affected persons:** This section should describe how Indigenous Peoples and local communities will be involved in determining measures that will assist affected persons in managing and coping with impacts from economic displacement. 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:

- Special measures for recognition and support of customary rights to land and natural resources;
- Transparent, equitable, and fair ways of more sustainable sharing of the resources;
- Access to alternative resources or functional substitutes;
- Alternative livelihood and income-generating activities;
- Health and education benefits;
- Employment, for example as park rangers or eco-tourist guides, as well as in wider project functions, such as stakeholder engagement, technical advice, or monitoring and evaluation; and
- Technical assistance to improve land and natural resource use, and marketing of sustainable products and commodities.

14. **Timeline and resources:** This section will present a timeline for determination and implementation of measures to assist the affected persons, together with an estimate of resource needs.

15. **Monitoring and evaluation:** This section will outline arrangements for participatory monitoring of project activities as they relate to (positive and adverse) impacts on persons at the project site(s), and for monitoring the effectiveness of the measures implemented to assist the affected persons.

16. **Disclosure:** CEPF requires that livelihood restoration and compensation plans are disclosed to affected local communities and other stakeholders. Please describe your efforts to disclose this plan.

## **Annex 7: Process Framework Template**

### **Process Framework for restrictions on access to natural resources**

**Date**

**CEPF Grant xxxxx**

**Grantee**

***Project Title***

**Project Location**

## **Grant Summary**

1. Grantee organization.
2. Project title.
3. Grant number.
4. Grant amount (US dollars).
5. Proposed dates of grant.
6. Countries where activities will be undertaken.
7. Summary of the project [copy and paste Project Rationale and Project Approach from proposal].
8. Date of preparation of this document.
9. **Restrictions on access to natural resources:** This section will describe how the project will introduce new or more stringent restrictions on access to natural resources. It should also describe the process by which affected persons participated in the project design.
10. **Participatory implementation:** This section will establish a process of meaningful consultation whereby affected persons will be involved in identifying adverse impacts and assessing of the significance of any impacts. It will also establish the criteria for eligibility for identifying persons eligible for any mitigation or compensation measures necessary.
11. **Measures to assist affected persons:** This section will describe the mitigation measures to minimize and, where possible, avoid adverse impacts on income and livelihoods. Where needed, measures will be identified to assist affected persons in their efforts to improve their livelihoods or restore them, in real terms, to pre-project levels. This section will also describe methods and procedures by which communities will identify and choose potential mitigation or compensation measures to be provided to persons adversely affected, and the procedures by which adversely affected community members will decide among the options available to them.
12. **Timeline and resources:** This section will present an implementation timeline for each measure listed in Section 11, together with an estimate of resource needs.
13. **Monitoring and evaluation:** This section will outline arrangements for participatory monitoring of project activities as they relate to (positive and adverse) impacts on persons at the project site(s), and for monitoring the effectiveness of the measures listed in Section 11.
14. **Disclosure:** CEPF requires that process frameworks are disclosed to affected local communities and other stakeholders. Please describe your efforts to disclose this plan.



## **Annex 8: Indigenous Peoples Plan Template**

### **Indigenous Peoples Plan**

**Date**

**CEPF Grant xxxxx**

**Grantee**

***Project Title***

**Project Location**

## **Grant Summary**

1. Grantee organization.
2. Project title.
3. Grant number.
4. Grant amount (US dollars).
5. Proposed dates of grant.
6. Countries where activities will be undertaken.
7. Summary of the project [copy and paste Project Rationale and Project Approach from proposal].
8. Date of preparation of this document.
  
9. **Indigenous People affected:** This section will provide a detailed description of the Indigenous People in the project area.
  
10. **Potential impacts:** This section will assess expected project impacts (both positive and adverse) on Indigenous People.
  
11. **Participatory preparation:** This section will describe the participation of affected communities during the project design process (i.e., prior to submission of the full proposal). It will explain how the project design incorporates indigenous knowledge and resource management arrangements.
  
12. **Participatory implementation:** This section will describe plans for meaningful consultation with affected Indigenous Peoples communities on their rights and options, and the process whereby Free, Prior and Informed Consent will be obtained prior to implementation of project activities affecting Indigenous Peoples.
  
13. **Mitigation measures:** This section will describe in detail measures to avoid, minimize and mitigate the adverse impacts identified under Section 10, to compensate for adverse impacts that cannot be otherwise mitigated, or to provide culturally appropriate benefits.
  
14. **Special measures:** This section will describe any special measures that will be taken to promote recognition and support of customary rights to land and natural resources, where requested by the affected communities. It will also describe special measures for women and marginalized generational groups necessary to ensure inclusive development activities.
  
15. **Timeline and resources:** This section will present an implementation timeline for each measure listed in sections 13 and 14, together with an estimate of resource needs and financing sources.
  
16. **Monitoring and evaluation:** This section will explain how compliance with Safeguard Policy 7 on Indigenous Peoples will be monitored and evaluated. Monitoring and evaluation methodologies should be adapted to the local context, indicators, and capacity. This section should include clear output and outcome indicators developed with the participation of the affected Indigenous Peoples.

17. **Capacity building and support:** This section will describe the capacity-building activities necessary for the affected communities to enhance their participation in project activities.
18. **Disclosure:** CEPF requires that Indigenous Peoples Plans are disclosed to affected local communities and other stakeholders. Please describe your efforts to disclose this plan.

## **Annex 9: Social Assessment Template**

### **Social Assessment**

**Date**

**CEPF Grant xxxxx**

**Grantee**

***Project Title***

**Project Location**

## **Grant Summary**

1. Grantee organization.
2. Project title.
3. Grant number.
4. Grant amount (US dollars).
5. Proposed dates of grant.
6. Countries where activities will be undertaken.
7. Summary of the project [copy and paste Project Rationale and Project Approach from proposal].
8. Date of preparation of this document.
  
9. **Indigenous People affected:** This section will describe the Indigenous People in the project area.
  
10. **Potential impacts:** This section will assess expected project impacts (both positive and adverse) on Indigenous People.
  
11. **Participatory preparation:** This section will describe the participation of affected communities during the project design process (i.e. prior to submission of the full proposal), and explain how Free, Prior and Informed Consent was obtained during project preparation or will be obtained prior to implementation of project activities affecting Indigenous Peoples.
  
12. **Mitigation measures:** This section will outline measures to avoid, minimize and mitigate adverse impacts and provide culturally appropriate benefits.
  
13. **Timeline and resources:** This section will present an implementation timeline for each measure listed in Section 12, together with an estimate of resource needs.
  
14. **Monitoring and evaluation:** This section will explain how compliance with Safeguard Policy 7 on Indigenous Peoples will be monitored and evaluated. Monitoring and evaluation methodologies should be adapted to the local context, indicators, and capacity.
  
15. **Disclosure:** CEPF requires that Social Assessments are disclosed to affected local communities and other stakeholders. Please describe your efforts to disclose this plan.

## **Annex 10: Cultural Heritage Plan Template**

### **Cultural Heritage Plan**

**Date**

**CEPF Grant xxxxx**

**Grantee**

***Project Title***

**Project Location**

## **Grant Summary**

1. Grantee organization.
2. Project title.
3. Grant number.
4. Grant amount (US dollars).
5. Proposed dates of grant.
6. Countries where activities will be undertaken.
7. Summary of the project [copy and paste Project Rationale and Project Approach from proposal].
8. Date of preparation of this document.
  
9. **Status of area to be impacted:** This section will describe the legal designation of the site(s) where project will be implemented.
  
10. **Cultural heritage present:** This section will describe the elements of tangible and intangible cultural heritage present at the project site(s), including a list of any legally protected cultural heritage areas.
  
11. **Potential risks and impacts:** This section will describe the potential risks and impacts of the proposed activities on cultural heritage.
  
12. **Measures to preserve cultural heritage:** This section will describe measures that will be taken to avoid the adverse impacts identified in Section 11, or to mitigate them, if avoidance is not possible. For projects that explicitly aim to promote or preserve cultural heritage, this section will present a strategy for doing so.
  
13. **Timeline and resources:** This section will present and implementation timeline for each measure listed in Section 12, together with an estimate of resource needs.
  
14. **Monitoring and evaluation:** This section will outline the steps you will take to monitor and evaluate the effectiveness of the measures listed in Section 12.
  
15. **Consultation:** This section will summarize the consultations carried out with stakeholders in preparation of the plan, particularly any local communities who may be particularly affected by the proposed activities. Include dates of consultations, and a summary of the number of women and men consulted, but do not include names of individuals.
  
16. **Chance find procedure:** A chance find procedure is a project-specific procedure which will be followed if previously unknown cultural heritage is encountered during project activities. It will be included in all contracts relating to construction of the project, including excavations, demolition, movement of earth, flooding or other man-made changes to the physical environment.

The chance find procedure will set out how chance finds associated with the project will be managed, and include requirements to:

- Notify relevant authorities of found objects or sites.

- Protect finds from further disturbance.
- Manage finds through meaningful consultation with stakeholders, based on a pre-defined approach.
- Train project workers on the chance finds procedure.

17. **Disclosure:** CEPF requires that Cultural Heritage Plans are disclosed to affected local communities and other stakeholders. Please describe your efforts to disclose this plan.



## **Annex 11: Gender Mainstreaming Plan Template**

### **Gender Mainstreaming Plan**

**Date**

**CEPF Grant xxxxx**

**Grantee**

***Project Title***

**Project Location**

## **Grant Summary**

1. Grantee organization.
2. Project title.
3. Grant number.
4. Grant amount (US dollars).
5. Proposed dates of grant.
6. Countries where activities will be undertaken.
7. Summary of the project [copy and paste Project Rationale and Project Approach from proposal].
8. Date of preparation of this document.
9. **Overview of gender issues**: This section will provide a brief overview of gender dimensions and issues within the context of the project, such as:
  - Population of men and women in the project area.
  - Livelihoods of the men and women.
  - Income/poverty, (un)employment and literacy rates for men and women.
  - Men and women's role in the household and community (e.g., what types of decisions do men and women get to make in the household and community?).
  - Social structure/order in the communities/project area: Do women attend meetings/participate in projects? Do women speak out in meetings before men/elders? Are women allowed to own land, have access to credit, can open a bank account on her own?
  - Statistics and trends in sexual or gender-based violence (GBV).
  - Commonly held beliefs, perceptions, and stereotypes related to gender.
10. **Gender analysis**: This section will provide an analysis of gender roles, responsibilities, uses and needs relating to the natural resources on which the project will be based, such as:
  - How do women and men currently utilize the natural resources that the project impacts? How might that change during and after the project?
  - How will women and men be impacted (positively or adversely) by project activities including on their livelihoods, workload, control over resources, etc.?
  - To what extent do women and men participate in decision-making processes about those natural resources and is that likely to carry over into project decision-making? What are the constraints (social, cultural, economic, political) that restrict women's active participation in household, community and project-level decision-making processes?
  - Do women and men have equal access to information and opportunities necessary to participate and benefit fully from the activities of the project? How do gender-related barriers/challenges potentially limit women's ability to fully participate, make decisions and benefit from the project? How will the project overcome them?
  - What are the different interests, needs and priorities of men and women within the project context? How will the project be able to address their respective needs and priorities?
  - How might project activities create new opportunities (economic, leadership, etc.) for women?

- Is there a possibility that project activities may perpetuate/increase inequalities, including gender-based violence?
- What is the level of gender awareness and capacity to address gender issues amongst local authorities, project partners and project staff?

11. **Gender mainstreaming measures:** This section will describe measures to ensure that project activities and decision making are as inclusive as possible, regardless of gender, and that any benefits are shared equitably.
12. **Risk mitigation measures:** This section will describe specific actions and activities to ensure that gender-related adverse impacts of the project are avoided, minimized and/or mitigated appropriately. It will also describe additional actions and activities to close relevant gender gaps.
13. **Timeline and resources:** This section will present and implementation timeline for each measure listed in sections 11 and 12, together with an estimate of resource needs.
14. **Monitoring and evaluation:** This section will outline the steps you will take to monitor and evaluate the effectiveness of the measures listed in sections 11 and 12. This section will specify gender-sensitive and sex-disaggregated indicators for use by the project.
15. **Disclosure:** CEPF requires that Gender Mainstreaming Plans are disclosed to affected local communities and other stakeholders. Please describe your efforts to disclose this plan.

## **Annex 12: Stakeholder Engagement Plan Template**

### **Stakeholder Engagement Plan**

**Date**

**CEPF Grant xxxxx**

**Grantee**

***Project Title***

**Project Location**

## **Grant Summary**

1. Grantee organization.
2. Project title.
3. Grant number.
4. Grant amount (US dollars).
5. Proposed dates of grant.
6. Countries where activities will be undertaken.
7. Summary of the project [copy and paste Project Rationale and Project Approach from proposal].
8. Date of preparation of this document.
  
9. **Potential risks and impacts:** This section will briefly describe the potential social and environmental impacts (positive and adverse) of the project. Where possible, include maps of the project site(s) and surrounding area.
  
10. **Participatory preparation:** If you have undertaken any activities to date, including information disclosure and/or consultation, provide the following details:
  - Type of information disclosed, in what form (e.g., oral, brochure, reports, posters, radio, etc.), and how it was disseminated.
  - Locations and dates of any meetings undertaken to date.
  - Individuals, groups, and/or organizations consulted.
  - Key issues discussed and key concerns raised.
  - Response to issues raised, including any commitments or follow-up actions.
  - Process undertaken for documenting these activities and reporting back to stakeholders.
  
11. **Project stakeholders:** This section will 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 (i.e., project-affected parties);  
or
  - Have interests in the project that determine them as stakeholders (i.e., other interested parties).

Key stakeholder groups may include affected communities, non-governmental organizations, local and national authorities, and private landowners. They can also include politicians, companies, labor unions, academics, religious groups, national social and environmental public sector agencies, and media agencies.

12. **Information methods:** This section will summarize the methods that will be used to inform stakeholders about the project. It will 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 identified groups of stakeholders. Methods used may vary according to target audience, for example:
  - Newspapers, posters, radio, television.
  - Information centers and exhibitions or other visual displays.
  - Brochures, leaflets, posters, non-technical summary documents and reports.

13. **Consultation methods:** This section will describe the methods that will be used to consult with each of the stakeholder groups identified in Section 11. Methods used may vary according to the 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.
  - Other traditional mechanisms for consultation and decision-making.
14. **Other engagement activities:** This section will describe any other engagement activities that will be undertaken, including participatory processes, joint decision-making, and/or partnerships undertaken with local communities, NGOs, or other stakeholders. Examples include benefit-sharing programs, community development initiatives, job creation initiatives, and/or training and microfinance programs.
15. **Timeline and resources:** This section will present and implementation timeline for each stakeholder engagement activity listed in Sections 12 to 14, together with an estimate of resource needs.
16. **Monitoring and evaluation:** This section aims to outline what steps you will take to monitor and evaluate the effectiveness of the stakeholder engagement activities listed in Sections 12 to 14.
17. **Disclosure:** CEPF requires that Stakeholder Engagement Plans are disclosed to affected local communities and other stakeholders. Please describe your efforts to disclose this plan.
18. **Grievance redress mechanism:** For all CEPF-funded projects, the grantee must provide local communities and other relevant stakeholders with a means to raise a grievance, and whereby this grievance may be considered and satisfactorily resolved.

This mechanism must include, at a minimum, the following elements:

- Email and telephone contact information for the grantee organization.
- Email and telephone contact information for the CEPF Regional Implementation Team.
- The [contact](#) information for the CI Ethics Hotline (telephone: +1-866-294-8674 / web portal: <https://secure.ethicspoint.com/domain/media/en/gui/10680/index.html>).
- A statement describing how you will inform stakeholders of the objectives of the project and the existence of the grievance mechanism (e.g., posters, signboards, public notices, public announcements, use of local languages).
- A statement that you will share all grievances – and a proposed response – with the Regional Implementation Team and the CEPF Grant Director within 15 days. If the claimant is not satisfied following the response, they may submit the grievance via the CI Ethics Hotline (toll-free telephone line: +1-866-294-8674 / secure web portal: <https://secure.ethicspoint.com/domain/media/en/gui/10680/index.html>).

Following the guidance above, describe the grievance redress mechanism that you will use.

## **Annex 13: Safeguard Monitoring Report Template**

### **Grant Summary**

1. Grantee organization.
2. Grant title.
3. Grant number.
4. Proposed dates of grant.
5. Period covered by this report.
6. Date of preparation of report.
  
7. **Summary of activities implemented to comply with environmental and social standards:** This section should describe the actions you took during the reporting period to comply with the requirements of the relevant social and/or environmental standards. It should also include information on any environmental parameters that were monitored. Where relevant, descriptions of meetings with project stakeholders, including persons attending, issues discussed, and actions agreed (if any) should be given.
  
8. **Grievance mechanism:** This section should describe the grievance mechanism you have put in place for the project, and list any grievances received during the reporting period, including a summary of actions taken to address them.
  
9. **Action points:** This section should describe any measures that you need to implement to address adverse social or environmental impacts that were identified during the reporting period. Any measures that require changes to project design should be highlighted.
  
10. **Supporting documents:** Supporting documents should be submitted as attachments.



## Annex 14: Full Ethical Review Form

SECTION 1: PROJECT DETAILS		
A. Project title:		B. Country of implementation:
C. Length of project:	D. Start date:	E. End date:
F. Project summary:		
G. Project objectives:		
H. Project components and main activities:		
I. Project total budget and funding sources:		

SECTION 2: APPLICANT DETAILS
A. Executing organization:
B. Principal Investigator (PI) contact info: <i>(name, position, institution, email, phone)</i>
C. List of co-investigators: <i>(name, institution and location)</i>
D. List of other key personnel: <i>(name, institution and location)</i>
Comments:

SECTION 3: INFORMATION ABOUT PARTICIPANTS
A. How many participants are expected to be included in the research?
B. What criteria will be used in deciding on the inclusion and exclusion of participants?
<p>C. Are any of the participants likely to:</p> <ul style="list-style-type: none"> <li>• be a minor? (yes/no)</li> <li>• be physically or mentally ill? (yes/no)</li> <li>• have a disability? (yes/no)</li> <li>• be members of a vulnerable population or stigmatized minority? (yes/no)</li> <li>• be not proficient in one of the main national languages? (yes/no)</li> <li>• be in a client or professional relationship with any of the researchers? (yes/no)</li> <li>• be in a student-teacher relationship with any of the researchers? (yes/no)</li> <li>• be in any other dependent relationship with any of the researchers? (yes/no)</li> <li>• have difficulty in reading and/or comprehending any printed material distributed as part of the research process? (yes/no)</li> <li>• be vulnerable in other ways? (yes/no)</li> </ul>
If <b>yes</b> to any of the above, explain and describe the general measures that will be used to protect and/or inform participants:

D. Will it be difficult to ascertain whether participants are vulnerable in any of the ways listed above (e.g., where participants are recruited via the internet)? (yes/no)
If <b>yes</b> , what measures will be used to verify the identity of participants and protect vulnerable participants?
E. How will the sample be recruited?
F. Will participants receive and financial or other material benefits because of participation? (yes/no)
If <b>yes</b> , what benefits will be offered to participants and why?
<b>Comments:</b>

**SECTION 4: POTENTIAL RISKS TO PARTICIPANTS AND/OR RESEARCHERS**

<p>CEPF recognizes that research has the potential to negatively impact, directly or indirectly, not only its subjects but also individuals or institutions discussed in the study, researchers, communities, and/or the sponsors of the research. The impact can be social, financial, physical or psychological.</p> <p>This policy defines <u>research risk</u> as the potential for research projects to cause physical or psychological harm, discomfort or stress to human subjects (participants and researchers). Research risks also include potential harm to the participant’s social or occupational status, privacy, values and beliefs, and relationships with family members and the community as a whole.</p> <p>The purpose of this section is to identify and disclose potential direct or indirect research risks to human subjects, as well as to identify the appropriate risk avoidance and mitigation measures to be implemented by the study.</p>
A. Is it likely that the research will induce any psychological stress or discomfort to participants? (yes/no)
If <b>yes</b> , state the nature of the risk and what measures will be taken to avoid, minimize and/or mitigate potential risks:
B. Does the research require any physically invasive or potentially physically harmful procedures for the participants? (yes/no)
If <b>yes</b> , provide details and outline procedures to be put in place to avoid, minimize and/or mitigate potential risks:
C. Does the research involve sensitive topics, such as participants’ illegal activities, experience of violence, abuse or exploitation, mental/physical health, sexual behavior or ethnic status? (yes/no)
If <b>yes</b> , provide details about sensitive topics that will be involved in the research:
D. Is it likely that this research will lead to the disclosure of information about illegal activities (e.g., unauthorized logging, wildlife poaching) or any other information that

would require the researcher(s) to breach confidentiality conditions agreed upon with participants? (yes/no)
If <b>yes</b> , indicate the likelihood of such disclosure and your proposed response to this:
E. Is it likely that the research findings could be used in a way that would adversely affect participants or particular groups of people, including but not limited to the displacement or resettlement of vulnerable populations, change in traditional or customary rights, and discrimination? (yes/no)
If <b>yes</b> , describe the potential risk for participants of the use of the data being collected. Outline any steps that will be taken to protect participants:
F. Is it likely that participation in this research could adversely affect participants in any other way? (yes/no)
If <b>yes</b> , provide details and outline procedures to be put in place to address such problems:
G. Is this research expected to benefit the participants, directly or indirectly? (yes/no)
If <b>yes</b> , provide details of the benefits and how they will be explained to the participants:
H. Will the true purpose of the research be concealed from the participants? (yes/no)
If <b>yes</b> , explain what information will be concealed and why:
I. Is the research likely to involve any psychological, physical or social risks to the researcher, and/or research assistants, including those recruited locally? (yes/no)
If <b>yes</b> , explain what measures will be taken to ensure adequate protection/support:
J. Is the research likely to impact negatively institution(s) discussed in the study and/or the sponsor(s) of the research? (yes/no)
If <b>yes</b> , explain what measures will be taken to ensure adequate protection/support:
<b>Comments:</b>

<b>SECTION 5: PARTICIPANT INFORMATION AND CONSENT</b>
CEPF believes that participation in research studies must be fully free and voluntary, and consent must be obtained by researchers before implementation begins.  The purpose of this section is to provide information on how consent from research subjects will be obtained. This section is also where the PI provides the appropriate justification in cases where consent will be either unnecessary or unobtainable.
A. Will consent, either written and/or audio/video taped, be obtained from participants? (yes/no)

If <b>yes</b> , attach a copy of the research project information sheet and consent forms:
B. In some contexts of ethnographic research, written consent may not be obtainable or may not be meaningful. If consent will <b>not</b> be obtained, explain why circumstances make obtaining consent problematic:
C. Will administrative consent be obtained <i>in lieu</i> of participants' consent? (yes/no)
If <b>yes</b> , explain why individual consent is not considered necessary:
D. In the case of research conducted online or using online technology to access participants, will consent be obtained from participants? (yes/no)
If <b>yes</b> , explain how this consent will be obtained:
If <b>no</b> , provide reasons:
E. In the case of minor children participating in the research on an individual basis, will the consent of parents be obtained? (yes/no)
If <b>yes</b> , explain how this consent will be obtained:
If <b>no</b> , provide reasons:
F. In the case of participants whose first language is not one of the main national languages, will arrangements be made to ensure informed consent? (yes/no)
If <b>yes</b> , what arrangements will be made:
If <b>no</b> , provide reasons:
G. In the case of participants that have difficulty in reading and/or comprehending any printed material distributed as part of the research process and/or providing their written consent, will arrangements be made to ensure informed consent? (yes/no)
If <b>yes</b> , what arrangements will be made:
If <b>no</b> , provide reasons:
H. In the case of participants with disabilities (e.g. learning difficulties or mental health problems), will arrangements be made to ensure informed consent? (yes/no)
If <b>yes</b> , what arrangements will be made:
If <b>no</b> , provide reasons:
I. Many funders encourage making datasets available for use by other researchers. Will the data collected in this research be made available for secondary use? (yes/no)
If <b>yes</b> , explain how data will be made available and what arrangements will be put in place to ensure the consent of participants to secondary use:

**Comments:**

**SECTION 6: PROTECTION OF PERSONAL IDENTIFIABLE INFORMATION (PII)**

CEPF believes that researchers must respect the confidentiality of information provided by and the anonymity of participants, unless otherwise agreed upon by the parties.

This section defines Personal Identifiable Information (PII) as the data elements associated with a specific individual that can be accessed and used in such a way that the identity of the individual who submitted the information is known.

The purpose of this section is to provide information on how PII will be treated by researchers, including but not limited to compliance with local data protection legislation as well as methods and timeframe for PII collection, retention, storage, de-identification and final disposal.

A. Is there local data protection legislation in the country where the research will be conducted? (yes/no)

If **yes**, explain how this research will comply with the local legislation (*and provide a link to or copy of the relevant legislation*):

B. Will participants in this research be identifiable?

If **yes**, explain how participants will be identified in the research:

C. Will any part of the research involving participants be audio/film/video taped or recorded using any other electronic medium?

If **yes**, explain what medium will be used and how the recordings will be used:

D. Have the participants waived their rights to confidentiality? (yes/no)

If **no**, describe the measures that will be taken to ensure confidentiality of the information:

E. Have the participants waived their rights to anonymity? (yes/no)

If **no**, describe the measures that will be taken to ensure anonymity of the participants:

F. Who will have access to the raw data from this research?

G. Will the datafiles/audio/video tapes, etc. be disposed after the study? (yes/no)

How long will they be retained?

How will they eventually be disposed of?

H. How will the results of the research be used?

I. Will the data collected in this research be made available for secondary use? (yes/no)

If <b>yes</b> , explain how personal identifiable information will be treated to protect participants' confidentiality and anonymity:
J. Will participants be debriefed at the conclusion of the study? (yes/no)
If <b>yes</b> , explain when and how they will be debriefed:
If <b>no</b> , explain why they will not be debriefed:
K. Will participants have access to the final results of the research in a language and format understandable by them?
If <b>yes</b> , explain when and how they will have access to the final results:
If <b>no</b> , explain why they will not have access:
<b>Comments:</b>

<b>SECTION 7: UNPLANNED/UNANTICIPATED PROBLEMS</b>
A. Is the research likely to encounter any significant ethical risks that cannot be planned for at this stage? (yes/no)
If <b>yes</b> , indicate what arrangements are being made to address these risks as they arise in the course of the project:
<b>Comments:</b>

<b>SECTION 8: CONFLICT OF INTEREST</b>
The purpose of this section is to identify any conflicts of interest or partiality, and to provide mechanisms for disclosing and/or resolving such conflicts, before implementation of the research begins.
A. Does the research involve a conflict of interest? (yes/no)
If <b>yes</b> , provide details and explain the arrangements that will be put in place to disclose/resolve the conflict of interest:
<b>Comments:</b>

<b>SECTION 9: TRAINING AND CERTIFICATION OF TRAINING</b>
The purpose of this section is to ensure that PIs and key personnel have been provided with appropriate training in Responsible Conduct of Research. Various accredited training programs are available online. The PI is responsible for ensuring that key personnel who do not have access to online training receive comparable training.
A. Has the PI completed Responsible Conduct of Research training? (yes/no)

If <b>yes</b> , provide the date of completion ( <i>attach proof of completion</i> ):
If <b>no</b> , provide the date when the training will be completed:
B. Have the other key personnel of the research completed Responsible Conduct of Research training? (yes/no)
If <b>yes</b> , provide the date of completion ( <i>attach proof of completion</i> ):
If <b>no</b> , provide the date when the training will be completed:
<b>Comments:</b>

<p>I, the undersigned, acknowledge that: (1) this application is an accurate and complete description of the proposed research; and (2) the research will be completed in compliance with the recommendations of and only after approval has been received from the CEPF Secretariat.</p> <p>As the Principal Investigator, I acknowledge that I am responsible for all aspects of this research, including reporting any serious adverse events or problems to the CEPF Secretariat, requesting prior approval from the CEPF Secretariat for any modifications, and requesting continuing review and approval.</p>	
<b>PI signature:</b>	<b>Date:</b>