

CI-GEF PROJECT AGENCY PROJECT SAFEGUARDS SCREENING FORM

The CI-GEF Project Agency undertakes environmental screening of each proposed project to determine whether an Environmental and Social Impact Assessment (ESIA) is required and if so, the appropriate extent and type of ESIA. The CI-GEF Project Agency classifies the proposed project into one of three categories, depending on the type, location, sensitivity, and scale of the project and the nature and magnitude of its potential environmental impacts. The descriptions of the categories are found in the Appendix section (Paragraph 8).

All proposed activities will undergo screening to determine eligibility under GEF and CI policies, the type of ESIA that they are subject to and assess if the proposed project activities trigger any of the GEF Safeguards.

The Executing Entity is responsible for providing response to each of the questions outlined in this form when submitting a Project Identification Form (PIF) to the Project Agency for consideration.

The Project Agency is responsible for conducting all aspects of the screening process, from initiation to making the final decision on whether or not an ESIA is necessary and, if so, at what level along with whether a project-level plan is required if a safeguard is triggered.

I. PROJECT DATA SUMMARY		
Country: Liberia	CI Project ID:	
Project Title: Improve sustainability of mangrove conservation as a building block towards the creation of Coastal and Marine Protected Areas	GEF Project ID:	
Name of the Executing Entity(ies): CI-Liberia, EPA Liberia		
Length of Project: 3 years	Start date: September 2014	End date: September 2017
Introduction: (location, main issues to be addressed by project)		
<p>Biological diversity in Liberia has declined significantly over the years with the significant degradation of the country's ecosystems and the rapid loss of many species. In Liberia, one can find mangroves near lagoons and rivers from Cape Mesurado to Cape Palmas. Unfortunately, most primary mangrove forest has been lost in Liberia due to road building, landfill, fuelwood collection and urban expansion. The greatest damage to the mangrove forests has occurred near larger towns such as Monrovia, Buchanan, Greenville, and Harper. In fact, <i>Rhizophora racemosa</i> has been eradicated in many areas due to urban growth</p>		
Project Background: (description of physical, biological and socioeconomic context)		
<p>Updated information is sketchy and conflicting on the extent of mangroves in Liberia. The UNEP report (Mangroves of Central and Western Africa, 2007) provide the following overview on the extent of mangroves in Liberia, however the report failed to provide any explanation on the variance between 2005 (65% decline) and 2006 (43% decline), based on 1980 estimates (see chart on next page).</p>		
Table of Mangrove area estimates		

Source Year	1980	1990	1997	2000	2005	2006
Area [km2]	193	143	427	92.5	67.5	110

Mangroves are valued economically because of their utility as fish nurseries and the support they provide to traditional fisheries. In particular, the mangrove systems around Monrovia are important breeding grounds for various commercially viable aquatic species, including fish, crabs, shrimps and water snail (Wiles, 2005). The fishery sub-sector provides about 65% of the protein needs of the country and contributes about 10% to GDP (Government of Liberia, 2004). Local communities depend on mangrove wetlands for subsistence and local commerce, using wood to provide energy supplies, food, shelter, water and medicine and raffia palm for weaving and other ecological services. The economic pressures and limited employment opportunities during and after the war have compelled many families to grow rice for the first time in order to survive. This drove cultivation of land that had never previously been considered for rice production, such as the coastal mangrove swamps. As a result, there are many more families producing rice now than in pre-war times, albeit with smaller plots (UNEP 2007).

Project Objectives: To strengthen the conservation and sustainable use of globally important mangrove forests through effective participatory land-use planning and establishment of marine and coastal protected areas in Liberia

Project Components and Main Activities:

Component 1: Enabling conditions for establishment of coastal and marine protected areas in 20% of priority mangrove forests (15% as National Protected Areas and 5% as Community conserved mangrove forest (ICCAs)

Main activities:

- Multi-stakeholder identification and delineation process for the establishment of national and community protected areas in priority mangrove forest areas completed by Q1Y2
- Participatory management plans for two proposed national protected areas developed by Q1Y3 and on-the-ground management activities initiated by Q2Y3
- Financial plan, including establishment and management costs in short, medium and long terms, for the inclusion of priority mangrove forests into the Protected Areas Network of Liberia, completed by Q2Y3
- At least 2 areas for community conservation, totaling at least 5% of priority mangroves, identified and protected through community based conservation agreements or other legal mechanisms by Q3Y3
- Advocacy to create awareness and support for the creations of new coastal and marine protected areas within the appropriate government agencies, ministries and legislature completed by Q4Y3

Component 2: Reducing pressures to priority mangrove areas through integrated land-use planning and improving local community livelihoods

Main activities:

- Multi-stakeholder integrated land-use planning and decision support toolkit (with key information gathered) for priority mangrove forests and immediate buffer areas in the wider landscape completed and applied to the priority mangrove areas by Q4Y1

- Five-year monitoring and evaluation program for the mangrove forests developed by Q4Y2 and being implemented by the EPA by Q1Y3
- Plans for demonstration sites developed for sustainable management and restoration by local communities within 4 priority mangrove areas by Q3Y3 and implemented by Q4Y3
- Conservation agreements signed and being implemented with at least 10 communities providing local economic development (alternative livelihoods) and community involvement in mangrove protected areas management (governance) strengthened in and around key proposed protected areas by Q3Y3
- Capacity building programs, based on needs assessment, designed and delivered to at least 50 government officials and 1,000 members in 4 local communities by Q2Y3

Compliance with Environmental Conventions:

Explain how your project's objectives, outcomes and outcomes align with the main conventions that CI adheres to. These include UNCBD, UNFCCC, RAMSAR Convention, CITES, and UNCCD.

The project proposes to create additional protected areas within Liberia, thus contributing to the Aichi targets of the UNCBD. Mangrove forests also tend to overlap with areas designated or to be designated as RAMSAR sites. By establishing these areas under formal protection we will ensure that the objectives of the RAMSAR designation are upheld.

Compliance with Country Legal and Institutional Frameworks:

1. Explain how your project aligns with national laws and/or frameworks related to the environment (this may include national ESIA or EIA laws, etc.)

This project both supports and is developed within Liberian national laws, especially the Environment Protection and Management law of 2003 and the New Forestry Law of 2006 and the subsequent Environmental and forestry management policies. The project will fully comply with the national EIA policies of Liberia, ensuring no negative impacts on the environment. The EPA, the agency tasked with ensuring compliance with environmental laws and policies is the co-executioner of this project and thus will be able to guide the project throughout its implementation to ensure alignment.

2. When national legal and institutional frameworks are inadequate, the proposal is to include a statement explaining how this problem will be addressed, either as part of the project or by a third party.

Not applicable

3. When national legal and institutional frameworks do not apply to or impact the project and its objectives, the reason for that conclusion need to be stated.

Not applicable

Project Justification (e.g. Alignment with Country and CI Institutional Priorities, GEF Focal Area Strategies):

Alignment with GEF Focal Areas: LD3 – Integrated Landscapes: Reduce pressures on natural resources from competing land uses in the wider landscape. *BD-2: Mainstream Biodiversity Conservation and Sustainable use into*

<i>production landscapes, seascapes and sectors BD-1: Improve sustainability of Protected Areas Systems</i>
<i>Alignment with CI/CI-Liberia Institutional Priorities: Gaborone Declaration (number 2)</i>
Estimated Appraisal Date: TBD
GEF Focal Area: Biodiversity, Land Degradation
GEF Project Amount: USD 1,190,000
Other Financing Amounts by Source: 4 million, Government of Liberia, CI and partners, WB FCPF, GCF
Screening Form Prepared by: Jessica Donovan-Allen, Jaco Venter
Date of preparation: February 10, 2014
Comments:

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

¹ Habitats considered essential for biodiversity conservation, provision of ecosystem services and the well-being of people at the local, national, regional or global levels. They include, among others, existing protected areas, areas officially proposed as protected areas, areas recognized as protected by traditional local communities, as well as areas identified as important for conservation (Key Biodiversity Areas [KBAs], Alliance for Zero Extinction [AZE] Sites, areas identified as important for ecosystem services such as carbon storage, freshwater provision and regulation, etc.).

III. PROJECT ELEGIBILITY ASSESSMENT

If you answer **YES** to any of the questions above, your project **IS NOT ELIGIBLE** for funding

If you answer **NO** to all of the questions above, please proceed to answer the safeguard questions below

IV. SAFEGUARD QUESTIONS

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

SECTION 1: ENVIRONMENTAL AND SOCIAL IMPACT ASSESSMENT (ESIA)

Has a full or limited ESIA that covers the proposed project already been completed?

NO → Continue to Section 2 (do not fill out Table 1.1 below)

YES → No further environmental and social assessment is required **if** the existing documentation meets the CI-GEF Project Agency “*Environmental and Social Management Framework (ESMF)*” policies and standards, and environmental and social management recommendations and/or plans are integrated into the project. Therefore, you should undertake the following steps to complete this screening process:

1. Use Table 1.1 below to assess existing documentation. (It is recommended that this assessment be undertaken jointly by the CI-GEF Project Agency and the Executing Entity);
2. Ensure that the development of the full Project Document incorporates the recommendations made in the existing ESIA; and
3. Submit this template, along with other relevant documentation to the Project Agency.

TABLE 1.1: CHECKLIST FOR APPRAISING QUALITY ASSURANCE OF EXISTING ENVIRONMENTAL AND SOCIAL IMPACT ASSESSMENT (ESIA)

1. Is the assessment a:		
<input type="checkbox"/> A FULL ESIA		
<input type="checkbox"/> A LIMITED ESIA	Yes	No
2. Does the assessment meet its terms of reference, both procedurally and substantively?	<input type="checkbox"/>	<input type="checkbox"/>
3. Does the assessment provide a satisfactory assessment of the proposed project?	<input type="checkbox"/>	<input type="checkbox"/>
4. Does the assessment contain the information required for decision-making?	<input type="checkbox"/>	<input type="checkbox"/>
5. Does the assessment describe specific environmental and social management measures (e.g.	<input type="checkbox"/>	<input type="checkbox"/>

avoidance, minimization, mitigation, compensation, monitoring, and capacity development measures)?		
6. Does the assessment identify capacity needs of the institutions responsible for implementing environmental and social management issues?	<input type="checkbox"/>	<input type="checkbox"/>
7. Was the assessment developed through a consultative process with key stakeholder engagement, including issues related to gender mainstreaming?	<input type="checkbox"/>	<input type="checkbox"/>
8. Does the assessment assess the adequacy of the cost of and financing arrangements for environmental and social management issues?	<input type="checkbox"/>	<input type="checkbox"/>
9. For any “no” answers, describe below how the issue has been or will be resolved or addressed		

SECTION 2: PROTECTION OF NATURAL HABITATS

Will the project cause or facilitate any significant loss or degradation to critical natural habitats, and their associated biodiversity and ecosystem functions/services?

NO → Continue to Section 3

YES → Continue to Table 2.1. below

TABLE 2.1: CHECKLIST FOR PROTECTION OF NATURAL HABITATS	Yes	No
1. Is the project located near or in existing protected areas?	<input type="checkbox"/>	<input type="checkbox"/>
<i>If your answer was yes, please provide the following information:</i>		
a. Name, extent, category, governance arrangement, and current management of protected areas being affected by the project:		
b. Description of project activities that will affect existing protected areas:		
2. Is the project located within any other type of critical natural habitat?	<input type="checkbox"/>	<input type="checkbox"/>
<i>If your answer was yes, please provide the following information:</i>		
a. Description of the critical natural habitat to be affected by the project:		
b. Description of project activities that will affect critical natural habitats:		
3. Will the project affect species identified as threatened at the local and/or global levels?	<input type="checkbox"/>	<input type="checkbox"/>

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

a. Name and conservation status of the species that will be affected by the project:

b. Description of project activities that will affect threatened/endangered species:

4. Will the project implement habitat restoration activities:	<input type="checkbox"/>	<input type="checkbox"/>
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If your answer was yes, please provide the following information:

a. Type and extent of habitats to be restored:

b. Description of project activities for habitat restoration:

c. Description of the contribution of the project in restoring or improving ecosystem composition, structure, and functions/services:

SECTION 3: INVOLUNTARY RESETTLEMENT
<p>Will the project involve the <u>voluntary</u> resettlement of people and/or direct or indirect restrictions of access to and use of natural resources?</p> <p><input type="checkbox"/> NO → Continue to Section 4</p> <p><input checked="" type="checkbox"/> YES → Continue to Table 3.1. below</p>

TABLE 3.1: CHECKLIST FOR INVOLUNTARY RESETTLEMENT	Yes	No
1. Will the project involve the <u>voluntary</u> resettlement of people?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<p><i>If your answer was yes, please provide the following information:</i></p> <p>a. Name of communities, ethnicity, and estimated number of people to be resettled:</p> <p>b. Means by which the community(ies) provided or will provide consent for the resettlement:</p> <p>c. Description of the activities that will be carried out for the resettlement:</p>		
2. Will the project introduce displacement measures to remove or restrict people from accessing or using resources?	<input checked="" type="checkbox"/>	<input type="checkbox"/>

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

a. Name, tenure status, type of use and extent (quantity) of the resources being used:

Within Liberia mangrove areas are being used by local communities for fuel wood, charcoal, building supplies and other household needs. The biodiversity within mangrove forests is also being used for food, medicines, and other household needs.

b. Description of project activities that will affect access to natural resources and their potential positive and negative impacts on the environment and people:

The proposed project intends to better assess and quantify these uses and to develop and promote alternatives within the communities. The project also plans to conduct detailed land use planning with these communities and other stakeholders to ensure the maximum benefits to both biodiversity and livelihoods are promoted. Through the creation of community and national protected areas, specific areas will be designated as core conservation areas where access will be restricted. The project seeks to negate or minimize the effects of restricted access through the provision of sustainable livelihoods in other areas. In all cases this will be done in a participatory process fully respecting the principles of FPIC. CI Liberia has recently developed a toolkit for stakeholder engagement best practice including FPIC which will be used throughout this project. Also our proposed implementation of conservation agreements fully incorporates FPIC and relies on the adequate incentives for communities to support conservation measures.

SECTION 4: INDIGENOUS PEOPLES

Does the project plan to work in lands or territories traditionally owned, customarily used, or occupied by indigenous peoples?

NO → Continue to Section 5

YES → Continue to Table 4.1. below

TABLE 4.1: CHECKLIST FOR INDIGENOUS PEOPLES	Yes	No
1. Will the project activities directly or indirectly affect indigenous peoples?	<input type="checkbox"/>	<input checked="" type="checkbox"/>

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

- a. Name of communities, ethnicity, estimated number of people to be affected by the project:

- b. Description of the project activities and their impacts on indigenous peoples:

- c. Means by which the project will respect free, prior and informed consent (FPIC) with the affected communities:

- d. Description of the approach to be implemented to ensure that that indigenous peoples receive culturally appropriate benefits that are negotiated and agreed upon with them:

- e. Description of the approach to be implemented to ensure the fair participation of indigenous people in the design and implementation of the project:

SECTION 5: PEST MANAGEMENT

Does the project plan to implement activities related to agricultural extension services including the use of approved pesticides (including insecticides and herbicides) or invasive species management?

- NO** → Continue to Section 6
- YES** → Continue to Table 5.1. below

TABLE 5.1: CHECKLIST FOR PEST MANAGEMENT		
	Yes	No
1. Will the project include the use of approved pesticides?	<input type="checkbox"/>	<input type="checkbox"/>

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

a. Name, description and proposed use of approved pesticides:

b. Description of how the Executing Entity will conduct the assessment of the nature and degree of associated risks, taking into account the proposed use and intended users:

c. Description of how the Executing Entity will train communities to responsibly manage products, equipment, and containers to avoid harm to human health or broader environmental contamination:

d. Description of how the Executing Entity will avoid the use of herbicides and pesticides near water sources and their contamination with pesticide residues when cleaning the equipment used:

e. Description of how the Executing Entity will ensure that pesticides used would be properly applied, stored, and disposed of, in accordance with practices acceptable to the CI-GEF Project Agency:

2. Will the project include the use of ecologically-based biological/environmental integrated pest management practices (IPM) and/or Integrated Vector Management (IVM)?	<input type="checkbox"/>	<input type="checkbox"/>
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If your answer was yes, please provide the following information:

a. Description of approach to be used:

b. Description of potential positive and negative impacts of the approach to be used in the project:

d. Description of how the Executing Entity will assess the risk of the danger to non-target species:

e. Description of how the Executing Entity will train communities to responsibly implement these approaches:

SECTION 6: PHYSICAL CULTURAL RESOURCES

Does the project plan to remove, alter or disturb any physical cultural resources (PCRs) ²?

NO → Continue to Section 7

YES → Continue to Table 6.1. below

TABLE 6.1: CHECKLIST FOR PHYSICAL CULTURAL RESOURCES (PCR)	Yes	No
1. Will the project plan to work in areas that fall into categories under PCR, including archaeological, paleontological, historical, architectural, and sacred sites including graveyards, burial sites, and sites with unique natural values?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<p><i>If your answer was yes, please provide the following information:</i></p> <p>a. Name and description of the known physical cultural resources to be affected by the project:</p> <p>b. Description of project activities to be implemented and their positive and negative impacts on PCRs:</p> <p>c. Description of the mitigating measures to be implemented by the Executing Entity:</p> <p>d. Description of how the Executing Entity will handle issues related to consultations, siting, change-finds procedures, construction contracts and buffer zones:</p>		

SECTION 7: ADDITIONAL INFORMATION

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

Stakeholder	Engagement
Forestry Development Authority (FDA)	The FDA is the current custodian of the protected areas network; they will therefore be key to this project as we look to include mangrove forests in this network. The FDA will be a key coordinating partner throughout preparation and implementation of the project.
Maritime Authority	The Maritime Authority manages Liberia's waterways and coastal areas and as such plays an active role in mangrove management. The Maritime Authority will be

² PCRs are defined as movable or immovable objects, sites, structures, and natural features and landscapes that have archeological, paleontological, historical, architectural, religious, aesthetic, sacred sites or other cultural significance.
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	key coordinating partner throughout preparation and implementation of the project.
Ministry of Lands Mines and Energy	With the responsibility for land and land designations throughout the country the Ministry of Lands Mines and Energy will be fully consulted and engaged throughout the project preparation and implementation.
Land Commission	The Land Commission is currently working on land reform and land conflict resolution. Their involvement will be key in clarifying ownership issues and ensuring propos designation of mangrove use and protection. They therefore will be consulted during project planning and implementation meetings.
National Bureau of Fisheries, Ministry of Agriculture	The BNF is working to promote the sustainable development of the fisheries sector in Liberia, balancing the needs of ecosystem health, food security, economic growth and development within a framework of good governance. The BNF's involvement will be essential to ensuring coordination with the West Africa Regional Fisheries Program and therefore will be consulted regularly.
Liberia Coast Guard	Liberia's new Coast Guard is key to policing Liberia's seas, protecting its valuable resources for future generations and improving regional maritime security. They therefore will be consulted throughout the development and implementation of the project
Ministry of Internal Affairs	Ministry of Internal Affairs is responsible for local governance and rural development and as such will be key in engaging local communities in the project priority areas. They will be engaged in project preparation and implementation.
National Port Authority	NPA is responsible for managing all of the national ports of Liberia. As current activities include the expansion of port areas- which may overlap with mangrove forests- NPA will need to be fully consulted and engaged throughout the project preparation and implementation.
Ministry of Gender and Development	The Ministry of Gender and Development will be engaged in all planning and oversight meetings for the

	project to ensure that gender issues are being adequately addressed in both the assessment and implementation activities within the project.
Ministry of Health	Currently the Margibi mangroves are home to released chimpanzee, part of the Vilab II Island Sanctuary Project, funded by the New York Blood center and managed by the Ministry of Health. The MOH will be consulted on any activities pertaining plans and assessments of this mangrove area.
Local communities	Local communities living in and around the mangroves are the primary users and beneficiaries of the mangroves and key to the project's success. This project will seek to evaluate the various uses and valuations of the mangroves within all key communities. Attention will be given to different user groups, such as fisherman and charcoal makers and also look at the role gender plays in mangrove use and valuation. We will use the recently adopted stakeholder engagement toolkit to ensure that best practice, such as FPIC is used in ensuring community participation in the project preparation and implementation.
Universities	As this project aims to build capacity within various individuals and institutions we will look to collaborate with both local and international universities throughout the projects implementation.
Liberia's REDD Technical Working Group (TWG)	Liberia REDD TWG is a multi stakeholder group which coordinates all REDD projects in county as well as the development of a national strategy. As this project would be the first project in Liberia to look at mangrove based REDD we will fully coordinate with the REDD TWG to ensure that this is adopted in the national framework.
Liberia Institute for Geospatial Information Services (LISGIS)	LISGIS has the mandate to manage all GIS information in country. The project will therefore seek to engage staff in developing the GIS systems and providing training.
Oil Concesionares	Offshore oil is currently being explored and the companies are interested in coastal communities as they are the closest beneficiaries. The companies will therefore be engaged in the project and will also be

	evaluated for their co-financing potential. Beyond this, the concessionaires are all developing environmental mitigation plans which will involve these key coastal areas in terms of spill prevention etc, so they have two critical roles to play in the project preparation and implementation.
Local NGOs and civil society organizations	There are a number of local NGOs and civil society groups working with communities for mangrove protection and alternative livelihoods. The project will seek the involvement of these groups to collaborate with the project, especially on component 3.
Fauna and Flora International(FFI) and other International NGOs	FFI and other international NGOs has some experience working on mangrove conservation both in Liberia and globally. They have also been key in developing and supporting the current protected areas network. Therefore we will seek to engage FFI throughout the project preparation and implementation. Other International NGOs may also be identified and incorporated during the life of the project
Artisanal Fisheries Groups	Local fisherman have formed fisheries groups which will need to be consulted throughout the project to share ideas, understand their practices and needs and ensure appropriate involvement in and benefit from the project.
Food and Agricultural Organization	FAO has several projects supporting coastal livelihood development and sustainability. We will see to engage them in the design of this project for idea sharing and exchange.

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

Risks	Ranking	Mitigation Strategy
Climate change, resulting in changed/increased pressures on mangrove forests.	Medium	The project's emphasis on conserving mangroves will confer benefits on marine and coastal ecosystems in general, due to buffering and stabilizing effect there have in the face of sea level rise and storm impacts.
Weak institutional capacities for planning, management and	Medium	The risk will be reduced by working with and strengthening diverse institutions at national through

governance in targeted mangrove forest areas.		to local levels, thereby minimizing dependence on any one institution. The project will invest in key capacity gaps, base don analysis to be carried out during PPG phase.
Limited capacity, commitment and/or governance among local people in target mangrove forest areas.	Medium	Starting with the design phase, the project will work in a participatory manner with local communities to discuss and define the strategies to be implemented in the mangrove forest areas, in order to maximize the likelihood of ownership and uptake.

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

The land use planning decision support toolkit developed and piloted during this project will provide key decision makers and technicians with a tool that continually be used and the process replicated beyond the life of the project. We also will look to build institutional capacities within key government ministries and agencies that will provide for improved management beyond the life of the project. The conservation agreement approach seeks to build and/or enforce local governance structures should be sustained beyond the project timeline. Since, conservation agreements are long term agreements with the community, CI will work with project co-financers to ensure that the appropriate long term financing mechanisms are developed to support these interventions in perpetuity.

We believe that the set of tools and activities that will be developed and implemented through this project could be replicated across Liberia and specifically, as it related to mangroves, throughout West Africa’s mangrove forest areas. Of particular relevance is the land use planning decision support toolkit and the methodology for conservation agreements.

Finally, this project will work on the creation of formally declared protected areas and community designated conservation areas within Liberian law- thus ensuring their long term sustainability under the laws of the Republic of Liberia.

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

Liberia’s mangrove areas are home to some of the country’s most impoverished peoples. These communities are heavily reliant on the mangrove and coastal resources for their livelihoods. The traditional income generation within these communities involves Fishing, the sale of dried fish, farming (mainly rice & cassava), palm and coconut oil production, wood & charcoal production, local transportation (such as motor bikes), small scale Non Timber Forest Products(NTFPs); and hunting (mainly with traps & dogs). People living in these areas often lack

basic social provisions such as access to education and healthcare, freshwater access is also a challenge in many of Liberia's mangrove and coastal communities. Leadership within these communities typically involves a town chief, an assistant chief, a council of elders, youth and women's group heads.

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

This project aims to fully engage local communities living in and around key mangrove forests in Liberia. They will be involved through participatory planning and best practice in community engagement. A focus will be places specifically in providing locally appropriate alternatives to current unsustainable harvesting practices, these will be determined with communities during the conservation agreement engagement and negotiation phases. As two key tenants of Liberia's development strategy this project will promote income generation and job creation within communities living below the extreme poverty line. The project will work with existing governance structures within the communities, strengthening and adding where needed to ensure full and appropriate representation.

6. Gender mainstreaming: Describe how the Executing Entity will ensure that gender issues are mainstreaming throughout the project, according to CI policies.

Throughout the project we will ensure full and equitable representation in and benefit sharing from project activities. We will seek to engage with all stakeholders within the community including any potentially marginalized groups. The project will engage through current leadership structures and will seek to add to or strengthen these groups when key stakeholders are underrepresented. We will ensure men, women, youth and other groups are engaged and build monitoring systems that include necessary disaggregation to track this throughout the life of the project.

APPENDIX

CI-GEF PROJECT AGENCY ENVIRONMENTAL AND SOCIAL MANAGEMENT FRAMEWORK (ESMF)

I. INTRODUCTION

1. CI's mission is to improve human well-being through more responsible and sustainable management of nature, including biodiversity. Recognizing the value of safeguards for risk management as well as CI's responsibility as a partner of the Global Environment Facility (GEF), CI as a GEF Project Agency has adopted the GEF Minimum Standards on Environmental and Social Safeguards and Gender Mainstreaming³, and will screen projects for all such potential impacts. If CI-GEF projects are assessed as having minor adverse impacts, these projects may be approved, provided that they include appropriate mitigation and compensation measures and are in overall accordance with GEF and CI policies and principles. CI considers the roles of men and women in all aspects of our business decision making, and in all of our projects, we will use a gender mainstreaming approach to ensure gender equality and equity are achieved in our target sites as a cornerstone of our conservation efforts.

II. PURPOSE

2. The purpose of the Environmental and Social Management Framework (ESMF) is to ensure that adverse environmental and social impacts are avoided or, when unavoidable, minimized and appropriately mitigated and/or compensated. The ESMF is based on the GEF's minimum standards for environmental and social safeguards as well as current CI policies and international best practices.
3. A key principle of the ESMF is to prevent, minimize and mitigate any harm to the environment and to people by incorporating environmental and social concerns as an intrinsic part throughout the project cycle. Any identified adverse environmental and social impacts will be addressed and tracked throughout all stages of the project cycle to ensure that supported activities comply with the policies and practices laid out in the ESMF.

III. CI-PROJECT AGENCY ENVIRONMENTAL AND SOCIAL SAFEGUARDS

4. As a GEF Project Agency, CI must ensure that CI-GEF projects comply with the GEF Minimum Standards for Environmental and Social Safeguards as well as with the GEF Policy on Gender Mainstreaming. Relevant CI policies and best practices for GEF funded projects are described in this section. The description of the implementation arrangements for each specific policy and more detailed description of measures to address particular issues pertaining to the respective GEF Environmental and Social Safeguards is provided in the CI-GEF Project Agency – Environmental and Social Management Framework (ESMF) manual. Please request a copy of this document to CI if needed.

³ <http://www.thegef.org/gef/node/4562>

5. CI-GEF's ESMF is composed of 8 policies and 1 best practice guideline. They describe the minimum standards that each CI-GEF funded project must meet or exceed.

Policies

- Environmental and Social Impact Assessment Policy
- Protection of Natural Habitats
- Involuntary Resettlement Policy
- Indigenous Peoples Policy
- Pest Management Policy
- Physical Cultural Resources Policy
- Accountability and Grievance Systems Policy
- Gender mainstreaming Policy

Best practice

- Stakeholder Engagement Best Practice

POLICY 1: ENVIRONMENTAL AND SOCIAL IMPACT ASSESSMENT (ESIA)

6. This policy complies with GEF Minimum Standard 1.
7. For all CI-GEF funded projects, CI will conduct an initial screening to categorize projects according to their expected impacts. The Screening outcomes may result in a project being designated as Category A (full or comprehensive ESIA required), Category B (limited ESIA required), or Category C (no ESIA required). For Category A and B projects, the ESIA will be designed to identify impacts and mitigation measures that are incorporated in project design and would result in an Environmental and Social Management Framework (ESMF).
8. CI classifies the proposed project into one of three categories, depending on the type, location, sensitivity, and scale of the project and the nature and magnitude of its potential environmental impacts.

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

Category B: a proposed project is classified as Category B if its potential adverse environmental impacts on human populations or environmentally important areas -including wetlands, forests, grasslands, and other natural habitats- are less adverse than those of Category A projects. These impacts are site-specific; few if any of them are irreversible; and in most cases mitigation measures can be designed more readily than for Category A projects. The scope of an ESIA for a

Category B project may vary from project to project, but it is narrower than an assessment for Category A. Consistent with ESIA for Category A projects, it examines the project's potential negative and positive environmental impacts and recommends any measures needed to prevent, minimize, mitigate, or compensate for adverse impacts and improve environmental performance. The findings and results of a Category B ESIA are described in the project documentation.

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

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

10. CI has identified five types of potential adverse environmental impacts that may be associated with CI-GEF projects, arising from:
 - a) *Protected area creation, expansion or management improvement:* although desirable and often necessary for conservation of biodiversity and ecosystem services, creation or expansion of protected areas carries the possibility of limiting access to natural resources and thus impacting livelihoods of local communities;
 - b) *Investment in business or livelihood development:* projects promoting development, even if they are categorized as sustainable development, green economies or low-carbon development, may have adverse impacts on species and ecosystems (e.g., wind mills on birds, ecotourism on natural habitats);
 - c) *Civil works:* some impacts may be associated with the construction or rehabilitation of facilities (e.g., roads and structures associated with park management, research facilities, and restoration-related activities or boundary markers);
 - d) *Occupational health and safety:* during construction, a project may expose workers to safety hazards (e.g. construction accidents); and
 - e) *Pest management:* some pest management activities may be supported for ecological restoration to combat pests that damage crops or invasive alien species, but unless planned and executed with care could create environmental and health risks.

11. CI may decide nonetheless to support projects that may create these types of impacts on the condition that the impacts will be limited in time and space and that benefits brought by the project activities surpass the costs. Actions to minimize and mitigate the environmental and social impacts will be included in a project's Environmental and Social Management Plan (ESMP), (see the ESMF manual for further details).

12. The CI-GEF Project Agency Team will conduct an initial screening of project concepts and/or Project Identification Forms (PIFs) from Executing Entities. The purpose of this screening is to categorize projects according to their expected or potential impacts. This initial screening will take place on the

initial PIF and utilize a *Project Screening Form* (this form) to cover all safeguards areas. The results of the screening process will determine the extent and type of ESIA required.

13. If the results from the project screening finds that an ESIA is necessary, it will be conducted and documented as described in the CI-GEF ESMF. For CI-GEF funded projects, the CI-GEF Project Agency Team will require that an ESIA is conducted on activities related to the direct and indirect areas of influence of projects and that the ESIA will emphasize cumulative and indirect impacts.
14. Based on the results of the ESIA, the CI-GEF Project Agency Team will determine what project-level plans will be needed for the Executing Entity to proceed with project preparation. Project-level plans include an Environmental and Social Management Plan (ESMP), Pest Management Plan (PMP), and Indigenous Peoples Plan (IMP).
15. Project-level plans may also be developed even when no ESIA is necessary (no adverse impacts are expected), as a means for coordination and to promote positive impacts. All plans will be reviewed and approved by the CI-GEF Project Agency Team prior to final approval of the grant agreement by CI's Vice President for Global Public Partnerships and Chief Operating Officer.

POLICY 2: PROTECTION OF NATURAL HABITATS

16. This policy complies with GEF Minimum Standard 2.
17. As a conservation organization, CI's strategies, policies and approaches are fully consistent with the GEF's protection of natural habitats safeguard. CI commits not to cause, or facilitate, any significant loss or degradation of natural habitats. CI finances those activities that promote protection of threatened species and their natural habitats and foster the adoption of sustainable development practices that are socially acceptable and economically feasible. CI projects promote the prevention, reduction, or reversal of habitat loss or degradation in order to conserve threatened species that depend on these habitats and the ecosystem service (ES) benefits that they provide to humans. All activities will be consistent with existing protected area management plans or other resource management strategies that are applicable to national or local situations.
18. All CI-GEF project activities will be consistent with existing protected area management plans or other resource management strategies that are applicable to local situations.
19. In order to protect the environment and in accordance with international agreements, CI endorses and applies the precautionary approach⁴ for its projects and programs. Thus, where there are threats of serious or irreversible damage, lack of full scientific certainty shall not be used as a reason for postponing cost-effective measures to prevent environmental degradation. Furthermore, CI will continue to focus its work at the ecoregional level, which will ensure comprehensive and long-term conservation of biological diversity and ecosystem services at the ecoregional scale.
20. To prevent critical natural habitat destruction, fragmentation and/or degradation, CI will favor the development of physical infrastructure in areas where natural habitats have already been converted to other uses. In line with GEF requirements, CI will only finance habitat restoration projects that can demonstrate that they will restore or improve ecosystem composition, structure and functions.
21. CI will not finance projects that:

⁴ Principle 15 of the 1992 Rio Declaration on Environment and Development (Rio Declaration)
CI-GEF Project Agency – Project Safeguard Screening Form
Last update: December 24, 2013

- a) Propose to create significant destruction or degradation of critical natural habitats of any type (forests, wetlands, grasslands, coastal/marine ecosystems, etc.);
 - b) Propose to carry out harvesting of natural resources (animals, plants, timber and/or non-timber forest products [NTFPs]) or the establishment of forest plantations in natural critical habitats; and
 - c) Contravene major international and regional conventions on environmental issues.
22. In the development of a project, the Executing Entity should at a minimum consider both direct and indirect project-related impacts on biodiversity and ecosystems services, and identify any significant residual impacts. This process will consider relevant threats to biodiversity and ecosystem services, especially focusing on habitat loss, degradation and fragmentation, invasive alien species, overexploitation, hydrological changes, nutrient loading, and pollution. It will also take into account the differing values attached to biodiversity and ecosystem services by project-affected communities and, where appropriate, other stakeholders across the potentially affected landscape or seascape. Further, in areas of natural habitat, mitigation measures will be designed to achieve no net loss of biodiversity where feasible, following the “mitigation hierarchy:”
- a) Avoiding impacts on biodiversity through the identification and protection of set-asides;
 - b) Implementing measures to minimize habitat fragmentation, such as biological corridors;
 - c) Restoring habitats during and/or after operations; and
 - d) Implementing biodiversity offsets of like-for-like or better.
23. The ESMF manual provides more details about this policy.

POLICY 3: INVOLUNTARY RESETTLEMENT

24. This policy complies with GEF Minimum Standard 3.
25. The CI-GEF Project Agency will not fund projects involving involuntary resettlement.
26. For projects that may include involuntary restrictions of access to natural resources resulting in adverse impacts on the livelihoods of project communities, Executing Entities will have to prepare a Resettlement Action Plan (RAP) to describe the project, efforts made to minimize displacement, results from census and socioeconomic surveys, all relevant local laws and customary rights that apply, resettlement sites, income restoration institutional arrangements, implementation schedule, participation and consultation, accountability and grievance, monitoring and evaluation and costs and budgets.
27. CI policy extends to the inclusion of customary rights and not only limited to areas where there are legal rights over access and use of resources. This is based on the understanding that in some countries customary or traditional rights are fully recognized and respected, even when they are not “legal rights” (recognized by specific pieces of legislation, land title, resource use permits, etc.).
28. In addition, CI will follow national legislation on access and use of natural resources.
29. For restriction of access to natural resources, for example as a result of the creation of new protected areas, Executing Entities will be required to prepare a “Process Framework” that describes the nature of the restrictions, the participatory process by which project components will be prepared, criteria by which displaced persons are eligible, measures to restore livelihoods and

the means by which any conflicts would be resolved. A plan may also be developed during implementation providing more detail on the arrangements to assist affected persons to improve or restore their livelihoods.

30. The ESMF manual provides more details about this policy.

POLICY 4: INDIGENOUS PEOPLES

31. This policy complies with GEF Minimum Standard 4.

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

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

- a) That projects respect indigenous peoples' rights, including their rights to free, prior and informed consent (FPIC) processes;
- b) That they receive culturally appropriate benefits that are negotiated and agreed upon with the indigenous peoples' communities in question; and
- c) That potential adverse impacts are avoided or adequately addressed through a participatory and consultative approach.

34. Specific measures to achieve these objectives will be incorporated in the Indigenous Peoples Plan (IPP) developed with the indigenous peoples communities concerned (see ESMF).

35. The ESMF manual provides more details about this policy.

POLICY 5: PEST MANAGEMENT

36. This policy complies with GEF Minimum Standard 5.

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

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

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

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

41. CI does not allow the procurement or use in its projects pesticides and other chemicals specified as persistent organic pollutants under the Stockholm Convention nor procurement or use of products in World Health Organization (WHO) Classes IA and IB or Class II.
42. CI will promote alternatives to the use of pesticides, but when there is no alternative, it will ensure to:
 - a) Avoiding the use of pesticides with toxic categories IA IB or II (according to WHO);
 - b) Avoiding the use of herbicides and pesticides near water sources and their contamination with pesticide residues when cleaning the equipment used; and
 - c) Training communities to responsibly manage products, equipment, and containers to avoid harm to human health or broader environmental contamination. Any pesticides used would be properly applied, stored, and disposed of, in accordance with practices acceptable to CI.
43. For projects that require the procurement of eligible pesticides, CI will ensure that these pesticides are procured contingent on an assessment of the nature and degree of associated risks, taking into account the proposed use and intended users.
44. CI does not support projects that propose the introduction of species that can potentially become invasive and harmful to the environment, unless there is a mitigation plan to avoid this from happening.
45. The ESMF manual provides more details about this policy.

POLICY 6: PHYSICAL CULTURAL RESOURCES

46. This policy complies with GEF Minimum Standard 6.
47. CI will not fund any activity that involves the removal, alteration or disturbance of any physical cultural resources (defined as movable or immovable objects, sites, structures, and natural features and landscapes that have archeological, paleontological, historical, architectural, religious, aesthetic, sacred sites or other cultural significance).
48. Cultural resources may, however, be present in project areas and measures should be put in place to ensure that they are identified and that adverse effects on them are avoided. This is particularly relevant for projects that support development of management plans and other land and natural resource use planning, projects that support alternative livelihood activities, and projects that include small infrastructure construction.
49. The ESMF manual includes procedures to ensure that provisions under this policy are followed.

SAFETY OF DAMS

50. As CI does not build dams, no policy has been developed for GEF Minimum Standard 7, Safety of Dams. Therefore, the CI-GEF Project Agency will not be able to propose or receive GEF Resources for any projects that design and construct new dams and rehabilitate existing dams or projects financing agriculture or water resource management infrastructure, that are highly dependent on the performance of dams or that potentially affect their performance.

POLICY 7: ACCOUNTABILITY AND GRIEVANCE MECHANISMS

51. This policy complies with GEF Minimum Standard 8.
52. CI ensures enforcement of its environmental and social safeguard policies and provides for the receipt of and timely response to/resolution of complaints from parties affected by its CI-GEF projects through the Accountability and Grievance Mechanism (see ESMF manual for more details).
53. The Accountability and Grievance Mechanism is not intended to replace project- and country-level dispute resolution and redress mechanisms. These mechanisms are designed to:
- a) Address potential breaches of CI's policies and procedures;
 - b) Be independent, transparent, and effective;
 - c) Be accessible to project-affected people;
 - d) Keep complainants abreast of progress with cases brought forward; and
 - e) Maintain records on all cases and issues brought forward for review.
54. Project-affected communities and other interested stakeholders may raise a grievance at any time to the Executing Entity, CI, or the GEF. The Executing Entity will be responsible for informing project-affected parties about the Accountability and Grievance Mechanism. Contact information of the Executing Entity, CI's Project Agency, and the GEF will be made publicly available.
55. As a first step, project-related grievances should be communicated to the Executing Entity, which will respond to grievances in writing within 15 calendar days of receipt, and provide a copy of the grievance and response to the CI-GEF Project Agency Team. This response should propose a process for resolving the conflict.
56. If this process does not result in resolution of the grievance, the grievant may file a claim with the Director of Compliance (DOC) who is responsible for the CI Accountability and Grievance Mechanism and who can be reached at:
- Electronic email:** GEFAccountability@conservation.org
- Mailing address:** Direction of Compliance
Conservation International
2011 Crystal Drive, Suite 500
Arlington, VA 22202, USA.
57. The DOC will respond within 15 calendar days of receipt, and claims will be filed and included in project monitoring.
58. Projects requiring FPIC or triggering an Indigenous Peoples Plan will also include local conflict resolution and grievance redress mechanisms in the respective safeguard documents. These will be developed with the participation of the affected communities in culturally appropriate ways and will ensure adequate representation from vulnerable or marginalized groups and sub-groups.
59. The ESMF manual provides more details about this policy.

POLICY 8: GENDER MAINSTREAMING

60. This section outlines CI-GEF Project Agency policy and requirements to mainstream gender equality and equity into all project activities and operations. These are consistent with the GEF's Policies on Environmental and Social Safeguard Standards and Gender Mainstreaming.
61. CI-GEF Project Agency considers the respective roles of men and women in all aspects of the project activities, from hiring and retention to project design and implementation, as well as monitoring and evaluation, in order to promote and achieve gender equality and equity. This policy and its implementation mitigates potentially adverse effects of gender constraints on participation and decision-making in consultative processes, access to natural resources, and project benefits.
62. CI-GEF Project Agency requires Executing Entities to design and implement projects in such a way that both women and men:
- a) receive culturally compatible social and economic benefits;
 - b) do not suffer adverse effects during the development process; and
 - c) receive full respect for their dignity and human rights.
63. The Executing Entity is responsible for mainstreaming gender throughout the project, as appropriate, using qualified professionals based on-site, studies, and meetings. The plan will cover gender-sensitive activities while recognizing and respecting the different roles that women and men play in resource management and in society, along with a monitoring and evaluation plan using sex-disaggregated indicators.
64. In addition, the CI-GEF Project Agency has identified measures to avoid, minimize and/or mitigate gender-related adverse impacts. Key measures to avoid/minimize/mitigate gender adverse impacts include:
- a) All projects will include a gender mainstreaming strategy developed in consultation with CI's gender specialist and/or local organizations or groups working specifically on gender (or with women) when in development phase;
 - b) All project matrices specify gender-sensitive indicators for M&E where appropriate and qualitative and quantitative monitoring data are desegregated by men and women;
 - c) All project proposals must include an assessment of gender roles relating to the environment on which the project will be based (e.g. use patterns, participation in management, etc.) and both short term and long term costs and benefits of the project on men and women, and identify ways to minimize disparities;
 - d) Executing Entity collects sex-disaggregated data on the number of men and women who come to trainings/activities and incorporates into adaptive management;
 - e) Executing Entity establishes a baseline for gender mainstreaming performance by identifying a number of core indicators to be used in all projects;
 - f) Executing Entity ensures a proportional number of men and women respondents are included in project surveys (for design, monitoring, and evaluation);
 - g) Gender-sensitive M&E data informs programming and projects through an adaptive management project cycle; and

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

65. The ESMF manual provides more details about this policy.

BEST PRACTICE: STAKEHOLDER ENGAGEMENT

- 66. CI's policy on stakeholder engagement for GEF funded projects is based on International Finance Corporation's (IFC) Stakeholder engagement (A good Practice Handbook for Companies doing business in Emerging Markets) and is applicable to all CI-GEF funded projects.
- 67. The Project Agency will oversee the Executing Entity involving all stakeholders, including project-affected groups, indigenous peoples, and local Civil Society Organizations (CSOs), as early as possible in the preparation process and ensure that their views and concerns are made known and taken into account.
- 68. The CI-GEF Project Agency Team will also ensure that the Executing Entity will hold and document consultations at the scoping stage for Category A projects, before appraisal for all projects and if deemed necessary throughout project implementation. The Executing Entity is responsible for drafting and executing the Stakeholder Engagement Plan. The Project agency will review the plan and oversee execution.
- 69. Ideally, Stakeholder Engagement should involve the public in problem-solving. The joint effort by stakeholders, in country representatives, executing entities, GEF Project Agency ensures better results. Executing Entities must ensure that the key principles of the GEF Gender Mainstreaming Policy is incorporated beginning with stakeholder engagement.
- 70. Stakeholder engagement usually begins before the ESIA process and extends well beyond it. For Category A projects, stakeholder engagement through consultations must occur twice. The first instance of consultation must occur at scoping where the TOR for the ESIA must be distributed to the project affected people and other stakeholders in order to receive additional requirements for the Environmental and Social Impact Assessment Report. The second instance where consultation must occur is prior to appraisal of the project by the CI-GEF Project Agency Team. In both instances, the CI-GEF Project Agency Team will require documentation of the consultations to first approve ESIA report and finally to authorize appraisal.
- 71. Once the ESIA has been completed, stakeholder engagement will focus on the implementation of the project. It is recommended that the ongoing stakeholder processes continue throughout the life of the project. The nature, frequency, and level of effort of stakeholder engagement may vary considerably and will be commensurate with the project's risks and adverse impacts, and the project's phase of development.
- 72. Executing Entities should identify the range of stakeholders that may be interested in their actions and consider how external communications might facilitate a dialog with all stakeholders. Stakeholders should be informed and provided with information regarding project activities. Where projects involve specifically identified physical elements, aspects and/or facilities that are likely to generate adverse environmental and social impacts to Affected Communities the client will identify the Affected Communities and will meet the relevant requirements described below.

73. The Executing Entity will develop and implement a Stakeholder Engagement Plan (see ESMF manual for details) that is scaled to the project risks and impacts and development stage, and be tailored to the characteristics and interests of the Affected Communities.
74. Where applicable, the Stakeholder Engagement Plan will include differentiated measures to allow the effective participation of those identified as disadvantaged or vulnerable. When the stakeholder engagement process depends substantially on community representatives, the Executing Entity will make every reasonable effort to verify that such persons do in fact represent the views of Affected Communities and that they can be relied upon to faithfully communicate the results of consultations to their constituents.
75. In cases where the exact location of the project is not known, but it is reasonably expected to have significant impacts on local communities, the Executing Entity will prepare a Stakeholder Engagement Framework, as part of its management program, outlining general principles and a strategy to identify Affected Communities and other relevant stakeholders and plan for an engagement process.
76. The Project Agency will review and approve all Stakeholder Engagement Plans prior to disclosure.

Disclosure

77. CI publicly discloses documents related to all CI-GEF Environmental and Social Safeguards and Gender policy.
78. Key documents prepared to address safeguard issues will be disclosed on CI's website at <http://www.conservation.org>.
79. Should the Executing Entity be required to develop a stand-alone an Environmental and Social Management Plan (to address Physical and Cultural Resources and Natural Habitats), an Indigenous Peoples Plan (IPP), a Pest Management Plan (PMP), a Process Framework, a Resettlement Action Plan (RAP), these documents will be disclosed to all project affected communities, indigenous peoples and local communities in a form, manner and language appropriate for the local context. In addition, disclosure will also be made in the country of project implementation and at multiple locations within country of execution in a form, manner and language appropriate for the local context. Disclosure will occur in the following stages:
 - a) Disclosure of assessment documents (e.g., , draft Environmental and Social Impact Assessment) and draft safeguard documents (e.g. IPP) during project preparation. Disclosure during project preparation aims to seek feedback and input from indigenous peoples and local communities, and as appropriate other stakeholders, on the safeguard issues identified and the measures incorporated in project design to address them.
 - b) Disclosure of all assessments prior to project appraisal;
 - c) Disclose of all assessments have they been finalized and approved by the CI-GEF Project Agency Team (prior to project implementation); and
 - d) Ongoing disclosure during and after conclusion of project activities to inform communities of implementation activities, unexpected impacts, measures taken to address them, etc.
80. Finally, CI will disclose information on approved projects, including any safeguard issues, through its website. The website will list contact information where interested stakeholders can seek further

information or documentation and raise their concerns or recommendations to CI. Project Agency will be responsible for ensuring appropriate response.

81. The ESMF manual provides more details about this best practice.

IV. INSTITUTIONAL ARRANGEMENTS

Environmental and Social Safeguard Responsibilities

82. The **CI-GEF Project Agency Team** has the overall responsibility for ensuring that environmental and social issues are adequately addressed within the project cycle and will be ultimately responsible for the review and supervision of the implementation of safeguards.

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

84. The **CI-GEF Project Agency Team** will monitor implementation of this Framework. It will review and approve key documents such as Environmental and Social Impact Assessment (ESIA) terms of reference and project-specific safeguard plans and action plans developed during project implementation. During project preparation, the CI-GEF Project Agency Team will be able to request from a potential Executing Entity all information it requires concerning project effects on indigenous peoples and local communities, and require further assessment or consultations as well as work on safeguard plans until it is satisfied that the GEF minimum standards and CI's own policies have been satisfactorily addressed. CI will also review and approve any action plans developed during project implementation.

85. The **CI-GEF Project Agency Team** will also be responsible for oversight of the gender mainstreaming component of the project planning process. Through its project design review, CI will identify and promote measures to support the equal treatment of women and men, including the equal access to resources and services.

86. Throughout the project review process, the CI-GEF Project Agency Team will maintain contact with the Executing Entity to obtain clarification on information provided and the preparation process. There are two key decision points during the project preparation process. The screening of project concepts will identify potential safeguard issues and ascribe project preparation procedures to further assess potential impacts and design mitigation measures, as needed. A review of the final project proposal will, besides reviewing the proposal against CI and GEF objectives and procedures, assess the adequacy of the project's preparation process and implementation measures vis-à-vis the safeguard issues and requirements, including:

- a) Compliance with this ESMF, CI policies and commitments, and GEF environmental and social safeguard policies;
- b) Adherence to the mitigation hierarchy against possible adverse environmental impacts;
- c) Adherence to the mitigation hierarchy against possible adverse social impacts;
- d) Adequacy and feasibility of the proposed safeguard mitigation measures and monitoring plans, including any Environmental and Social Management Plan, Pest Management Plan, Involuntary Resettlement Plan, or Indigenous Peoples Plan;

- e) Adequacy of the project’s consultations processes and communication of the Accountability and Grievance Mechanism;
 - f) Identification of measures to avoid, minimize, or offset adverse impacts;
 - g) Identification of measures to support the equal treatment of women and men, including the equal access to resources and services;
 - h) Capacity, including but not limited to technical and financial capacity, of the Executing Entity to implement the project and any required safeguard-related measures during the preparation and implementation of the project; and
 - i) Clear documentation of the foregoing available to stakeholders before appraisal can occur.
87. Through this review, the CI-GEF Project Agency Team may find the safeguard process and measures satisfactory, or may find the need for further discussion with, and steps by, the Executing Entity to achieve the objectives of this ESMF, including revising safeguard measures and documents as appropriate. If the costs, risks, or complexity of particular safeguard issues outweigh the expected project benefits, a decision may be taken to not support the project. For projects affecting indigenous peoples, a process to ensure their free, prior and informed consent (FPIC) is also required.
88. During project execution, safeguard compliance will be tracked along with performance toward project objectives. At each performance reporting stage, generally on a quarterly basis, the Executing Entity will revisit the safeguard issues to assess their status and address any issues that may arise. In cases where the Executing Entity is implementing an Environmental and Social Management Plan, other project-level plan, or other mitigation measures, it will report on the progress of such implementation in parallel to or as part of reporting for other project elements. The intent of this process is to ensure that the environmental and social safeguard issues, including gender equality and equity, are continually monitored and adverse effects mitigated throughout project implementation. The CI-GEF Project Agency Team will monitor the implementation of safeguards during project implementation through check-in meetings and field visits. The CI-GEF Project Agency Team will review and approve any safeguard-related action plans required prior to or developed during implementation of projects.
89. Project-specific draft plans (including mitigation plans) are to be disclosed to all stakeholders including: affected communities and Civil Society Organizations (CSOs) prior to appraisal. Before plans can be disclosed; the CI-GEF Project Agency Team must review and approve draft. Executing Entities must also disclose to affected parties the final plans prior to implementation and any action plans prepared during project implementation, including gender mainstreaming. In all cases, disclosure should occur in a manner meaningful and understandable to the affected people for their consent. The CI-GEF Project Agency Team will disclose all final approved plans on CI’s website.
90. The key responsibilities of the CI-GEF Project Agency Team and the Executing Entities are described in further detail in table below. Exact procedures depend on the specific project activities and the local context, for instance, the number of safeguard policies that are triggered and the level of impacts.