**WWF GEF/GCF Agency**

**E****nvironmental and Social Management Framework & Process Framework & Indigenous Peoples Planning Framework**

**Table of Contents**

[List of Acronyms 3](#_Toc99534891)

[1. Introduction 4](#_Toc99534892)

[1.1. Objective of the ESMF 4](#_Toc99534893)

[1.2. Objective of the PF 4](#_Toc99534894)

[1.3. Objective of the IPPF 5](#_Toc99534895)

[1.4. ESMF/PF Preparation Methodology 6](#_Toc99534896)

[2. Project Description 6](#_Toc99534897)

[1.2. Project Objectives and Components 6](#_Toc99534898)

[2.2. Project Area Profile 6](#_Toc99534899)

[2.3. Demographic and economic information 6](#_Toc99534900)

[2.4. IPs and Vulnerable Groups 6](#_Toc99534901)

[(a) Overview of Indigenous Peoples Situation 6](#_Toc99534902)

[(b) IPs in project sites 7](#_Toc99534903)

[2.5. Gender 7](#_Toc99534904)

[3. Environment and Social Policy, Regulations and Guidelines 7](#_Toc99534905)

[3.1 [insert country name] Policies, Laws, Regulations Guidelines 7](#_Toc99534906)

[(a) Laws on Environmental Protection and Biodiversity Conservation 7](#_Toc99534907)

[(b) Specific Policies related to [project focal area, ie. Protected areas, fishing, wildlife etc] 7](#_Toc99534908)

[(c) Laws on Labor and Working Conditions 7](#_Toc99534909)

[(d) Land Acquisition 7](#_Toc99534910)

[(e) Indigenous Peoples 7](#_Toc99534911)

[(f) Community Engagement 7](#_Toc99534912)

[3.2 WWF Safeguards Standards and Procedures Applicable to the Project 7](#_Toc99534913)

[(i) Standard on Environment and Social Risk Management 7](#_Toc99534914)

[(ii) Standard on Protection of Natural Habitats 8](#_Toc99534915)

[(iii) Standard on Involuntary Resettlement 8](#_Toc99534916)

[(iv) Standard on IPs 8](#_Toc99534917)

[(v) Standard on Community Health, Safety and Security 8](#_Toc99534918)

[(vi) Standard on Pest Management 9](#_Toc99534919)

[(vii) Standard on Cultural Resources 9](#_Toc99534920)

[(viii) Standard on Accountability and Grievance System 9](#_Toc99534921)

[(ix) Standard on Public Consultation and Disclosure 9](#_Toc99534922)

[(x) Standard on Stakeholder Engagement 10](#_Toc99534923)

[3.3 Gaps between [insert country name] laws and policies and the WWF’s SIPP 10](#_Toc99534924)

[4. Anticipated Environmental and Social Impacts and Mitigation Measures 10](#_Toc99534925)

[4.1 Adverse Environmental Impacts 10](#_Toc99534926)

[4.2 Environmental Mitigation Measures 11](#_Toc99534927)

[4.3 Adverse Social Impacts 12](#_Toc99534928)

[4.4 Social Mitigation Measures 13](#_Toc99534929)

[4.5 Process Framework: Livelihood Restoration Measures 14](#_Toc99534930)

[4.6 Indigenous Peoples Planning Framework (IPPF) 14](#_Toc99534931)

[(a) IP Population of Project Sites 14](#_Toc99534932)

[(b) Project Impacts on IPs Groups 14](#_Toc99534933)

[(c) Mitigation Planning 14](#_Toc99534934)

[(d) Steps for Formulating an IPP 14](#_Toc99534935)

[(e) Social Assessments 15](#_Toc99534936)

[(f) Development of IP Plans 15](#_Toc99534937)

[(g) Free, Prior and Informed Consent Framework 15](#_Toc99534938)

[(h) Disclosure 19](#_Toc99534939)

[*(i)* Institutional and monitoring arrangements 19](#_Toc99534940)

[5. Implementation Arrangements 20](#_Toc99534941)

[5.1. Procedures for the Identification and Management of Environmental and Social Impacts 20](#_Toc99534942)

[5.2. Guidelines for ESMP Development 21](#_Toc99534943)

[5.3. Stakeholders' Role & Responsibilities in the ESMF Implementation 21](#_Toc99534944)

[(a) General 21](#_Toc99534945)

[(a) Safeguards Implementation 22](#_Toc99534946)

[5.4. Monitoring 23](#_Toc99534947)

[5.5. Community Engagement 23](#_Toc99534948)

[(a) Community engagement during Project Preparation 23](#_Toc99534949)

[(b) Community engagement during ESMF/PF Preparation 23](#_Toc99534950)

[(c) Community engagement during project implementation 23](#_Toc99534951)

[5.6. Communications and Disclosure 24](#_Toc99534952)

[5.7. Capacity Building and technical assistance 25](#_Toc99534953)

[5.8. Grievance Mechanisms 25](#_Toc99534954)

[5.9. Budget 26](#_Toc99534955)

[Annex 1. Safeguard Eligibility and Impacts Screening 28](#_Toc99534956)

[Part 1: Basic Information 28](#_Toc99534957)

[Part 2: Eligibility Screening 28](#_Toc99534958)

[Part 3: Impacts screening 29](#_Toc99534959)

# **List of Acronyms**

ESMF Environmental and Social Management Framework

ESMP Environmental and Social Management Plan

ESS Environmental and Social Safeguards

ESSF Environmental and Social Safeguards Framework

FPIC Free Prior and Informed Consent

GCF Green Climate Fund

GEF Global Environmental Facility

IPP Indigenous Peoples Plan

IPPF Indigenous Peoples Planning Framework

LRP Livelihood Restoration Plan

PAP Project Affected People

PF Process Framework

PMU Project Management Unit

PSC Project Steering Committee

SEAH Sexual Exploitation, Abuse and Harassment

SEP Stakeholder Engagement Plan

SIPP Safeguards Integrated Policies and Procedures

WWF World Wildlife Fund

# **Introduction**

Introduction to the project goes here. Generally 1-1.5 pages, including:

* Project overview and rationale
* Project components
* Funding amount/source
* Safeguards Categorization (B or C) and required Plans
* Implementing/Executing Agency

## **Objective of the Environmental and Social Management Framework (ESMF)**

The preparation of this ESMF was required in accordance with the WWF’s Environmental and Social Safeguards Framework (ESSF), through guidance and procedures described in WWF’s Safeguards Integrated Policies and Procedures (SIPP), in order to identify and manage the environmental and social risks and impacts of the X project. The ESMF aims to outline the principles, procedures, and mitigation measures for addressing environmental and social impacts associated with the project in accordance with the laws and regulations of X country of implementation and with the ESSF.

Since the precise scope of activities that will be implemented as part of the project will only be determined during the implementation phase, site-specific social and environmental impacts are uncertain at this stage. Thus, the development of site-specific Environmental and Social Management Plans (ESMPs) is currently not feasible, and an ESMF is necessary to set out procedures for addressing potential adverse social and environmental impacts that may occur during project activities. Site-specific ESMPs will be developed pursuant to the guidance provided by this ESMF during project implementation.

The specific objectives of the ESMF include the following:

* Carry out a preliminary identification of the positive and negative social and environmental impacts and risks associated with the implementation of the Project, including any SEAH risks;
* Outline the legal and regulatory framework that is relevant to the Project implementation;
* Specify appropriate roles and responsibilities of actors and parties involved in the ESMF implementation;
* Propose a set of preliminary recommendations and measures to mitigate any negative impacts and enhance positive impacts;
* Develop a screening and assessment methodology for potential activities, that will allow an environmental/social risk classification and the identification of appropriate safeguards instruments;
* Set out procedures to establish mechanisms to monitor the implementation and efficacy of the proposed mitigation measures; and
* Outline requirements related to disclosure, grievance redress, capacity building activities, and budget required for the implementation of the ESMF.

## **1.2.** **Objective of the Process Framework (PF)**

The Project triggers the WWF’s Standard on Access Restriction and Resettlement as it may restrict or otherwise affect access to natural resources and the livelihood activities of project affected people (PAP). This Process Framework (PF) describes the process by which affected communities participate in identification, design, implementation and monitoring of relevant project activities and mitigation measures. The purpose of this PF is to ensure participation of Project Affected People (PAP) while recognizing and protecting their rights and interests and ensuring that they do not become worse off as a result of the project. Specifically, the PF will:

* Describe activities that may involve new or more stringent restrictions on use of natural resources in the project area.
* Establish the mechanism through which the local communities can contribute to the project design, implementation and monitoring.
* Identify the potential negative impacts of the restriction on the surrounding communities, including any gendered differences or SEAH risks associated with access restriction or differing uses of natural resources.
* Specify the criteria for eligibility of economically displaced persons to receive compensation benefits and development assistance (no physical displacement will be allowed under this project or any WWF project).
* Describe the mitigation measures required to assist the economically displaced persons in their efforts to improve their livelihoods, or at least to restore them, in real terms, while maintaining the sustainability of the landscape/seascape type, will be identified.
* Describe the grievance procedure or process for resolving disputes to natural resource use restrictions.
* Describe the participatory monitoring arrangements with neighboring community members.

As the project intends to enhance the livelihoods and resilience of IPs and local communities, the allocation of project benefits among local community members is particularly important. The intent of the framework is to ensure transparency and equity in the planning and implementation of activities by the project. This framework details the principles and processes for assisting communities to identify and manage any potential negative impacts of the project activities. Since the exact social impacts will only be identified during project implementation, the PF will ensure that mitigation of any negative impacts from project investments through a participatory process involving the affected stakeholders and rightsholders. It will also ensure that any desired changes by the communities in the ways in which IPs exercise customary tenure rights in the project sites would not be imposed, but should emerge from a consultative process.

## **1.3.** **Objective of the Indigenous Peoples Planning Framework (IPPF)**

The target project areas include indigenous groups. Include details about the indigenous groups here (use WWF/GCF definition of indigenous peoples, which is broad and does not depend upon national recognition.)

Based on WWF’s Standard on IPs, the people affected by this project would thus be considered Indigenous, ethnic or tribal minorities. An Indigenous Peoples Planning Framework thus has to be prepared.

The objective of the IPs Planning Framework (IPPF) is to clarify the principles, procedures and organizational arrangements to be applied to IPs for the X project. This framework will serve as a guideline to the project team to:

* Enable them to prepare an IPs Plans (IPPs) for specific activities proposed consistent with WWF’s Environment and Social Safeguard Integrated Policies and Procedures.
* Engage affected IPs in a Free Prior and Informed Consent (FPIC) process.
* Enable IPs to benefit equitably from the project.

## **1.4. ESMF/PF/IPPF Preparation Methodology**

The ESMF/PF/IPPF was prepared based on the following information: insert the appropriate information and methodology here

The ESMF/PF/IPPF draws on consultations results, and on the relevant laws and regulations of [insert country name] and the ESSF and SIPP. The relevant laws and regulations of [insert country name] related to safeguards apply to the project since it is implemented within the jurisdiction of [insert country name]. WWF’s SIPP apply since the project is managed by WWF, which is an implementing agency of [GEF/GCF].

***In order to avoid duplications and for ease of reference, the ESMF, PF, and IPPF are combined into a single document.***

# **Project Description**

This chapter outlines the objectives of the [insert project name], its components, milestones, and major supported activities.

## Project Objectives and Components

Include 2-3 page description of the project objectives and components here (taken from main ProDoc or FP)

## 2.2. Project Area Profile

Description of project site(s): this should be as detailed as possible, including information on biological, social, environmental, economic factors etc. including any relevant maps (taken from main ProDoc or FP)

## 2.3. Demographic and economic information

Include demographic and economic information relevant to project here, including gender disaggregated information when and where available as well as any SEAH risks. If different by project site(s), include specific information with heading for each project site.

## 2.4. IPs and Vulnerable Groups

### (a) Overview of Indigenous Peoples Situation

Include information on the general situation of IPs in the project country (or countries, as appropriate) including information such as legal status, tenure rights, place in society, percentage of population, names and locations of IPs groups/tribes in the country, existence of Ministries or other government departments dedicated to IPs rights/issues, and general challenges faced by IPs in the project area(s).

### IPs in project sites

Include the specifics of IPs in project site(s)

## 2.5. Gender

Include an overview of the gender situation in the country here, including SEAH risks and considerations. This should be around a page long, and reference the separate Gender Action Plan that has been created for the project.

# **3.** **Environment and Social Policy, Regulations and Guidelines**

This chapter first outlines the laws and regulations of [insert country name] and the WWF’s ESSF and SIPP that are applicable to the project, and then discusses gaps between [insert country name] laws and regulations and the SIPP. **For the purposes of the [insert project name] Project implementation, the principles and procedures of the ESSF and SIPP shall prevail in all cases of discrepancies.**

## **3.1** **[insert country name] Policies, Laws, Regulations Guidelines**

Short description of the types of laws, regulations and policies related to the implementation of environmental and social safeguards and the project activities that will be covered in this section.

### Laws on Environmental Protection and Biodiversity Conservation

### Specific Policies related to [project focal area, ie. Protected areas, fishing, wildlife etc]

### Laws on Labor and Working Conditions

### Land Acquisition

### Indigenous Peoples

### Gender, Gender-Based Violence, and Sexual Harassment

### Community Engagement

### 

### **3.2 WWF Safeguards Standards and Procedures Applicable to the Project**

WWF’s safeguards standards require that any potentially adverse environmental and social impacts are identified, and avoided or mitigated. Safeguards policies that are relevant to this project are as follows.

### Standard on Environment and Social Risk Management

This standard is applicable because [insert project name] intends to support activities that result in a variety of environmental and social impacts. The Project is expected to [insert brief sentence on possible positive and negative impact]

The precise location and impact of specific activities cannot be determined at this stage, and will only be known during project implementation. Thus, an ESMF is prepared to set out guidelines and procedures on how to identify, assess and monitor environmental and social impacts, and how to avoid or mitigate adverse impacts. Site-specific ESMPs will be prepared as required, based on principles and guidelines of the ESMF.

### Standard on Protection of Natural Habitats

WWF’s mission is to protect natural habitats, and it does not undertake any projects that would result in conversion or degradation of critical natural habitats, especially those that are legally protected, officially proposed for protection, or identified as having high conservation value.

Overall, the [project name] activities will produce [X] benefits. Any potential adverse environmental impacts on human populations or environmentally important areas [insert sentence or two with more details here]

### Standard on Restriction of Access and Resettlement

The WWF’s Standard seeks to ensure that adverse social or economic impacts on resource-dependent local communities as a result from restrictions on resource access and/or use are avoided or minimized. [How is this avoided, and what are the expected adverse impacts on resource restriction that this project may have? Explain in a sentence or two how this project has or has not triggered this Standard]

### Standard on Indigenous Peoples

The WWF’s standard requires ensuring that indigenous rights are respected, that IPs do not suffer adverse impacts from projects, and that IPs receive culturally appropriate benefits from conservation. The policy mandates that projects respect IPs’ rights, including their rights to FPIC processes and to tenure over traditional territories; that culturally appropriate and equitable benefits (including from traditional ecological knowledge) are negotiated and agreed upon with the IPs’ communities in question; and that potential adverse impacts are avoided or adequately addressed through a participatory and consultative approach.

[Insert sentence or two on why the project has or has not triggered this Standard]

### Standard on Community Health, Safety and Security

This Standard ensures that the health, safety and security of communities are respected and appropriately protected. The Guidance on Labor and Working Conditions requires employers and supervisors to implement all reasonable precautions to protect the health and safety of workers through the introduction of preventive and protective measures. It also requires that the labor rights of project-employed workers are observed, as indicated in Annex 1: Screening Tool. Project activities should also prevent adverse impact involving quality and supply of water to affected communities; SEAH- related risks to both affected communities as well as project staff; safety of project infrastructure, life and properties; protective mechanisms for the use of hazardous materials; disease prevention procedures; and emergency preparedness and response.

[Insert sentence or two on why the project has or has not triggered this Standard]

### Standard on Pest Management

WWF-funded projects are not allowed to procure or use formulated products that are in World Health Organization (WHO) Classes IA and IB, or formulations of products in Class II, unless there are restrictions that are likely to deny use or access by lay personnel and others without training or proper equipment. The project will follow the recommendations and minimum standards as described in the United Nations Food and Agriculture Organization (FAO) International Code of Conduct on the Distribution and Use of Pesticides and its associated technical guidelines, and procure only pesticides, along with suitable protective and application equipment, that will permit pest management actions to be carried out with well-defined and minimal risk to health, environment, and livelihoods.

[Insert sentence or two on how this project has or has not triggered this Standard]

### Standard on Cultural Resources

This Standard ensures that Cultural Resources are appropriately preserved and their destruction, damage or loss is appropriately avoided. Physical cultural resources (PCR) include archaeological, paleontological, historical, architectural, and sacred sites including graveyards, burial sites, of unique natural values. Intangible cultural resources include traditional ecological knowledge, performing arts, oral traditions and expressions, traditional craftsmanship and social practices, rituals and events. The impacts on cultural resources resulting from project activities, including mitigating measures, may not contravene either the recipient country’s national legislation or its obligations under relevant international environmental treaties and agreements.

[Insert sentence or two on how this project has or has not triggered this Standard]

### Standard on Grievance Mechanisms

Project-affected communities and other interested stakeholders may raise a grievance at any time to the PMU and WWF. The PMU will be responsible for informing project-affected parties about the Accountability and Grievance Mechanism. Contact information of the PMU and WWF will be made publicly available. Relevant details are also provided in the Grievance Redress section of this [ESMF/PF/IPPF].

The WWF Standard on Grievance Mechanisms is not intended to replace project- and country-level dispute resolution and redress mechanisms. This mechanism is designed to: address potential breaches of WWF’s policies and procedures in a gender-responsive manner; be independent, transparent, and effective; be survivor-centered and offer protections to those reporting SEAH-related grievances; be accessible to project-affected people; keep complainants abreast of progress of cases brought forward; and maintain records on all cases and issues brought forward for review.

### Standard on Public Consultation and Disclosure

This standard requires meaningful consultation with relevant stakeholders, occurring as early as possible and throughout the project cycle. It requires the Project Team to provide relevant information in a timely manner and in a form and language that are understandable and accessible to diverse stakeholders. This standard also requires that information concerning environmental and social issues relevant to the project is disclosed for at least 30 days prior to implementation, and 45 days if the Indigenous Peoples Standard has been triggered. WWF will disclose safeguards documentation on its Safeguards Resources web page. The final safeguards documents should be published on national websites of the Implementing Agencies and made available locally in specific locations. The project is also required to locally release all final key safeguards documents via hardcopy, translated into the local language and in a culturally appropriate manner, to facilitate awareness by relevant stakeholders that the information is in the public domain for review.

### Standard on Stakeholder Engagement

This standard ensures that WWF is committed to meaningful, effective and informed stakeholder engagement in the design and implementation of all GEF and GCF projects. WWF’s commitment to stakeholder engagement arises from internal standards such as WWF’s Project and Program Standards (PPMS), as well as WWF’s commitment to international instruments such as United Nations Declaration on Indigenous People (UNDRIP). Stakeholder engagement is an overarching term that encompasses a range of activities and interactions with stakeholders throughout the project cycle and is an essential aspect of good project management. The project has prepared a Stakeholder Engagement Plan that will be implemented during the project.

### Guidance Note on Gender-based Violence and Sexual Exploitation, Abuse and Harassment

All over the world, it is estimated that one in three women and girls experience GBV during her lifetime. A recent study conducted by IUCN, in collaboration with USAID as part of Advancing Gender in the Environment (AGENT), states that forms of GBV (ranging from sexual, physical and psychological violence, to trafficking, sexual harassment, sexual coercion and in some cases rape) can be linked to environmental issues.

Many projects implemented by WWF relate to effective management of protected areas and the landscapes in which they are located through support to law enforcement, patrolling and better management and restoration of landscapes by restricting access to natural resources. These activities can potentially give rise to GBV/SEAH risks where government-employed law enforcement officials/rangers/guards supported by the project may misuse the power of their positions by sexually exploiting women in local communities. This is a particular risk if women are collecting water or natural resources in a protected area. As another example, projects that promote alternative livelihoods, particularly ones that improve women’s empowerment and decision making, can often lead to changes in power dynamics within communities and increase the risks of GBV/SEAH toward those empowered women.

GBV and SEAH in the implementation of WWF activities in projects and programs is unacceptable and requires timely, proportional, and appropriate action. WWF recognizes that to achieve biodiversity conservation it is vital to promote gender equality and make every effort to ensure that project activities implemented by WWF respect integrity and human rights and mitigate any risk that gives rise to discriminatory and exploitative gender inequalities. WWF does support projects in areas where there is civil war, ethnic conflict, and insurgencies where there are existing GBV/SEAH risks. WWF therefore needs to understand these risks in order to avoid exacerbating local conditions that contribute to GBV/SEAH, which would undermine any conservation outcomes the project may seek to achieve.

For WWF projects, including GEF and GCF projects, under the Standard on Community Health and Security, the project team should identify any potential GBV/SEAH risks by screening proposed project activities using the following questions:

* Is there a risk that the project could pose a greater burden on women by restricting the use, development, and protection of natural resources by women compared with that of men?
* Is there a risk that persons employed by or engaged directly in the project might engage in gender-based violence (including sexual exploitation, sexual abuse, or sexual harassment)?
* Does the project increase the risk of GBV and/or SEAH for women and girls, for example by changing resource use practices?
* Does any mandated training for any individuals associated with the project (including project staff, government park rangers and guards, other park staff, consultants, partner organizations and contractors) cover GBV/SEAH (along with human rights, etc.)?

The identification of GBV/SEAH risks in a project is normally undertaken as part of project preparation and could be conducted during community/stakeholder consultations together with identifying potential risks and screening impacts on vulnerable groups, community health, safety and security, labor and working conditions, gender equality issues, and any other social or environmental risks. Any potential GB V/SE AH risk identified during this stage would be factored into the project’s overall social risk, which, in turn, is factored into the overall environmental and social risk associated with a project.

### Guidance Note on Labor and Working Conditions

As a conservation organization, WWF does not typically fund large infrastructure activities in conservation projects implemented by WWF’s GEF and GCF Agency and therefore does not directly adversely impact labor and working conditions. However, WWF GCF Agency projects do implement projects in the forestry, agriculture and fisheries sectors, which may have potential unintended adverse impacts. This is mostly seen in financing activities necessary for strengthening protected area management systems, including construction of protected area administrative buildings, watch towers, or accommodations for park guards.

In such cases, these activities are usually executed by third party contractors who employ construction workers including sub-contractors. In such cases, WWF will ensure that any funding for such activities complies with WWF’s Environment and Social Safeguards Integrated Policies and Procedures (SIPP) and more specifically international labor and working condition standards such as the International Labour Organization’s (ILO) Declaration on the Fundamental Principles and Rights at Work and any relevant local labor standards of the project specific countries.

This Guidance Note provides detailed guidance of reasonable precautions to implement in managing principal risks to occupational health and safety. The following is based on the IFC’s Environmental, Health, and Safety Guidelines (April 30, 2007), and covers the following general thematic areas:

1. General Facility Design and Operation
   1. Integrity of Workplace Structures
   2. Severe Weather and Facility Shutdown
   3. Workspace and Exit
   4. Fire Precautions
   5. Lavatories and Showers
   6. Potable Water Supply
   7. Clean Eating Area
   8. Lighting
   9. Safe Access
   10. First Aid
   11. Air Supply
   12. Work Environment Temperature
2. Training
   1. Occupational Health and Safety (OHS) Training
3. Physical Hazards
   1. Rotating and Moving Equipment
   2. Rotating and Moving Equipment
   3. Vibration
   4. Electrical
   5. Eye Hazards
   6. Welding / Hot Work
   7. Industrial Vehicle Driving and Site Traffic
   8. Working Environment Temperature
   9. Ergonomics, Repetitive Motion, Manual Handling
   10. Working at Heights
   11. Illumination
4. Standards for Workers Living Conditions
   1. General living facilities
   2. Drainage
   3. Heating, air conditioning, ventilation and light
   4. Water
   5. Wastewater and solid waste
   6. Rooms/dormitories facilities
   7. Bed arrangements and storage facilities
   8. Sanitary and toilet facilities
   9. Toilet facilities
   10. Showers/bathrooms and other sanitary facilities
   11. Canteen, cooking and laundry facilities
   12. Medical facilities
   13. Leisure, social and telecommunications facilities

[[1]](#footnote-2)

### Guidance Note on Projects Relating to Dams

In many river basins, WWF’s freshwater conservation work is affected by the development of new dams or by the operations of existing dams. WWF is opposed to unsustainable dams that do not adhere to internationally recognized principles and criteria for good practice. WWF advocates that (1) no dams be built in, or affect, areas of high conservation value; (2) alternatives be fully considered before decisions are made to build new dams; and (3) principles, tools,14 and inclusive, transparent processes be applied that make the best possible choices regarding the management of existing dams and development of new dams.

WWF actively works to assess existing dams to minimize impacts and maximize benefits and to reduce the demand for new dams. WWF advocates for improvement of operational management for environmental benefits at existing dams, through related policies, plans, or regulations. This can include:

* Establishing environmental flow regimes to restore ecological functions downstream of a dam by mimicking natural variability in river flows. Work may include assessment of environmental flow requirements, hydrological studies, design of reservoir releases, and policy work;
* Promoting retrofitting dams or infrastructure to improve performance and reduce need for new infrastructure;
* Promoting adaptation of existing infrastructure to allow for improved environmental performance; and
* Promoting decommissioning or removal of hazardous or obsolete dams.

**Dam Safety**

Given the above instances, and in line with WWF Network’s position on dams, WWF can:

* For GEF and GCF projects, partner with a GEF and GCF Implementing Agency that is accredited for Safety of Dams safeguards to jointly support such efforts, so long as the other agency’s safeguards system is applied for the entire project;
* Implement projects that involve working with the government or relevant sector on strategic river basin planning, with the goal of restricting or concentrating dams to appropriate rivers and watersheds of lower conservation value (e.g., already altered);
* Implement projects that result in recommendations for environmental flow requirements for a stream or river (e.g., timing, volume, duration);
* Implement projects that involve working with governments to ensure better regulation of hydropower sector;
* Implement projects that build capacity in the hydropower sector and government ministries to improve environmental-based approaches/tools for sustainable development; and
* Implement small or minor water infrastructure work whose impact is deemed not to trigger Safety of Dams safeguards through WWF’s Policy on Environment and Social Risk Management

### Guidance Note on Ranger Principles

Rangers play a key role in protecting wildlife, managing protected areas, and resolving human-wildlife conflict. Rangers must act within the law and under high ethical standards in order to achieve positive outcomes from both people and nature. WWF only supports legitimate law enforcement activities that are carried out in a way that respects and protects the human rights of local communities and Indigenous Peoples. Certain measures are in place to uphold WWF's high ethical standards, including a risk assessment, mitigation actions, and continuous monitoring throughout implementation.[[2]](#footnote-3) Rangers are expected to adhere to the following principles:

1. Act within the law.
2. Ensure accountability.
3. Build ranger capacity
4. Support the welfare of rangers and their families.
5. Partner with local communities.
6. Identify, monitor and plan for challenges.
7. Maintain impartiality.
8. Communicate regularly.
9. Sanctions for malfeasance.

## **3.3** **Gaps between [insert country name] laws and policies and the WWF’s SIPP**

In this section, describe the gaps that exist between the national laws and WWF’s ESSF and SIPP. Create clear headings for each type/focal area.

**For the purposes of the [insert project name], the provisions of the WWF’s ESSF and SIPP shall prevail over [insert country name] legislation in all cases of discrepancy.**

# **Anticipated Environmental and Social Impacts and Mitigation Measures**

This section outlines potential adverse environmental and social impacts that may result from project activities. Include a breakdown of impacts and mitigation measures by Project Component. Under 4.1 and 4.3, include relevant narrative text (1-2 pages max) and description of project activities that may lead to the adverse safeguards impacts. Under 4.2 and 4.4, complete the tables accordingly. 4.5 is the Process Framework for mitigating the impacts of Access Restriction and 4.6 is the Indigenous Peoples Planning Framework.

## 4.1 Adverse Environmental Impacts

Insert narrative text here, divided by Component

## 4.2 Environmental Mitigation Measures

Table 3. Anticipated Environmental Impacts and Mitigation Measures

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Project Activity** | **Potential impact** | | **Proposed mitigation measures** | **Responsible party** |
| **Component 1** | | | | |
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| **Component 2** | | | | |
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| **Component 2** | | | | |
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## Adverse Social Impacts

Insert narrative text here, divided by Component.

## 4.4 Social Mitigation Measures

Table 4. Anticipated Social Impacts and Mitigation Measures

|  |  |  |  |
| --- | --- | --- | --- |
| **Project Activity** | **Potential impact** | **Proposed mitigation measures** | **Responsible party** |
| ***Component 1*** | | | |
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| **Component 2** | | | |
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| **Component 3** | | | |
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|  |  |  |  |

## 4.5 Process Framework: Livelihood Restoration Measures

The development of site-specific management plans as part of the project may result in restrictions of access to livelihoods and natural resources for local communities. Describe in more detail what this may look like in project. This section should be around 3 pages long.

Any change of land use, sea use or new zonation should be based on free and prior informed consultations of the affected communities and relevant authorities, which should be carried out prior to finalizing any usage changes.

Livelihoods-related support during project implementation will be provided to the households (HH) of all communities impacted by project-induced restrictions of access to natural and community resources within the targeted areas. This process will be organized in the following manner:

* *Screening*
* *Social assessment*
* *Livelihood Restoration Plans*
* *Mitigation measures as part of the LRPs*
* *Compensation*

## 4.6 Indigenous Peoples Planning Framework (IPPF)

### IP Population of Project Sites

Insert brief descriptions here, according to project sites/regions/areas as appropriate

### Project Impacts on IPs Groups

Insert description of project impacts on IPs here

### Mitigation Planning

Describe the mitigation planning steps that the project must take to screen and assess the potential social and environmental risks on Indigenous Peoples in the project area(s) and who is responsible for undertaking the planning/implementation.

### Steps for Formulating an IPP

WWF’s Standard on Indigenous People requires that, regardless of whether Project affected IPs are affected adversely or positively, an IPP needs to be prepared with care and with the full and effective participation of affected communities.

The requirements include screening to confirm and identify affected IP groups in the project areas, social analysis to improve the understanding of the local context and affected communities; a process of free, prior, and informed consent with the affected IPs’ communities in order to fully identify their views and to obtain their broad community support to the project; and development of project-specific measures to avoid adverse impacts and enhance culturally appropriate benefits.

Minimum requirements for projects working in areas with IPs are:

* Identification of IP groups through screening;
* Assessment of project impacts;
* Consultations with affected IP communities following FPIC principles and obtain their broad community support;
* Development of sites specific IPs plan (IPP) to avoid adverse impacts and provide culturally appropriate benefits; and
* In activities with no impacts, the requirements could be limited to consultations during implementation to keep local communities informed about project activities and documentation of all consultations held.

### Social Assessments

WWF’s Standard on Indigenous People requires screening for IPs to assess risks and opportunities and to improve the understanding of the local context and affected communities. Please describe here activities that may result in adverse impacts on IPs.

### Development of IP Plans (IPP)

Based on the results of the social assessments, an IP Plan shall be developed for each project site.

The contents of the IPP will depend on the specific project activities identified and the impacts these activities may have on IPs in the project area. As a minimum, the IPP should include the following information:

* + Description of the IPs affected by the proposed activity;
  + Summary of the proposed activity;
  + Detailed description of IPs’ participation and consultation process during implementation;
  + Description of how the project will ensure culturally appropriate benefits and avoid or mitigate adverse impacts;
  + Budget;
  + Mechanism for complaints and conflict resolution; and
  + Monitoring and evaluation system that includes monitoring of particular issues and measures concerning indigenous communities.

For project activities that may result in changes in IPs’ access to livelihoods , the provisions of the Process Framework (Section 4.5) should be followed.

### Free, Prior and Informed Consent Framework

Free, Prior and Informed Consent (FPIC) is an approach for ensuring that the rights of IPs are guaranteed in any decision that may negatively affect their lands, territories or livelihoods. It ensures that they have the right to give or withhold their consent to these activities without fear of reprisal or coercion, in a timeframe suited to their own culture, and with the resources to make informed decisions.

FPIC is composed of four separate components:

* Free—Without coercion, intimidation, manipulation, threat or bribery.
* Prior—indicates that consent has been sought sufficiently in advance, before any project activities have been authorized or commenced, and that the time requirements of the indigenous community’s consultation/consensus processes have been respected.
* Informed—Information is provided in a language and form that are easily understood by the community, covering the nature, scope, purpose, duration and locality of the project or activity as well as information about areas that will be affected; economic, social, cultural and environmental impacts, all involved actors, and the procedures that the project or activity may entail.
* Consent—The right of IPs to give or withhold their consent to any decision that will impact their lands, territories, resources, and livelihoods.

The processes of consultation and obtaining FPIC will be applied to all the aspects of the project (financed under WWF) that may negatively affect the rights of the IPs and ethnic minorities. FPIC will be required on any matters that may negatively affect the rights and interests, water areas, lands, resources, territories (whether titled or untitled to the people in question) and traditional livelihoods of the IPs concerned.

Thus, FPIC is integral to the execution of the proposed project, as the project areas includes diverse indigenous communities. WWF recognizes the strong cultural and spiritual ties many IP groups have to their lands and territories and committed to strengthen these ties in all WWF/GEF/GCF funded projects. FPIC gives IPs the freedom to determine their own development path to promoting conservation sustainably. The following checklist (Box 1) may assist in helping to determine whether some Project activities may require an FPIC process

|  |
| --- |
| **Box 1. Checklist for appraising whether an activity may require an FPIC Process**   * 1. Will the activity involve the use, taking or damage of cultural, intellectual, religious and/or spiritual property from IPs?   2. Will the activity adopt or implement any legislative or administrative measures that will affect the rights, lands, territories and/or resources of IPs (e.g. in connection with the development, utilization or exploitation of mineral, water or other resources; land reform; legal reforms that may discriminate de jure or de facto against IPs, etc.)?   3. Will the activity involve natural resource extraction such as logging or mining or agricultural development on the lands/territories of IPs?   4. Will the activity involve any decisions that will affect the status of IPs’ rights to their lands/territories/water resources, resources or livelihoods?   5. Will the activity involve the accessing of traditional knowledge, innovations and practices of indigenous and local communities?   6. Will the activity affect IPs’ political, legal, economic, social, or cultural institutions and/or practices?   7. Will the activity involve making commercial use of natural and/or cultural resources on lands subject to traditional ownership and/or under customary use by IPs?   8. Will the activity involve decisions regarding benefit-sharing arrangements, when benefits are derived from the lands/territories/resources of IPs (e.g. natural resource management or extractive industries)?   9. Will the activity have an impact on the continuance of the relationship of the IPs with their land or their culture?   10. Will the interventions/activities restrict on access to NTFPs, timber, lands, etc. and other sources of livelihoods and community resources? |

If the answer is ‘Yes’ to any of these questions in Box 1, it is likely that FPIC will be required of the potentially affected indigenous peoples for the activity that may result in the impacts identified in the questions. When an FPIC process is required, a stakeholder consultation process will need to be initiated to define and agree on an FPIC process with the community or communities. The IPs who may be affected by the Project will have a central role in defining the FPIC process, based on their own cultural and governance practices. The consultation process should be launched as early as possible to ensure full, effective and meaningful participation of IPs.

All consultations with IPs should be carried out in good faith with the objective of seeking agreement or consent. Consultation and consent is about IPs’ right to meaningfully and effectively participate in decision-making on matters that may affect them. Consultations and information disclosure are integral parts of FPIC process and any development support planning for IPs to ensure that the priorities, preferences, and needs of the indigenous groups are taken into consideration adequately. With that objective in view, a strategy for consultation with IPs has been proposed so that all consultations are conducted in a manner to ensure full and effective participation. The approach of full and effective participation is primarily based upon transparent, good faith interactions, so that everyone in the community is empowered to join fully in the decision-making process. It includes providing information in a language and manner the community understands and, in a timeframe, compatible with the community’s cultural norms.

The affected IPs will be actively engaged in all stages of the project cycle, including project preparation, and feedback of consultations with the IPs will be reflected in the project design, followed by disclosure. Their participation in project preparation and planning has informed project design and will continue to actively participate in the project execution. Once the IPP or LRP is prepared, it will be translated into local languages (as applicable) and made available to them before implementation, including in formats other than written documents if and when requested by the communities.

[Insert executing agency] shall ensure adequate flow of funds for consultation and facilitation of planned activities within the IPP. Project brochures and pamphlet with infographic containing basic information such as sub-project location, impact estimates, and mitigation measures proposed, and implementation schedule will be prepared, translated into a language understandable to the IPs, and distributed among them. If literacy is low in the communities, other means of communication must also be agreed upon with them, especially targeting community members who may have lower literacy levels.

A range of consultative methods will be adopted to carry out consultation including, but not limited to: focus group discussions (FGDs), public meetings, community discussions, and in-depth and key informant interviews; in addition to the censuses and socioeconomic surveys.

The key stakeholders to be consulted during screening, impact assessment; design and implementation of IPP, LRP and Process Framework (PF) include:

* All affected persons belonging to IPs/marginalized groups;
* Appropriate government Departments/Ministries
* Provincial and municipal government representatives;
* Insert relevant community cooperatives, management structures, umbrella bodies, etc;
* The private sector:
* Academia representatives.

The project will ensure adequate representation of each group of stakeholders mentioned above while conducting consultations using various tools and approaches.

The views of IPs communities are to be considered during execution of project activities, while respecting their practices, beliefs and cultural preferences. The outcome of the consultations will be documented into the periodical reports and included in project's trimester progress reports. The Project Manager with support of the Safeguards Specialist will also ensure that affected persons are involved in the decision-making process.

**Procedures to seek FPIC**

Project interventions and activities adversely affecting the IPs, therefore, need to follow a process of free, prior, and informed consent, with the affected IPs in order to fully identify their views and to seek their broad community support to the project; and development of project-specific measures to avoid adverse impacts and enhance culturally appropriate benefits.

Community involvement is a critical component of FPIC, as FPIC is a collective process, rather than an individual decision. In practice, FPIC is implemented through a participatory process involving all affected groups that is carried out prior to the finalization or implementation of any project activities, decisions or development plans. FPIC is established through good faith negotiation between the project and affected IPs. A facilitator should support this process, a person who will be available throughout the Project, who speaks the necessary languages and is aware of the project context. This person may or may not be part of the PMU, but should be agreeable to all parties involved.

Box 2 below outlines some generic steps to be followed for FPIC with the affected IPs in order to seek their broad community support.

|  |
| --- |
| **Box 2. Steps for Seeking FPIC from Project Affected Indigenous Peoples**   * + - 1. Identify communities, sub-groups within communities, and other stakeholders with potential interests/rights (both customary and legal) on the land or other natural resources that are proposed to be developed, managed, utilized, or impacted by the proposed project activity.       2. Identify any rights (customary and legal) or claims of these communities to land or resources (e.g., water rights, water access points, or rights to hunt or extract forest products) that overlap or are adjacent to the site(s) or area(s) of the proposed project activity;       3. Identify whether the proposed project activity may diminish the rights, claims, or interests identified in Step 2 above and also identify natural resources that may be impacted by this project and the legal and customary laws that govern these resources;       4. Provide the details of proposed project activities to be implemented along with their likely impacts on IPs either positively or negatively, as well as the corresponding proposed mitigation measures in a language or means of communication understandable by the affected IPs;       5. All project information provided to IPs should be in a form appropriate to local needs. Local languages should usually be used and efforts should be made to include all community members, including women and members of different generations and social groups (e.g. clans and socioeconomic background);       6. Selection of facilitator, who will be available throughout the Project, who speaks the necessary languages and is aware of the project context, and is culturally and gender-sensitive. The facilitator should be trustworthy to affected IPs. It will also be helpful to involve any actors which are likely to be involved in implementing the FPIC process, such as local or national authorities       7. If the IP communities are organized in community associations or umbrella organizations, these should usually be consulted.       8. Provide sufficient time for IPs’ decision-making processes (it means allocate sufficient time for internal decision-making processes to reach conclusions that are considered legitimate by the majority of the concerned participants)       9. Support a process to create a mutually respected decision-making structure in cases where two or more communities claim rights over a project site.       10. If FPIC is not familiar to the community, engage in a dialogue to identify existing decision-making structures that support the principles underlying FPIC.       11. Identify the community-selected representative(s) or “focal people” for decision making purpose-- identification of the decisionmakers and parties to the negotiation.       12. Agree on the decisionmakers or signatory parties and/or customary binding practice that will be used to conclude the agreement, introducing the chosen representatives, their role in the community, how they were chosen, their responsibility and role as representatives;       13. If consent is reached, document agreed upon outcomes/activites that are to be included into the project, and agree on a feedback and a project grievance redress mechanism. Agreements reached must be mutual and recognized by all parties, taking into consideration customary modes of decision-making and consensus-seeking. These may include votes, a show of hands, the signing of a document witnessed by a third party, performing a ritual ceremony that makes the agreement binding, and so forth;       14. When seeking “broad community consent/support” for the project, it should be ensured that all relevant social groups of the community have been adequately consulted. This may mean the project staff have to seek out marginalized members, or those who don’t have decision-making power, such as women. When this is the case and the “broad” majority is overall positive about the project, it would be appropriate to conclude that broad community support/consent has been achieved. Consensus building approaches are often the norm, but “broad community consent/support" does not mean that everyone has to agree to a given project;       15. When the community agrees on the project, document the agreement process and outcomes including benefits, compensation, or mitigation to the community, commensurate with the loss of use of land or resources in forms and languages accessible and made publicly available to all members of the community, providing for stakeholder review and authentication;       16. The agreements or special design features providing the basis for broad community support should be described in the IPs Plan; any disagreements should also be documented; and       17. Agree on jointly defined modes of monitoring and verifying agreements as well as their related procedures: how these tasks will be carried out during project implementation, and the commission of independent periodic reviews (if considered) at intervals satisfactory to all interest groups. |

### Disclosure

The final IPPF and PF and any site specific IPPs and LRPs will be disclosed on the website of the executing agency [insert agency name] and the website of WWF and made available to affected IPs; information dissemination and consultation will continue throughout project execution. Summaries of IPPs and mitigation measures proposed in IPPs will be translated into [insert appropriate language(s)] and paper copies will be made available to the affected persons in the office of relevant local authorities.

### Institutional and monitoring arrangements

The Safeguards Specialist will be responsible for the development and implementation of the IPPF and any IPP, with support from the PMU Project Manager on logistical matters (e.g., conducting field visits, reaching out to IP communities, convening meetings, etc.).

The Safeguards Specialist will periodically report on the implementation of the IPPF/IPP to the Project Manager, [executing agency], and WWF US. Monitoring and reporting will be undertaken together with reporting on the other ESMF commitments (as indicated in Section 5.4).

## 4.7 Cultural Heritage Mitigation Measure

## 4.8 Pest Management Plan

# **Implementation Arrangements**

## 5.1. Procedures for the Identification and Management of Environmental and Social Impacts

The following is an exclusion list of activities will not be financed by the [insert project name] project. This includes activities that:

1. Lead to land management practices that cause degradation (biological or physical) of the soil and water. Examples include, but are not limited to: the felling of trees in core zones and critical watersheds; activities involving quarrying and mining; commercial logging; or dredge fishing.
2. Negatively affect areas of critical natural habitats or breeding ground of known rare/endangered species.
3. Significantly increase GHG emissions.
4. Use genetically modified organisms or modern biotechnologies or their products.
5. Involve the procurement and/or use of pesticides and other chemicals specified as persistent organic pollutants under the Stockholm Convention or within categories IA, IB, or II by the World Health Organization.
6. Develop forest plantations.
7. Result in the loss of biodiversity, alteration of the functioning of ecosystems, and introduction of new invasive alien species.
8. Involve the procurement or use of weapons and munitions or fund military activities.
9. Lead to private land acquisition and/or physical displacement and voluntary or involuntary relocation of people, including non-titled and migrant people.
10. Contribute to exacerbating any inequality or gender gap that may exist.
11. Involve illegal child labor, forced labor, sexual exploitation or other forms of exploitation.
12. Adversely affect indigenous peoples' rights, lands, natural resources, territories, livelihoods, knowledge, social fabric, traditions, governance systems, and culture or heritage (physical and non-physical or intangible) inside and/or outside the project area.
13. Negatively impact areas with cultural, historical or transcendent values for individuals and communities.

In advance of the initiation of any project activity, the Safeguards Specialist should fill in detailed information regarding the nature of the activity and its specific location in the *Safeguards Eligibility and Impacts Screening* form (Annex 1). Part 1 of this form comprises of basic information regarding the activity; Part 2 contains basic “pre-screening” questions. If the response to any of the questions in these two parts is *“Yes”,* the activity will be deemed ineligible for funding under the Project. The executing partners will thus be required to change the nature or location of the proposed activity so that it complies with all safeguards requirements and all responses at the *Safeguards Eligibility and Impacts Screening* form are negative.

If the activity is deemed eligible according to Part 2, anenvironmental and social screening procedure will be carried out in accordance with Part 3 of *Safeguard Eligibility and Impacts Screening* format, which is based on the WWF’s SIPP and applicable [insert country name] laws and regulations. The executing partners shall respond to the specific questions in Part 3 of the form, provide general conclusions regarding the main environmental and social impacts of each proposed activity, outline the required permits or clearances, and specify whether any additional assessments or safeguard documents (e.g., ESMP) should be prepared.

Issues that are considered as part of this environmental and social screening include the following:

* 1. Need for government-land acquisition;
  2. Environmental impacts (e.g., dust, noise, smoke, ground vibration, pollution, flooding, etc.) and loss or damage to natural habitat;
  3. Social impacts: identification of vulnerable groups or indigenous peoples, impacts on community resources, impacts on livelihoods and socio-economic opportunities, restrictions of access to natural resources, land usage conflicts, impacts on tangible or intangible cultural heritage, etc.; and
  4. Health and safety issues (both for workers and for local communities).

The screening of each activity should be undertaken by the Safeguards Specialist. If the screening process indicates that additional assessments or safeguards documents shall be prepared, these should be carried out by the executing partners prior to the start of activities.

If the screening reveals adverse environmental or social impacts that may arise from the planned activity, an ESMP should be prepared. The ESMP should be prepared by the Safeguards Specialist, in collaboration with the Project Manager(s).

## 5.2. Guidelines for ESMP Development

In case that the Environmental and Social screening process identifies any adverse environmental or social impacts as a result of specific project activities, the Safeguards Specialist in collaboration with the Project Manager(s) should develop a site- and activity-specific ESMP. The ESMP should be prepared before the initiation of the project activity and closely follow the guidance provided in this ESMF.

The ESMP should describe adverse environmental and social impacts that are expected to occur as a result of the specific project activity, outline concrete measures that should be undertaken to avoid or mitigate these impacts, and specify the implementation arrangements for administering these measures (including institutional structures, roles, communication, consultations, and reporting procedures).

The structure of the ESMP should be as follows:

1. ***A concise introduction***: explaining the context and objectives of the ESMP, the connection of the proposed activity to the project, and the findings of the screening process.
2. ***Project description:*** Objective and description of activities, nature and scope of the project (location with map, construction and/or operation processes, equipment to be used, site facilities and workers and their camps; bill of quantities if civil works are involved, activity schedule).
3. ***Baseline environmental and social data:*** Key environmental information or measurements such as topography, land use and water uses, soil types, and water quality/pollution; and data on socioeconomic conditions of the local population. Photos showing the existing conditions of the project sites should also be included.
4. ***Expected impacts and mitigation measures:*** Description ofspecific environmental and social impacts of the activity and corresponding mitigation measures.
5. ***ESMP implementation arrangements****:* Responsibilities for design, bidding and contracts where relevant, monitoring, reporting, recording and auditing.
6. ***Capacity Need and Budget:*** Capacity needed for the implementation of the ESMP and cost estimates for implementation of the ESMP.
7. ***Consultation and Disclosure Mechanisms:*** Timeline and format of disclosure.
8. ***Monitoring:*** Environmental and social compliance monitoring with responsibilities.
9. ***Grievance Mechanism:*** Provide information about the grievance mechanism, how PAPs can access it, and the grievance redress process.
10. ***A site-specific community and stakeholder engagement plan:*** In order to ensure that local communities and other relevant stakeholders are fully involved in the implementation of the ESMP, a stakeholder engagement plan should be included in the ESMP. Specific guidelines on community engagement are provided in Section 5.8 below.

## 5.3. Stakeholders' Role & Responsibilities in the ESMF Implementation

### (a) General

The institutional arrangement (Figure X) for project implementation includes WWF as the GEF Agency, [insert name] as the Lead Executing Agency, and a Project Steering Committee.

Figure X. Project Institutional Arrangement

**[Insert name here] is the** **Lead Executing Agency** for the project, which will beresponsible for overseeing the implementation of project activities, including [insert specifics here] As part of its responsibilities, [name] will host a Project Management Unit (PMU). The PMU will be responsible for the day-to-day management of the project, including project administration (including issuing sub-grants), project management, and monitoring and reporting. The PMU will be comprised of a [insert the list of roles that will be part of the PMU here]

**National executing agency:**

**Project Steering Committee (PSC):**

**WWF GEF Agency:** WWF-US, through its WWF GEF Agency will: (i) provide consistent and regular project oversight to ensure the achievement of project objectives; (ii) liaise between the project and the GEF Secretariat; (iii) report on project progress to GEF Secretariat (annual Project Implementation Report); (iv) ensure that both GEF and WWF policy requirements and standards are applied and met (i.e. reporting obligations, technical, fiduciary, M&E); (v) approve annual workplan and budget; (vi) approve budget revisions, certify fund availability and transfer funds; (vii) organize the terminal evaluation and review project audits; (viii) certify project operational and financial completion, and (ix) provide no-objection to key terms of reference for project management unit.

### Safeguards Implementation

Specific arrangements and responsibilities related to the implementation of environmental and social safeguards requirements, as stated in this ESMF/PF are as follows:

**Lead executing agency:**

**Project Steering Committee:**



**WWF GEF Agency:**

* Overall oversight and monitoring of compliance with safeguards commitments.
* Support and specific recommendations on specific safeguard issues if needed.

**PMU:**



**Safeguards Specialist within PMU:**



## 5.4. Monitoring

The compliance of Project activities with the ESMF will be thoroughly monitored by various entities at different stages of preparation and implementation. Describe how that will happen in this section.

* ***Monitoring at the project level***

Describe the responsibility for implementing the ESMF and for monitoring compliance with the Project’s environmental safeguard activities here.

* ***Monitoring at the field activity level***

Describe who is responsible for monitoring field activities and ensuring that they fully comply with the ESMF and any national laws.

***Disbursement of project funds will be contingent upon their full compliance with the safeguards requirements.***

* ***Monitoring at the agency level***

WWF as the project’s implementing agency and [name] the executing agency are responsible to oversee compliance with the ESMF.

In order to facilitate compliance monitoring, [insert executing agency name] will include information on the status of ESMF implementation in the six-monthly Project Progress Reports (PPRs) and the annual Project Implementation Review (PIR) reports.

## 5.5. Community Engagement

Community consultation has been an integral part of these assessments as well as the proposed project design and will be carried out as a continuous process through the project cycle. This section describes the community engagement during project preparation and implementation. This section is an overview, whereas the full details will be written out in the Stakeholder Engagement Plan.

### Community engagement during Project Preparation

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### Community engagement during ESMF/PF Preparation

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### Community engagement during project implementation

The communities residing in and around the project area are the ultimate recipient of project impacts and benefits, and therefore a key stakeholder- their participation and support is key to project success. This section is an overview of the information that will be included in the Stakeholder Engagement Plan, and should only be 1-2 pages long.

## 5.6. Guidance for SEAH Risk Mitigation

According to the results of the screening provided in Appendix X of this ESMF, a detailed plan to address SEAH risks will be developed within the first six months of project start-up, using both information already included in the GAP and updated procedures for SEAH-specific grievances outlined in Section 14 below. This will include:

* Inclusion of any identified SEAH-related risk mitigation measures into the project’s annual workplan and budget and annual reporting requirements.
  + This will require the participation of the entire PMU in reviewing any identified risks and mitigation measures to ensure that all staff understand their responsibilities and the responsibilities of EEs, project partners, contractors, and any other entities who will receive GCF funding for this project.
* Development of a communication mechanism between the local project partners and the PMU’s Gender and SEAH Specialist in order to address in a timely manner any SEAH situation that may arise at the territorial level. This early warning system will be included in the project's security protocol, and will require:
  + Reporting any such grievances or challenges within a defined time period of no less than 5 business days. This shall hold true even if grievances are informally submitted (i.e. not through an official GRM)
  + The confidentiality of anyone who has received a complaint or become aware of a SEAH-related situation, including protecting the personal identifiable information of all parties- both the potential victim(s) and potential perpetrators(s).
* Strengthen the capacities of the project's implementing partners on prevention of GBV and SEAH as well as WWF policies and codes of conduct to address SEAH risk. These trainings will be done in partnership by the project's Gender & SEAH and ESS Specialists and should include:
  + Training within the first 3 months of project implementation that have been prepared with oversight and final approval from the WWF GCF AE Safeguards and Gender Leads.
  + Be mandatory for all implementing partner staff who will be involved in the GCF-financed activities.
* Strengthen the landscape technical committees so that they can establish rapid response mechanisms to address issues associated with threats to environmental leaders and gender-based violence. This includes, but is not limited to:
  + In cases of such threats, provide them with additional resources to ensure a timely response that is focused on the well-being of anyone who is threatened.
  + Provide the same GBV and SEAH training to these committees that the implementing partners will receive.
* Strengthen the capacities of the entities that participate in the multi-stakeholder bodies that will be strengthened by the project, so that specific prevention and rapid response measures are included to address GBV and SEAH-specific threats, including to social and environmental leaders they may work with.
  + Provide the same GBV and SEAH training to these multi-stakeholder bodies that the implementing partners will receive.

## 5.6. Communications and Disclosure

All affected communities and relevant stakeholders shall be informed about the ESMF requirements and commitments. The executive summary of the ESMF will be translated into [inert relevant language(s)] and made available along with the ESMF and SEP on the websites of [inert name of executing agency], as well as the websites of the WWF GEF Agency. Hard copies of the ESMF will be placed in appropriate public locations and at [executing agency]. Project Managers and the Safeguards and Gender Specialists at [executing agency] will be responsible to raise community awareness regarding the requirements of the ESMF, and will also ensure that all external contractors and service providers are fully familiar and comply with the ESMF and other safeguards documents.

During the implementation of the project, activity-specific ESMPs shall be prepared in consultation with affected communities and disclosed to all stakeholders prior to project concept finalization. All draft ESMPs shall be reviewed and approved by [executing agency] in consultation with the PSC and WWF GEF Agency in advance of their public disclosure. The PMU must also disclose to all affected parties any action plans prepared during project implementation, including gender mainstreaming.

Disclosure should be carried out in a manner that is meaningful and understandable to the affected people. For this purpose, the executive summary of ESMPs or the terms and conditions in environment clearances should be disclosed on [executing agency] and WWF websites.

The disclosure requirements are summarized in Table 4 below.

Table 4: Disclosure framework for ESMF related documents

|  |  |  |
| --- | --- | --- |
| **Documents to be disclosed** | **Frequency** | **Where** |
| Environment and Social Management Framework | Once in the entire project cycle. Must remain on the website and other public locations throughout the project period. | On the website of [executing agency] and WWF. Copies should be available at [PMU office], and in local municipal offices in project areas |
| Environmental and Social Management Plan/s | Once in the entire project cycle for every activity that requires ESMP. Must remain on the website and other disclosure locations throughout the project period. | On the website of [executing agency] and WWF. Copies should be available at BFAR, and in local municipal offices in project areas |
| Safeguards Monthly Progress Report | Monthly | Copies should be available at [PMU office], and in local municipal offices in project areas |
| Minutes of Formal Public Consultation Meetings | Within two weeks of meeting | On the website of [executing agency] and WWF. Copies should be available at [PMU office] and in local municipal offices in project areas |
| Grievance redress process | Quarterly, throughout the project cycle | On the website of [executing agency]. Copies should be available at the [PMU office] |

## 5.7. Capacity Building and technical assistance

Capacity building activities will be provided as needed by WWF US to [executing agency name] to provide the latter with ESMF/PF/IPPF implementation requirements and good practices. These will focus in particular on issues related to the [insert specifics here- may include things such as preparation of LRPs and IPPs, organization of consultations, operationalization of the GRM, and monitoring of ESMF implementation]. The budget for capacity building shall be included in Component X.

## 5.8. Grievance Mechanisms

The project will have a direct and tangible effect on local communities and individuals residing within or in the vicinity of project sites. There is thus a need for an efficient and effective Grievance Redress Mechanism (GRM) that collects and responds to stakeholders’ inquiries, suggestions, concerns, and complaints. This section will describe the details of the GRM, including details on the process to submit a grievance, how long the PMU will have to respond, and who on the PMU will be responsible for it’s implementation and reporting.

The GRM will operate based on the following principles:

1. ***Fairness*:** Grievances are assessed impartially, and handled transparently.
2. ***Objectiveness and independence:*** The GRM operates independently of all interested parties in order to guarantee fair, objective, and impartial treatment to each case.
3. ***Simplicity and accessibility:*** Procedures to file grievances and seek action are simple enough that project beneficiaries can easily understand them and in a language that is accessible to everyone within a given community, especially those who are most vulnerable.
4. ***Responsiveness and efficiency****:* The GRM is designed to be responsive to the needs of all complainants. Accordingly, officials handling grievances must be trained to take effective action upon, and respond quickly to, grievances and suggestions.
5. ***Speed and proportionality:***  All grievances, simple or complex, are addressed and resolved as quickly as possible. The action taken on the grievance or suggestion is swift, decisive, and constructive.
6. ***Participation and inclusiveness:*** A wide range of affected people—communities and vulnerable groups—are encouraged to bring grievances and comments to the attention of the project implementers. Special attention is given to ensure that poor people and marginalized groups, including those with special needs, are able to access the GRM.
7. ***Accountability and closing the feedback loop:*** All grievances are recorded and monitored, and no grievance remains unresolved. Complainants are always notified and get explanations regarding the results of their complaint. An appeal option shall always be available.

Complaints may include, but not be limited to, the following issues:

1. Allegations of fraud, malpractices or corruption by staff or other stakeholders as part of any project or activity financed or implemented by the project, including allegations of gender-based violence or sexual exploitation, abuse, or harassment;
2. Environmental and/or social damages/harms caused by projects financed or implemented (including those in progress) by the project;
3. Complaints and grievances by permanent or temporary workers engaged in project activities.

Complaints could relate to pollution prevention and resource efficiency; negative impacts on public health, environment or culture; destruction of natural habitats; disproportionate impact on marginalized and vulnerable groups; discrimination or physical or sexual harassment; violation of applicable laws and regulations; destruction of physical and cultural heritage; or any other issues which adversely impact communities or individuals in project areas. The grievance redress mechanism will be implemented in a culturally sensitive manner and facilitate access to vulnerable populations. Special training will be provided to the ESS Specialists within the first 6 months of project implementation, or before the GRM is finalized, whichever is sooner. This will help to ensure they have the capacity to address SEAH-related grievances in a culturally sensitive and victim-centered way.

1. **Disseminating information about the GRM:**
2. **Submitting complaints**:
3. **Processing complaints**:
4. **Acknowledging the receipt of complaints**:
5. **Investigating complaints**:
6. **Responding to complainants:**
7. **Appeal**:
8. **Monitoring and evaluation**:.

The GRM seeks complement, rather than substitute, the judicial system and other dispute resolution mechanisms. All complainants may therefore file their grievance in local courts or approach mediators or arbitrators, in accordance with the legislation of [insert country name]. In addition to the project-specific GRM, a complainant can submit a grievance to the WWF GEF Agency. A grievance can also be filed with the Project Complaints Officer (PCO), a WWF staff member fully independent from the Project Team, who is responsible for the WWF Accountability and Grievance Mechanism and who can be reached at:

Email: SafeguardsComplaint@wwfus.org

Mailing address:

Project Complaints Officer

Safeguards Complaints,

World Wildlife Fund

1250 24th Street NW

Washington, DC 20037

Stakeholders may also submit a complaint online through an independent third-party platform at <https://report.whistleb.com/en/wwf>.

Stakeholder may also submit a complaint online through an independent third-party platform at <https://secure.ethicspoint.com/domain/media/en/gui/59041/index.html>

## 5.9. Budget

The ESMF implementation costs, including all costs related to compensation to project affected people, will be fully covered from the project budget. It will be the responsibility of the Safeguards Specialist to ensure that sufficient budget is available for all activity-specific mitigation measures that may be required in compliance with the ESMF.

A full time Safeguards Specialist will be employed and 100% of their time will be dedicated to ensuring the ESMF implementation. The project manager in [PMU] will oversee the ESMF implementation.

Budget for capacity building on [ESMF/PF/IPPF] implementation, travel costs and workshops and meetings for safeguards monitoring (including travel, workshops and meetings) will be included in the overall monitoring and evaluation budget under Component X of the project.

# **Annex 1. Safeguard Eligibility and Impacts Screening**

This screening tool needs to be filled out for each activity or category of activities included in the annual work plan and budget. In addition, the screening tool needs to be completed whenever management measures or management plans are developed and/or when project intervention areas are determined.

The tool will be filled out by the Safeguards Specialist and reviewed by the M&E Officer. The decision on whether a Site-Specific Environmental and Social Management Plan (ESMP) or Livelihood Restoration Plan (LRP) are required shall be made by the Safeguards Specialist in consultation with the WWF GEF Agency Safeguards Specialists and [insert relevant other title/body], based on the information provided in this screening form, as well as interviews with the PMU staff, local communities, and any other relevant stakeholders.

# **Part 1: Basic Information**

|  |  |  |
| --- | --- | --- |
| **1** | **Activity Name** |  |
|  | **Description of Activity (“sub-activities”)** |  |
| 2 | Type of Activity: | New activity ☐ Continuation of activity ☐ |
| 3 | Activity location: |  |
| 4 | Total size of site area |  |
| 5 | Activity implementation dates |  |
| 6 | Total cost |  |

(Move to Part 2 after filling in all information in the table above)

# **Part 2: Eligibility Screening**

| **No.** | **Screening Questions: *Would the project activity*** | **Yes** | **No** | **Comments/ Explanation** |
| --- | --- | --- | --- | --- |
| 1 | Lead to land management practices that cause degradation (biological or physical) of the soil and water? Examples include, but are not limited to: the felling of trees in core zones and critical watersheds; activities involving quarrying and mining; commercial logging; or dredge fishing. |  |  |  |
| 2 | Negatively affect areas of critical natural habitats or breeding ground of known rare/endangered species? |  |  |  |
| 3 | Significantly increase GHG emissions? |  |  |  |
| 4 | Use genetically modified organisms or modern biotechnologies or their products? |  |  |  |
| 5 | Involve the procurement and/or use of pesticides and other chemicals specified as persistent organic pollutants under the Stockholm Convention or within categories IA, IB, or II by the World Health Organization? |  |  |  |
| 6 | Develop forest plantations? |  |  |  |
| 7 | Result in the loss of biodiversity, alteration of the functioning of ecosystems, and introduction of new invasive alien species? |  |  |  |
| 8 | Involve the procurement or use of weapons and munitions or fund military activities? |  |  |  |
| 9 | Lead to private land acquisition and/or the to physical displacement and voluntary or involuntary relocation of people, including non-titled and migrant people? |  |  |  |
| 10 | Contribute to exacerbating any inequality or gender gap that may exist? |  |  |  |
| 11 | Involve illegal child labor, forced labor, sexual exploitation or other forms of exploitation? |  |  |  |
| 12 | Adversely affect indigenous peoples' rights, lands, natural resources, territories, livelihoods, knowledge, social fabric, traditions, governance systems, and culture or heritage (physical and non-physical or intangible) inside and/or outside the project area? |  |  |  |
| 13 | Negatively impact areas with cultural, historical or transcendent values for individuals and communities? |  |  |  |
| Please provide any further information that can be relevant: | | | | |

If all answers are “No”, project activity is eligible and move to Part 3

If at least one question answered as “yes”, the project activity is ineligible and the proponent can reselect the site of project activity and do screening again.

# **Part 3: Impacts screening**

Answer the questions below and follow the guidance to provide basic information regarding the suggested activity and describe its potential impacts.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **No.** | | **Would the project activity:** | **Yes/No** | | **Provide explanation and supporting documents if needed** | |
| ***Environmental Impacts*** | | | | | | |
| 1 | Result in permanent or temporary change in land use, land cover or topography. | | |  | |  | |
| 2 | Involve clearance of existing land vegetation | | |  | | If yes, number of trees to be cut down:  Species of trees:  Are the trees protected:  Total land area of vegetation cover removed:  Estimated economic value of the trees, crops and vegetation to be cut down / removed and any replacement costs (e.g., fees, registration, taxes):  *Provide additional details:* | |
| 3 | Does the activity involve reforestation or modification of natural habitat? If yes, will it involve use or introduction of non-native species into the project area? | | |  | |  | |
| 4 | Will pesticides be used? If so, are they on the list of those excluded by the Stockholm Convention? | | |  | |  | |
| 5 | Result in environmental pollution? This may include air pollution, liquid waste, solid waste, or waste as the result of earth moving or excavation for example | | |  | |  | |
| 6 | Trigger land disturbance, erosion, subsidence, or instability? | | |  | |  | |
| 7 | Result in significant use of water, such as for construction? | | |  | |  | |
| 8 | Produce dust during construction and operation? | | |  | |  | |
| 9 | Generate significant ambient noise? | | |  | |  | |
| 10 | Increase the sediment load in the local water bodies? | | |  | |  | |
| 11 | Change on-site or downstream water flows? | | |  | |  | |
| 12 | Negatively affect water dynamics, river connectivity or the hydrological cycle in ways other than direct changes of water flows (e.g. water filtration and aquifer recharge, sedimentation)? | | |  | |  | |
| 13 | Result in negative impacts to any endemic, rare or threatened species; species that have been identified as significant through global, regional, national, or local laws? | | |  | |  | |
| 14 | Could the activity potentially increase the vulnerability of local communities to climate variability and changes (e.g., through risks and events such as landslides, erosion, flooding, or droughts)? | | |  | |  | |
| ***Socio-Economic Impacts*** | | | | | | |
| 15 | Negatively impact existing tenure rights (formal and informal) of individuals, communities or others to land, fishery and forest resources? | | |  | |  | |
| 16 | Operate where there are indigenous peoples and their lands/territories/waters are located?    OR    Operate where any indigenous communities have close cultural/spiritual or land use relationships? If yes to either, answer questions below: | | |  | |  | |
|  | 1. Has an FPIC process been started? 2. Will any restrictions on their use of land/territories/water/natural resources be restricted? | | |  | |  | |
| 17 | Restrict access to natural resources (e.g., watersheds or rivers, grazing areas, forestry, non-timber forest products) or restrict the way natural resources are used, in ways that will impact livelihoods? | | |  | |  | |
| 18 | Restrict access to sacred sites of local communities (including ethnic minorities) and/or places relevant for women’s or men’s religious or cultural practices? | | |  | |  | |
| 19 | Operate where there are any cultural heritage or religious or sacred sites that may be impacted by the project? | | |  | |  | |
| 20 | Undermine the customary rights of local communities to participate in consultations in a free, prior, and informed manner to address interventions directly affecting their lands, territories or resources? | | |  | |  | |
| ***Labor and Working Conditions*** | | | | | | |
| 21 | Involve hiring of workers or contracting with labor agencies to provide labor? If yes, answer questions a-b below. | | |  | |  | |
|  | 1. Are labor management issues prevalent in the landscape? 2. Are illegal child labor issues prevalent in the landscape? | | |  | |  | |
| 22 | Involve working in hazardous environments such as steep, rocky slopes, areas infested with poisonous animals and/or disease vectors? | | |  | |  | |
| ***Minorities and Vulnerable Groups*** | | | | | | |
| 23 | Negatively affect vulnerable groups (such as ethnic minorities, women, poorer households, migrants, and assistant herders) in terms of impact on their economic or social life conditions or contribute to their discrimination or marginalization? | | |  | |  | |
| 24 | Stir or exacerbate conflicts among communities, groups or individuals? Also considering dynamics of recent or expected migration including displaced people, as well as those who are most vulnerable to threats of sexual exploitation, abuse or harassment. | | |  | |  | |
| ***Occupational and Community Health and Safety*** | | | | | | |
| 25 | Involve any risks related to the usage of construction materials, working high above the ground or in canals where slopes are unstable? | | |  | |  | |
| 26 | Expose local community to risks related to construction works or use of machinery (e.g., loading and unloading of construction materials, excavated areas, fuel storage and usage, electrical use, machinery operations) | | |  | |  | |
| 27 | Generate societal conflicts, increased risk of sexual exploitation, abuse or harassment or pressure on local resources between temporary workers and local communities? | | |  | |  | |
| 28 | Work in areas where forest fires are a threat? If yes, how recently was the last one? | | |  | |  | |
| 29 | Work in areas where there the presence or history of vector-borne diseases (some examples include malaria, yellow fever, encephalitis) | | |  | |  | |
| ***GBV/SEAH Risks*** | | | | | | |
| 30 | Is there a risk that the project could pose a greater burden on women by restricting the use, development, and protection of natural resources by women compared with that of men? | | |  | |  | |
| 31 | Is there a risk that persons employed by or engaged directly in the project might engage in gender-based violence (including sexual exploitation, sexual abuse, or sexual harassment)? The response must consider risks not only at the beneficiary level, but also to workers within all the organizations receiving GCF/GEF funding. | | |  | |  | |
| 32 | Does the project increase the risk of GBV and/or SEAH for women and girls, for example by changing resource use practices or singling out women and girls for training without complimentary training/education for men? The response must consider all workers within the organizations receiving GCF/GEF funding. | | |  | |  | |
| 33 | Does any mandated training for any individuals associated with the project (including project staff, government officials, park rangers and guards, other park staff, consultants, partner organizations and contractors) cover GBV/SEAH (along with human rights, etc.)? | | |  | |  | |
| ***Conflict Sensitivity and Risks*** | | | | | | |
| 34 | Are there any major underlying tensions or open conflicts in the landscape/seascape or in the country where the landscape/seascape is situated?  If yes, answer a-d below | | |  | |  | |
|  | 1. Is there a risk that the activities interact with or exacerbate existing tensions and conflicts in the landscape/seascape? 2. Do stakeholders (e.g. implementing partners, rights holders, other stakeholder groups) take a specific position in relation to the conflicts or tensions in the landscape/seascape or are they perceived as taking a position? 3. How do stakeholders perceive WWF Country Office and IA and its partners in relation to existing conflicts or tensions? 4. Could the conflicts or tensions in the landscape/seascape have a negative impact on the activities? | | |  | |  | |
| 35 | Could the activities create conflicts among communities, groups or individuals? | | |  | |  | |
| 36 | Are some groups (stakeholders, rights holders) benefiting more than others from the activities? And if so, how is that affecting power dynamics and mutual dependencies? | | |  | |  | |
| 37 | Do the activities provide opportunities to bring different groups with diverging interests positively together? | | |  | |  | |

List of documents to be attached with Screening form:

|  |  |
| --- | --- |
| 1 | Layout plan of the activity and photos |
| 2 | Summary of the activity proposal |
| 3 | No objection certificate from various departments and others relevant stakeholders |

**Screening Tool Completed by:**

Signed:

Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Title:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Screening Conclusions [TO BE COMPLETED BY Safeguards Specialist]**

1. Main environmental issues are:
2. Permits/ clearance needed are:
3. Main social issues are:
4. Further assessment/ investigation needed and next step.
   1. Need for any special study:…….
   2. Preparation of ESMP (main issue to be addressed by the ESMP):………..
   3. Preparation of LRP (main issue to be addressed by the LRP):………..
   4. Any other requirements/ need/ issue etc:

|  |  |
| --- | --- |
|  | **Screening Tool Reviewed by:**  Signed:  Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Title:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

|  |
| --- |
| **Exclusion list**  The following practices and activities will not be supported by the project:  1. Land or water management practices that cause degradation (biological or physical) of the soil and water.  2. Activities that negatively affect areas of critical natural habitats or breeding ground of known rare/ endangered species.  3. Actions that represent significant increase in GHG emissions.  4. Use of genetically modified organisms, or the supply or use of modern biotechnologies or their products in crops.  5. Introduction of crops and varieties that previously did not grow in the implementation areas, including seed import/transfer.  6. Actions resulting in loss of biodiversity, alteration of the functioning of ecosystems, and introduction of new invasive alien species.  7. Procurement of pesticides or activities that result in an increase in the use of pesticides.  8. Activities that would lead to physical displacement and voluntary or involuntary relocation.  9. Activities that do not consider gender aspects or contribute to exacerbating any inequality or gender gap that may exist.  10. Child Labour.  11. Activities that would adversely affect IPs' rights, lands, natural resources, territories, livelihoods, knowledge, social fabric, traditions, governance systems, and culture or heritage (physical and non-physical or intangible) inside and/or outside the project area.  12. Activities that would negatively impact areas with cultural, historical or transcendent values for individuals and communities. |

1. Specific guidance and standards can be found in [the Guidance Note on Labor and Working Conditions](https://files.worldwildlife.org/wwfcmsprod/files/Publication/file/5ysgyhsp9f_Guidance_Note_on_Labor_and_Working_Conditions.pdf). [↑](#footnote-ref-2)
2. See [Ranger Principles document](https://worldwildlifefund.sharepoint.com/sites/GEFandGCFSafeguards/Shared%20Documents/Forms/AllItems.aspx?id=%2Fsites%2FGEFandGCFSafeguards%2FShared%20Documents%2FTeam%20Documents%2Fwwf%5Franger%5Fprinciples%5Fdraft%2Epdf&parent=%2Fsites%2FGEFandGCFSafeguards%2FShared%20Documents%2FTeam%20Documents) for more details. [↑](#footnote-ref-3)