



Mangroves for Climate: Public, Private and Community Partnerships for Mitigation and Adaptation in Ecuador

ANNEX 6: Environmental and Social Impact Assessment and Environmental and Social Management Plan

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Prepared by Conservation International based on an initial draft by Asesoramiento Ambiental Estratégico (AAE) through a PPF grant from the Green Climate Fund

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Acronyms

AAE	Asesoramiento Ambiental Estratégico
AUSCEM	Acuerdos de Uso Sustentable y Custodia del Manglar/Mangrove Sustainable Use and Custody Agreements
CDR	Combined Delivery Report
CI	Conservation International
CIIFEN	Centro Internacional para la Investigación del Fenómeno de El Niño
CLIRSEN	Centro de Levantamientos Integrados de Recursos Naturales por Sensores Remotos/Center of Integrated Surveys of Natural Resources by Remote Sensing
COA	Organic Code of the Environment/Código Orgánico del Ambiente
COGEP	Código General de Procesos/General Code of Processes
COIP	Código Orgánico Integral Penal/Comprehensive Organic Criminal Code
CONDESAN	Consortium for the Sustainable Development of the Andian Ecoregion
COOTAD	Código Orgánico de Organización Territorial, Autonomía y Descentralización/Organic Code for Territorial Organization, Autonomy and Decentralization
COPFP	Código Orgánico de Planificación y Finanzas Públicas/Organic Code of Planning and Public Finance
CPPS	Permanent Commission of the South Pacific
CSOs	Civil Society Organizations
ESIA	Environmental and Social Impact Analysis
ESMF	Environmental and Social Management Framework
ESMP	Environmental and Social Management Plan
ESP	Environmental and Social Policies
ESPOL	Escuela Superior Politécnica del Litoral/Litoral Polytechnic High-School
ESS	Environmental and Social Standards
FAO	Food and Agriculture Organization of the United Nations
FIAS	Fondo de Inversión Ambiental Sostenible
FPIC	Free, Prior and Informed Consent
GA & AP	Gender Analysis and Action Plan
GBV	Gender-based Violence
GCF	Green Climate Fund
GEF	Global Environment Facility
GIZ	German Corporation for International Cooperation GmbH
GRM	Grievance Redress Mechanism
ICCPR	International Covenant on Civil and Political Rights
ICERD	International Convention on the Elimination of all forms of Racial Discrimination
ICESCR	International Covenant on the Economic, Social and Cultural Rights
IFC	International Finance Corporation
ILO	International Labour Organization
INABIO	Instituto Nacional de Biodiversidad de Ecuador/National Biodiversity Institute of Ecuador
INAMHI	National Institute of Meteorology and Hydrology
INEC	Instituto Nacional de Estadística y Censos/National Institute of Statistics and Census
INOCAR	Oceanographic Institute of the Navy
IPP	The Plan for Afro-descendent Communities and Cholos Pescadores
IRM	Independent Redress Mechanism

MAATE	Ministerio del Ambiente, Agua y Transición Ecológica de Ecuador/Ministry of the Environment, Water and Ecological Transition of Ecuador
MARISCO	Adaptive Management of Risks and Vulnerability in Conservation Sites
MM	Mitigation Measure
MPA	Marine Protected Area
MRV	Measurement, Reporting and Verification
NGO	Non-Governmental Organization
NPD	National Project Director
NTFPs	Non-Timber Forest Products
PB	Project Board
PLR	Policies, Laws and Regulations
PMU	Project Management Unit
PNBV	Plan Nacional para el Buen Vivir/National Wellbeing Plan
PPF	Project Preparation Facility
PS	Performance Standards
RE	Reserva Ecológica/Ecological Reserve
REDD+	Reducing Emissions from Deforestation and forest Degradation and the role of conservation of forest carbon, sustainable management of forests and forest carbon stock enhancement
REMACAM	Reserva Ecológica Manglares Cayapas-Mataje
REVISMEM	Refugio de Vida Silvestre Manglares El Morro
RPF	Reserva de Producción de Flora y Fauna/Faunística Marino Costera
RPFMS	Reserva de Producción de Flora y Fauna Manglares El Salado
RVS	Refugio de Vida Silvestre/Wildlife Refuge
SDGs	Sustainable Development Goals
SEAH	Sexual Exploitation and Abuse and Harassment
SENAGUA	Secretaría Nacional del Agua/National Water Secretariat
SENPLADES	Secretaría Nacional de Planificación y Desarrollo/National Secretariat for Planning and Development
SIPCE	Sistema de Información del Patrimonio Cultural del Ecuador/Information System of Ecuadorian Cultural Heritage
SMEs	Small and Medium sized Enterprises
SNDPP	Sistema Nacional Descentralizado de Planificación Participativa/National Decentralized Participatory Planning System
SUMA	Sistema Unificado de Manejo Ambiental/Unified Environmental Management System
TNC	The Nature Conservancy
ULEAM	University of Eloy Alfaro de Manabí
UN	United Nations
UN CRC	United Nations Convention on the Rights of the Child
UNDP	United Nations Development Programme
UNDRIP	United Nations Declaration on the Rights of Indigenous Peoples
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
USD	United States Dollars

Executive summary

The project “Mangroves for climate: Public, Private and Community Partnerships for Mitigation and Adaptation in Ecuador” aims to reduce flood risks associated with climate change and emissions from mangrove deforestation and increase climate resilience of coastal mangrove ecosystems. To achieve this, the project will work closely with a range of stakeholders to reduce pressure on mangrove ecosystems, promote sustainable resource use and create alternative livelihood opportunities. This will improve the status of the coastal ecosystems and thus ultimately increase the adaptive capacity of coastal populations.

While the planned project does not intend to cause any adverse impacts on people and nature, certain social and environmental risks could remain, depending on where and how activities are implemented. To avoid, to the extent possible, remaining risks, or mitigate and manage remaining risks, the present project needs to adhere to environmental and social safeguards. Being a CI-led project in Ecuador, the CI-GCF Agency Environmental and Social Management Framework (ESMF)¹ and Ecuador’s national scope regarding the UNFCCC’s Cancun Safeguards applicable to REDD+ implementation were used to guide project development. The CI-GCF ESMF includes the social and environmental policies that need to be applied in any GCF project supported by CI and is consistent with the environmental and social requirements of the GCF.

This document is the Environmental and Social Management Plan (ESMP) of the project and has been based on an initial and secondary screening of the project conducted by the CI-GCF Agency and on the CI-GCF ESMF. The document introduces the project, its outcomes and activities, the receiving environment and the legal and institutional framework. It then presents the results from a limited Environmental and Social Impact Assessment (ESIA), in which potential risks of project implementation have been identified in line with applicable standards. For these risks, it details mitigation measures, together with indicators and targets for implementation monitoring.

Remaining risks presented in the document include the following, structured by environmental and social safeguards (ESS) and additionally addressing Gender and Human Rights:

ESS 1: Environmental & Social Impact Assessment (ESIA)

No significant adverse environmental and social impacts that are sensitive, diverse, or unprecedented are anticipated as part of project activities. However, some of the potential “subprojects” (e.g. community grants and mangrove restoration activities) are yet to be defined and as such, those impacts are unknown at this time. If during the screening of subproject activities the environmental and social impacts amount to a Category B rating, the project will be required to prepare a limited, fit-for-purpose ESIA outlining those potential impacts and how they will be managed.

ESS 2: Protection of natural habitats and biodiversity conservation

The project aims to improve mangrove conservation and sustainable management of coastal resources. The project includes mangrove reforestation, which could, depending on where and how such reforestation happens, and depending on the previous status and use of resources in these areas, cause harm to biodiversity and thus also impact ecosystem services. This is the risk identified under ESS 2.

ESS 3: Resettlement and physical and economic displacement

No land acquisition or resettlement are planned as part of the project and the land tenure situation will not be changed. However, the community-led mangrove management activities could potentially result in a change in access to land and/or resources for people who are currently accessing or using such land and/or resources (legally or illegally). This could lead to economic displacement. The risk is considered to have medium impact but has a low probability of happening because it would mean a community imposes significant restrictions on itself or at least on individuals or households in their community (or nearby).

¹ Version 7, November 2020

However, following the precautionary principle, the risk is still mentioned and a Process Framework has been developed accordingly.

ESS 4: Indigenous Peoples

Close collaboration with all affected stakeholders is planned throughout the project. This includes collaboration with those stakeholders that fall under the GCF's definition of Indigenous Peoples, which in this case are the Afro-descendent Communities and Cholos Pescadores living along Ecuador's coastline. The Afro-descendent Communities and Cholos Pescadores will be project beneficiaries because they will be supported to take on formal community management of mangroves. However, this risk refers to potential adverse impacts that could arise if community mangrove management restricts access to resources that people used previously. This risk is the same as the one identified under ESS 3 but applied specifically to the Afro-descendent Communities and Cholos Pescadores.

ESS8: Community, Health, Safety and Security

Community members will be involved in mangrove protection and mangrove restoration activities. By their nature, mangroves can be dangerous and there can be risks associated with wild animals, drowning risk and water-borne diseases. In addition, the project needs to be mindful of the security situation in Ecuador and how the project could impact on the way that criminal gangs view communities. These risks are identified under ESS8 and a Community, Health Safety and Security Plan has been developed.

ESS 9: Financial Intermediary

The project will channel funds through a dedicated subaccount (the Socio Manglar subaccount) of the Socio Bosque Program, which is managed as an endowment fund by Fondo de Inversion Ambiental Sostenible (FIAS). FIAS has ESMF experience and already manages other GCF funding. The risk mitigation need for ESS 9 is to ensure that FIAS has processes in place to ensure that GCF's environmental and social safeguards requirements are adhered to.

Gender assessment and action plan

A gender assessment was conducted as part of the full project proposal preparation and Annex 8 of the Funding Proposal is the Gender Assessment and Gender Action Plan for the project. The main potential risk is that the project may reproduce discriminations against women based on gender, especially regarding participation in design and implementation or in access to project opportunities and benefits.

Human rights

Human rights related potential risks were assessed together with all other topics and in line with GCF's Environmental and Social Policy's guiding principle on human rights. Identified risks mainly relate to the potential of the project to lead to restricted access to resources as a result of stricter implementation of community conservation measures (covered under ESS3) and to the potential that not all local stakeholders will feel equally included in the project, which could aggravate existing tensions.

The mitigation measures included in the present document jointly address all identified risks. The limited ESIA confirms the project as a Category B project, as potential adverse environmental and social impacts on the population within the project area, can be considered site-specific, reversible and can be readily mitigated. Topical management plans for the protection of natural habitats, the restriction of access to natural resources, and Afro-descendent Communities and Cholos Pescadores are attached as Appendices. In addition, a project-specific Grievance Redress Mechanism is presented. A Stakeholder engagement plan is presented in Annex 7 of the Funding Proposal package and a Gender Action Plan is presented in Annex 8.

Prevention of Sexual Exploitation, Sexual Abuse, and Sexual Harassment (SEAH)

CI is committed to ensuring a safe, trusted, and respectful environment within our organization and global offices, as well as in our programs and projects. CI has developed a SEAH policy that is applied to all projects, including this one². CI's work with communities (as planned under this project) at times brings CI staff and delivery partners into contact with community members, including those marginalized or vulnerable. In all instances, the rights and dignity of individuals are prioritized through risk screening, defined prevention measures and reporting procedures. This ESMP includes identification of SEAH risks and mitigation measures.

² <https://www.conservation.org/about/our-policies/prevention-of-sexual-exploitation-sexual-abuse-and-sexual-harassment>

1. Introduction

In Ecuador, mangroves cover 52% of the 3630 km long national coastline. The same coastline harbors some of the country's poorest and most vulnerable communities. To them, mangroves provide critical, low-cost sources of income from shrimp, crab, clam and other fisheries, tourism and other local industries. At the same time, the mangroves provide essential natural infrastructure, shaping the resilience and adaptive capacity of the coastal populations to the impacts of climate change.

The concept that mangroves protect coastal communities from coastal hazards is well known in tropical coastal ecology and increasingly by coastal managers (e.g. UNEP-WCMC 2006). Various modelling and mathematical studies, together with in-situ observations, have shown that mangrove forests can attenuate wave energy (e.g. Zhang *et al.* 2012, Pinsky *et al.* 2013), control storm related erosion and reduce storm flooding. These studies indicate that the magnitude of this mangrove protection strongly depends on the characteristics of the mangrove forest. Coastal forest belts, if well designed and managed, have the potential to act as bio-shields for the protection of people, communities and economic sectors against the above-mentioned climate-related coastal hazards (e.g. Das and Vincent 2009). Conservation and restoration of mangroves also provides a very low-cost approach (Blankespoor *et al.* 2016) for addressing climate change impacts.

For the communities along Ecuador's coastline, mangrove conservation and restoration provide an economically and technically feasible approach to protect themselves from climate change related flooding and storm impacts. The most recent climate change projections indicate that climate change will create significant changes in local environmental conditions along Ecuador's coast, including increases in sea level, El Niño-Southern Oscillation events, intensity and variability of precipitation, flooding, and atmospheric temperatures.

The government of Ecuador has therefore prioritized risk reduction of coastal communities and the provision of ecosystem services by mangrove forests in its National Climate Change Strategy 2012-2025, its National Climate Change Plan 2015-2018 and other national frameworks. Conservation International has been requested by the Government of Ecuador to develop a Funding Proposal for a small to medium size Green Climate Fund (GCF) project to build resilience and adaptive capacity coordinated across the coastal sectors most vulnerable to climate change, particularly including coastal communities and the fisheries/shrimp sectors. The project is entitled "Mangroves for climate: Public, Private and Community Partnerships for Mitigation and Adaptation in Ecuador".

The present document is the Environmental and Social Management Plan to accompany the Funding Proposal to the GCF.

1.1. Project outcomes and activities

The planned project has three main components:

Project Component 1: Mangrove areas under effective and climate-adapted management increased, including through community-based management (AUSCEMs) and protected areas implementing climate adaptation plans.

Project Component 2: The private sector becomes a transformational agent for change by reducing GHG emissions and providing financial support to conserve and restore mangroves that increase climate resilience for other coastal populations.

Project Component 3: Create the enabling conditions for sustaining reductions in mangrove deforestation and increased mangrove restoration by strengthening governance, climate change adaptation strategies, coastal management policies, and legal enforcement.

The project design presents several options and modalities for a paradigm shift in the management of coastal zones considering climate change. In addition to its adaptation benefits, the project will also have a significant mitigation impact by not only stopping the conversion of mangroves, but also by expanding mangrove forests through restoration activities. Planned activities are shown in the following table.

Table 1. Project activities and sub-activities

Activity	Description	Sub-activities
Activity 1.1.1 Strengthen and expand community-based mangrove conservation and management to reduce deforestation and increase mangrove restoration.	Support community stewards to better conserve mangroves and their vital ecosystems services for both climate change mitigation and adaptation.	1.1.1.1 Strengthening governance capacity and planning of existing AUCMs. 1.1.1.2 Expand areas under active AUSCEMs. 1.1.1.3 Expand areas covered by Socio Manglar incentives. 1.1.1.4 Restoration of mangroves
Activity 1.1.2 Implementation of mitigation and adaptation strategies in 64,913 ha of mangroves located in Protected Areas	Support management and climate adaptation planning capacities for 4 marine protected areas (Cayapas Mataje, Churute, El Salado and Estuario del río Muisne)	1.1.2.1 Integrate climate-change scenarios into planning of protected areas and local management strategies.
Activity 1.2.1 Technical and business development support to mangrove-community associations, with an emphasis on women, youth and other vulnerable groups.	Provide technical and business development support to at least 60 community associations linked to protection of mangroves to design and implement business plans and strategies, including strategies for improving governance and administration, access to finance and to markets for more resilient livelihood strategies. Activities to strengthen and diversify local livelihoods to create economic alternatives aligned with mangrove protection and more resilient to impacts of climate change.	1.2.1.1 Technical and business development assistance to 20 mangrove community associations for development of early-stage enterprises and livelihood activities, with an emphasis on women, youth and other vulnerable groups.
Activity 1.2.2 Establish and consolidate financial mechanisms in support of mangrove community associations (micro- and small enterprises)	Structure grant mechanisms and facilitate access to investments for community associations supporting mangrove conservation having received technical and business development support (1.2.1).	1.2.2.1 Create and implement grant mechanism for financial and technical support to micro- and small enterprises of mangrove community associations. 1.2.2.2 Support access to mechanisms and institutions providing credit and investment to micro- and small enterprises of mangrove community associations.

<p>Activity 2.1.1 Technical assistance for development and promotion of climate-smart shrimp aquaculture practices in 20,000 hectares of farms.</p>	<p>Technical assistance will be provided to early adopters and innovators, especially small and medium producers, for the development and validation of the production model.</p>	<p>2.1.1.1 Sustainable Intensification Practices</p> <p>2.1.1.2 Mangrove restoration on 250 ha of demonstration farms</p> <p>2.1.1.3 Education, Outreach and Enabling conditions for implementation of Sustainable Shrimp Aquaculture</p>
<p>Activity 2.1.2 Facilitate partnerships and access to mechanisms for credit and investment in shrimp farms for expansion and consolidation of climate-smart aquaculture practices.</p>	<p>Credit to finance working and investment capital needs will be provided/leveraged through CI Ventures and partners.</p>	<p>2.1.2.1 Education as a tool to facilitate access to credit and other investment to shrimp farms for expansion and consolidation of CSS practices.</p> <p>2.1.2.2 Project feasibility as a tool to mobilize capital towards CSS production</p> <p>2.1.2.3 Commercial commitments as a risk management tool to facilitate access to financial services</p>
<p>Activity 2.2.1 Establish agreements with businesses, including aquaculture companies, to contribute to mangrove restoration and financial sustainability of the national Socio Bosque Incentive Program (the Socio Manglar Program).</p>	<p>Voluntary partnerships established with companies aiming at carbon neutrality, CSR and climate-smart production and markets to finance restoration and conservation of mangroves.</p>	<p>2.2.1.1 Grow the Socio Manglar subaccount of the Socio Bosque Fund to support long-term community management of mangroves.</p>
<p>Activity 3.1.1 Monitoring of mangrove condition and socio-economic impacts in mangrove dependent communities</p>	<p>Improved monitoring of mangrove cover and deforestation rates and data on GHG emissions.</p> <p>Monitoring of social and economic benefits and impacts of mangrove conservation providing information to government agencies to improve policies and programs.</p>	<p>3.1.1.1 Demonstrate the impact of mangrove conservation and restoration on national mangrove cover, stocks, and socio-economic indicators through monitoring linked to the national MRV, and build long-term monitoring capacity.</p>
<p>Activity 3.2.1 Support local governments to improve and/or implement Coastal Development and Zoning Plans (PDOTs) and other participatory planning instruments that incorporate climate change adaptation and mangrove management, applying a gender approach.</p>	<p>Integration of better climate change data and mangrove conservation measures in current and proposed Development and Land Management Plans.</p>	<p>3.2.1.1 Provide technical assistance to subnational governments for improvement of PDOTs and other participatory planning instruments to integrate climate-change adaptation and mangrove management measures.</p>
<p>Activity 3.2.2 Strengthen regulatory framework and law enforcement by agencies and institutions responsible for</p>	<p>Coordinated planning and implementation of mangrove protection and coastal adaptation measures through a network of national and provincial institutions</p>	<p>3.2.2.1 Provide technical and legal support for harmonization and adoption of improved sectoral policies and regulations and technical assistance for</p>

control of mangroves, with a focus on human rights.	responsible for coastal management and planning. This will improve cross-sectoral planning.	implementation of COA (Código Orgánico del Ambiente).
		3.2.2.2 Provide technical and legal support leading to reforms to Ministry of Environment, Water and Ecological Transition (MAATE) processes of complaints, enforcement and sanctions for infractions affecting mangroves.
		3.2.2.3 Provide training for judges and other institutions regarding regulations and sanctions for crimes involving mangroves.

In line with GCF policies and procedures, the project needs to adhere to certain social and environmental policies and safeguards.

1.2. Applicable social and environmental policies and safeguards

Social and environmental policies and safeguards are applied to ensure that projects cause no harm to people and the environment but instead will indeed benefit people and the environment. For this specific project, two sets of policies and safeguards are applicable:

- Those used by the GCF; and
- Those used by the CI-GCF Project Agency.

For project proposals to be accepted for funding by the GCF, it needs to be clear that applicable social and environmental standards have been thoroughly considered in proposal development and how they will be adhered to during project implementation. CI, through its CI-GCF Agency, is an Accredited Entity of the GCF and has therefore developed an Environmental and Social Management Framework (ESMF)³ that covers all the safeguards requirements of GCF. Application of the CI-GCF Agency ESMF to projects therefore ensures that all GCF requirements are followed.

In the following sub-chapter, the CI-GCF ESMF is introduced. An additional sub-section has been added to explain how the safeguards approach taken for the present ESMP aligns with Ecuador’s national scope regarding the UNFCCC’s Cancun Safeguards applicable to REDD+ implementation. Appendix 1 shows the contents for the CI-GCF ESMF.

1.1.1. Social and environmental policies and safeguards applied by Conservation International

Since CI is a GCF Accredited Entity, and thus directly overseeing GCF funding, the organization has set up a dedicated CI-GCF Agency (<https://www.conservation.org/gcf>). The agency website specifies all relevant policies and procedures that CI-GCF projects must adhere to, including:

³ https://www.conservation.org/docs/default-source/gcf/ci_gef_gcf-esmf-version-7.pdf is designed to address the safeguard requirements of GCF and GEF and is used by both the CI-GCF agency and the CI GEF agency.

- CI's Code of Ethics
- CI's Anti-Bribery and Anti-Corruption Policy
- CI's Anti-Fraud Policy & Guidelines for Investigations
- CI's Conflict of Interest Policy
- GCF Policy on Prohibited Practices
- Reporting Illegal or Unethical Conduct
- Environmental and Social Management Framework
- Accountability and Grievance Redress Mechanism

The CI GCF Agency and the CI-GEF Agency apply an Environmental and Social Management Framework to all GCF and GEF projects. The ESMF was approved for use by GCF as part of CI's accreditation process. For the purpose of the present project, the current version of the CI-GEF/GCF Environmental and Social Management Framework has been followed (version 7; November 2020)⁴, which defines Minimum Standards on Environmental and Social Safeguards, policies on Gender Mainstreaming and Stakeholder Engagement applicable to the project and requirements for Accountability and Grievance Mechanisms.

Importantly, the CI-GCF ESMF defines certain policy exclusions, in line with CI's vision and mission.

CI will not finance projects that:

1. Propose to create significant destruction or degradation of critical natural habitats of any type (forests, wetlands, grasslands, coastal/marine ecosystems, etc.) or have significant negative socioeconomic and cultural impacts that cannot be cost-effectively avoided, minimized, mitigated and/or offset.
2. Propose to create or facilitate significant degradation and/or conversion of natural habitats of any type (forests, wetlands, grasslands, coastal/marine ecosystems, etc.) including those that are legally protected, officially proposed for protection, identified by authoritative sources for their high conservation value, or recognized as protected by traditional local communities.
3. Propose to carry out unsustainable harvesting of natural resources -animals, plants, timber and/or non-timber forest products (NTFPs)- or the establishment of forest plantations in critical natural habitats;
4. Propose the introduction of species that can potentially become invasive and harmful to the environment, unless there is a mitigation plan to avoid this from happening;
5. Contravene major international and regional conventions on environmental issues;
6. Involve involuntary resettlement, land acquisition, and/or the taking of shelter and other assets belonging to local communities or individuals;
7. Propose the use of pesticides that are unlawful under national or international laws;
8. Involve the removal, alteration or disturbance of any physical cultural resources.

In line with these important exclusions, the CI-GCF's ESMF includes ten (10) Environmental and Social Safeguards (ESS):

ESS 1: Environmental and Social Impact Assessment (ESIA)

ESS 2: Protection of Natural Habitats and Biodiversity Conservation

⁴ The ESMF is usually referred to as the CI-GCF ESMF in this document although it is also used for GEF projects. Work on this ESMP initially started based on Version 6 of the ESMF.

ESS 3: Resettlement and Physical and Economic Displacement

ESS 4: Indigenous Peoples

ESS 5: Resource Efficiency and Pollution Prevention

ESS 6: Cultural Heritage

ESS 7: Labor and Working Conditions

ESS 8: Community Health, Safety and Security

ESS 9: Private Sector Direct Investments and Financial Intermediaries

ESS 10: Climate Risk and Related Disasters

For each of these ESS, the CI-GCF ESMF specifies their purpose, important definitions, more detailed policy exclusions and requirements.

1.1.2. Alignment of the safeguards approach with Ecuador's scope for applying the Cancun Safeguards under REDD+

Every country interested in accessing Results-Based Payments from implementation of the REDD+ mechanism agreed under the UNFCCC needs to comply with the so-called "Cancun Safeguards". Ecuador is a UN-REDD Programme Partner Country and has successfully completed the REDD+ readiness phase.

For every project that in some way contributes to the country's REDD+ programme, it is therefore important to show alignment with the same safeguards. This is of particular importance as the country needs to regularly report to the UNFCCC on the extent to which the Cancun safeguards are addressed and respected.

In 2016, Ecuador published a document summarising the country's scope for applying the Cancun Safeguards. The below table shows a summary of the national interpretation of the Cancun Safeguards together with an explanation on how the project's approach to safeguards is in line with this interpretation (MAE, 2019).

Table 2: Ecuador's national interpretation of the Cancun Safeguards and alignment of the GCF project's safeguards approach

Ecuador's national interpretation of the Cancun Safeguards	Alignment justification of the GCF project's safeguards approach
<p>Cancun Safeguard A: Actions are consistent with the objectives of national forest programs and relevant international conventions and agreements.</p> <p>National interpretation: REDD+ measures and actions shall be complementary or compatible with the framework of national and local laws, policies, plans and programs, and applicable international instruments for REDD+. REDD+ measures and actions shall be complementary or compatible with the Constitution of the Republic of Ecuador, the guidelines of instruments and international conventions (including the United Nations Framework Convention Climate Change, Convention on Biological Diversity, among others),</p>	<p>The suggested GCF project in its entirety is embedded into and compatible with the framework of national and local laws, policies, plans and programs, as well as international instruments.</p> <p>To ensure that all those instruments are considered under the safeguards approach taken in the present ESMP, a review of existing national and international policies, laws and regulations (PLRs) against the requirements of the applicable safeguards is included in chapter 3.1. This review has used the PLR analysis that was conducted as part of the development of Ecuador's Safeguards Information System for REDD+ as one of its main sources, i.e. it reflects the same legal instruments</p>

<p>National Development Plan 2013-2017, National Climate Change Strategy and National Policy on Governance of Natural Heritage; in addition to productive and economic development projects relevant to REDD+, as well as with local planning instruments (Development and Territorial Planning Plans - PDOT and territorial planning instruments for communities, towns and nationalities).</p>	<p>considered important in the context of the Cancun Safeguards (and some additional ones).</p> <p>In addition, consideration of legal instruments is reflected in some of the mitigation measures, which refer to certain existing and applicable PLRs.</p>
<p>Cancun Safeguard B: Transparent and effective national forest governance and structures</p> <p>National interpretation: The transparency and effectiveness of forest governance structures under REDD+ at the national level shall be analyzed with respect to the following:</p> <ol style="list-style-type: none"> 1. Transparency and effectiveness of the REDD+ regulatory framework, operational framework and respective structures. 2. Strengthening of forest and other land use governance structures, with emphasis on aspects related to land tenure, forest control and forest monitoring. 3. Implementation of grievance and dispute resolution mechanisms applicable to REDD+. 4. Contribution of REDD+ to strengthening internal governance structures of rights holders involved in the implementation of REDD+ actions. 5. Existence and transparency of mechanisms to ensure access to REDD+ information. 6. Transparency and effectiveness of financial management, and prioritization of investment and local allocation of REDD+ resources. 7. Promotion of gender equality in REDD+ implementation. 	<p>The GCF project and the applied standards address the topics included in the national interpretation of the Cancun Safeguards:</p> <ol style="list-style-type: none"> 1. The suggested GCF project in itself promotes transparency and effectiveness of the regulatory framework, operational framework and respective structures relevant to project implementation. In addition, the ESMP includes requirements to further support such transparency and effectiveness, see e.g. Annex 7 of the Funding Proposal package: Stakeholder Engagement Plan. 2. The GCF project in several activities promotes strengthening project-relevant governance structures, covering all three aspects mentioned. The risk identification that was conducted for the present ESMP paid special attention to land tenure aspects. 3. A project-specific GRM was developed and is part of this document. 4. Addressed by the project itself. 5. Addressed by the project itself and see chapter 10, Information disclosure. 6. Addressed by the project itself. 7. The development of the GCF Funding Proposal was accompanied by a gender expert who conducted a gender analysis and prepared a Gender Action Plan, see Annex 8 of the Funding Proposal.
<p>Cancun Safeguard C: Respect for the knowledge and rights of Indigenous Peoples and members of local communities.</p> <p>National interpretation: Respect for the knowledge and rights of peoples, communities and nationalities will be analyzed taking into account collective rights recognized and detailed in Article 57 in the Constitution of the Republic of Ecuador, as well as in international human rights instruments, such as UNDRIP, CEDAW, ILO 169 and the Nagoya Protocol, among others. Under this approach, for the analysis of the respect of the</p>	<p>The aspects presented in the national interpretation of Cancun Safeguard C are well covered, especially under the applied ESS 4: Indigenous Peoples, but also under ESS 7: Labor and Working Conditions and ESS 8: Community health, safety and security. This is reflected in many ways in the present document, such as:</p> <ul style="list-style-type: none"> • Chapter 3.1 reflects the applicable legal framework in this context. • Many of the mitigation measures described in chapter 4.3 support the aspects of the national interpretation, including consideration of

<p>rights of the communities, indigenous peoples and nationalities, the Afro-Ecuadorian people, the Montubio and communes, the following shall be considered in the design and implementation of REDD+:</p> <ol style="list-style-type: none"> 1. Right to access and ownership of land, territories and resources. 2. Protection of ancestral knowledge, know-how and practices. 3. Respect for forms of coexistence, social organization and exercise of authority on their ancestral territories and community lands of ancestral possession. 4. Respect for the right to work that guarantees their health, integrity, safety and well-being. 5. Application of consultation guide for REDD+, which includes FPIC criteria, when applicable. 6. Access to judicial mechanisms for claims in case of damages. 	<p>traditional knowledge, culturally appropriate consultation and FPIC.</p> <ul style="list-style-type: none"> • Appendix 5: Plan for Afro-descendant Communities and Cholos Pescadores specifically aims to ensure that the rights of these vulnerable groups are considered and strengthened throughout and beyond the life cycle of the project.
<p>Safeguard D: Full and effective participation of relevant stakeholders</p> <p>National interpretation: Full and effective participation in the design and implementation of REDD+ in Ecuador will report in terms of the promotion and implementation of:</p> <ol style="list-style-type: none"> 1. Information processes and capacity building with key actors; 2. Processes and spaces for participation and dialogue relevant to REDD+. 3. Mechanisms for the inclusion of women and priority groups in information processes, capacity building, and spaces for participation and dialogue associated with REDD+ implementation. 4. Participation processes of key stakeholders, in particular communities, villages, and indigenous nationalities, the Afro-Ecuadorian people, the Montubio people and local investment of REDD+ resources, according to the measures and actions identified by the REDD+ NA. 5. Mechanisms for receiving and handling complaints associated with the implementation of REDD+. 	<p>All aspects covered by the national interpretation are amply covered by the project itself, were considered in the risk identification process and are reflected in the present ESMP:</p> <ol style="list-style-type: none"> 1. The project itself includes information processes and capacity building activities, which are further supported by ESMP mitigation measures, see chapter 4.3. 2. Annex 7 of the Funding Proposal: Stakeholder Engagement Plan explains the processes and spaces for participation and dialogues foreseen for the suggested GCF project. 3. Annex 8 of the Funding Proposal: Gender Action Plan, ensures the consideration of gender aspects throughout the project. 4. Covered in Appendix 5: Plan for Afro-descendent Communities and Cholos Pescadores, as well as Annex 7 of the Funding Proposal: Stakeholder Engagement Plan. 5. The project-specific Grievance Redress Mechanism is described in Chapter 7: Accountability and Grievance Redress.
<p>Safeguard E: Actions are consistent with the conservation of natural forests and biological diversity, and enhance other social and environmental benefits.</p>	<p>Aspects covered by the national interpretation of Cancun Safeguard E are amply covered by the project itself and further promoted by mitigation measures included in the present ESMP:</p> <ol style="list-style-type: none"> 1. No conversion of natural forests will be happening under the proposed GCF project,

<p>National interpretation: For analysis and reporting on the compatibility of REDD+ with measures to the conservation of forests and biological diversity, as well as incentives for the protection and conservation of forests, their services and potential social and environmental standards will be observed:</p> <ol style="list-style-type: none"> 1. The compatibility and contribution of REDD+ to national conservation of natural forests and biodiversity, avoiding conversion of natural forests. 2. The contribution of REDD+ to the protection and maintenance of forest ecosystems. 3. The promotion of social and environmental benefits prioritized at the level of national REDD+ implementation. 	<p>instead, vulnerable mangrove forests will be better conserved and further reforested. The risk of unintended adverse impacts on off-site ecosystems or at a later stage is addressed in Appendix 3: Protection of Natural Habitats Plan.</p> <ol style="list-style-type: none"> 2. The project contributes to protection and maintenance of mangrove forests, which is further strengthened by measures included in Appendix 3: Protection of Natural Habitats Plan. 3. Social and environmental benefits are promoted by the project and further supported by mitigation measures included in chapter 4.3.
<p>Safeguard F: Actions to address the risk of reversal to ensure sustainability.</p> <p>The implementation of REDD+ seeks to ensure that the reductions in emissions are durable or sustainable over time, by considering:</p> <ol style="list-style-type: none"> 1. Identification of the risks of reversal of emissions at the national level, associated to the causes of deforestation and forest degradation. 2. Implementation of actions to avoid or minimize the risks of reversal of emissions associated with REDD+ actions in collaboration with premises. 3. Strengthening of information systems relevant to REDD+. 4. Implementation of actions or mechanisms for monitoring and risk management identified, according to technical and financial capabilities. 	<p>The project itself is in line with this safeguard and the present ESMP further supports aspects of sustainability to avoid the risk of reversals:</p> <ol style="list-style-type: none"> 1. The project is based on the identification of causes of mangrove destruction and unsustainable mangrove and coastal resource use; 2. Project activities address the causes of mangrove forest destruction and degradation and measures included in the ESMP further promote project sustainability in a holistic way. 3. The ESMP identified indicators and targets for each mitigation measure, structured by safeguard. Monitoring results from the ESMP could be a direct input into Ecuador's Safeguards Information System for REDD+. 4. The project as a whole includes monitoring (see Annex 11: Monitoring & Evaluation Plan) and safeguards monitoring is specifically addressed in the present ESMP.
<p>Safeguard G: Actions to reduce displacement of emissions</p> <p>National interpretation: The implementation of REDD+ is expected to achieve a reduction in emissions. The following considerations will be taken into account:</p> <ol style="list-style-type: none"> 1. Identification of risks of displacement of emissions at national level, considering underlying and indirect causes of deforestation and change of land use. 2. Strengthening of forest control measures to reduce the risk of displacement of emissions, 	<p>All aspects have been covered in the risk identification, which is reflected in the present ESMP:</p> <ol style="list-style-type: none"> 1. The risk has been assessed in detail and identified as a possible risk of the present project (see R1.3), potentially resulting from indirect causes of land use change. 2. The identified risk refers to indirect land use change that would not be affecting mangrove forest but could affect other ecosystems. Mangrove forest control measures will be strengthened by the project.

<p>as enabling and complementary conditions to REDD+.</p> <p>3. Implementation of actions to avoid or minimize risks of displacement emissions associated with REDD+ actions.</p> <p>4. Strengthening of the national forest monitoring system, allowing detecting displacement of emissions, with the contribution of monitoring community and early warning systems.</p>	<p>3. Mitigation measures included in the present ESMP address the identified risk R1.3.</p> <p>4. The suggested indicators for the mitigation measures addressing the risk of displacement can contribute to national efforts regarding the monitoring of displacement of emissions.</p>
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Overall, as the table shows, the suggested project together with the applied risk identification and the resulting ESMP is completely aligned with Ecuador’s national interpretation of the Cancun Safeguards. In fact, the risk assessment has covered more safeguards aspects not mentioned explicitly in the national interpretation. In addition, the suggested indicators to monitor progress towards implementation of mitigation measures hold potential to serve as an additional input to Ecuador’s Safeguards Information System for REDD+, providing a specific safeguards perspective on mangrove forest ecosystems.

1.3. Objective and scope of the ESMP

The main objective of the ESMP, including its Appendices, is **to ensure that implementation of the planned project adheres to applicable social and environmental safeguards, by establishing measures to help avoid (or minimize and manage) potential social and environmental risks and further promote social and environmental benefits.**

Before identified risks and mitigation measures are presented, the document introduces the receiving environment (section 2) and the legal and institutional framework applicable to the project, with a specific focus on the extent to which Ecuador’s legal framework is aligned with the requirements of the applicable safeguards (section 3). Section 4 can be considered as the core of the document, introducing the risks and presenting the mitigation action plan. Subsequent sections then include further detail on standard elements of Environmental and Social Management Plans, including stakeholder engagement, accountability and grievances, capacity building, information disclosure, the topic of gender, as well as monitoring and evaluation. The appendices include further information on the analysis of the applicable safeguards, the methodology applied for the risk assessment, topical management plans, and CI’s agreed procedure for Free and Prior Informed Consent (FPIC) under COVID-19.

2. Receiving environment

The project targets the coastal mangrove ecosystems of Ecuador and their users. The following sections provide a more detailed introduction into the area's biophysical and socio-economic characteristics. Specific information about groups within the local communities that qualify as "Indigenous Peoples" according to the GCF definition is provided separately in section 3.3.

2.1. Biophysical characteristics

The mangrove ecosystems along Ecuador's coast falls into two different ecoregions, the humid forests of the Chocó (Mangroves of the Chocó) and the mangroves of the South American Pacific (equatorial zone, Cornejo, 2014). Vegetation of this special ecosystem is mainly made up of seven different mangrove species and a few typical accompanying plant species (Table 3).

Table 3. Mangrove species and accompanying flora at national level (Developed by CIIFEN, source: Cornejo 2014)

Plant family	Species
Mangrove species	
Rhizophoraceae	<i>Rhizophora mangle</i>
Rhizophoraceae	<i>Rhizophora racemosa</i>
Rhizophoraceae	<i>Rhizophora x harrisonii</i>
Acanthaceae	<i>Avicennia germinans</i>
Combretaceae	<i>Laguncularia racemosa</i>
Tetrameristaceae	<i>Pelliciera rhizophorae</i>
Combretaceae	<i>Conocarpus erectus</i>
Accompanying plant species	
Bignoniaceae	<i>Tabebuia palustris</i>
Fabaceae	<i>Mora oleifera</i>
Fabaceae	<i>Pterocarpus officinalis</i>
Pteridaceae	<i>Acrostichum danaefolium</i>

Ecuador's mangrove ecosystems are of great importance for their biodiversity, being home to about 100 species of plants (Cornejo, 2014) and a large number of local, endemic and migratory plant and animal species. Also associated with the mangroves are migratory bird species that come from both the north and south of the American continent in search of a place to nest, feed and rest.

Apart from the sub-division by ecoregion, the area can also be divided into four different sectors:

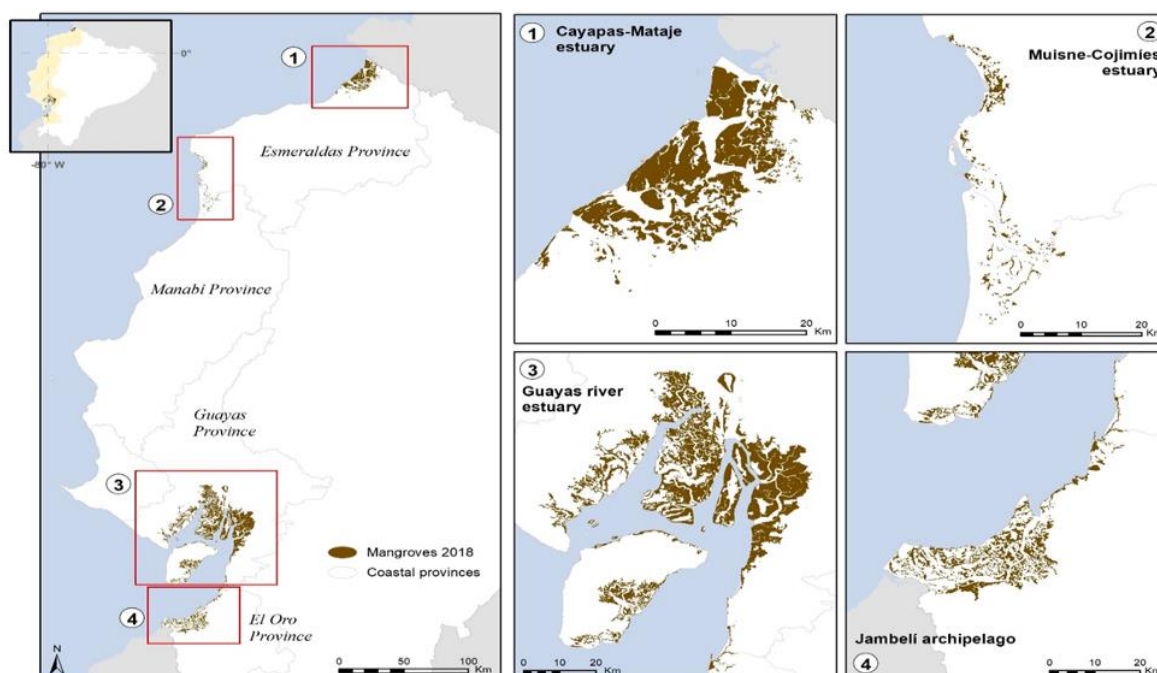
- Mangroves of Muisne-Cojimíes in Manabi;
- Mangroves of the Rio Guayas Estuary in Guayas;
- Mangroves of Cayapas-Mataje in Esmeraldas; and
- Mangroves of the Jambelí Archipelago in El Oro.

The following table shows the distribution of mangrove areas by province and municipality as of 2016.

Table 4. Distribution of mangrove areas of Ecuador.

Province	Municipality	Mangrove area (ha, 2016)	% Municipality in Mangrove
Manabi	Pedernales	1,212	0.6
Guayas	Guayaquil	84,541	20.6
Guayas	Naranjal	23,994	13.9
Guayas	Duran	1,454	4.8
Guayas	Balao	1,366	3.3
Esmeraldas	San Lorenzo	14,267	4.7
Esmeraldas	Eloy Alfaro	11,289	2.6
Esmeraldas	Muisne	2,402	1.9
El Oro	Santa Rosa	11,003	13.6
El Oro	Machala	3,709	11.5
El Oro	Arenillas	1,716	2.1
El Oro	El Guabo	1,545	2.6
El Oro	Huaquillas	1,349	21.3

Map 1 show the locations of these four estuaries along the coastline and their mangrove coverage.



Map 1: Principal mangrove areas of Ecuador

The Republic of Ecuador considers mangroves as fragile ecosystems (see legal framework in 4.1). Some of the mangrove areas along the coastline are therefore included in different types of protected areas (Table 5).

Table 5. Types of protected areas in Ecuador and identified protected areas inside the project area

Type	Acronym (spanish)	Description	Protected areas identified inside the project area	
			No.	Names

Reservas Ecológicas	RE	Conserve genetic material, ecological diversity, scenic beauty, special phenomena and environmental regulation for scientific research of natural elements and phenomena and environmental education. When there are no conflicts with research and education, recreational and tourism activities are allowed in limited areas, as long as the characteristics of the resource allow it. Restrictions are very high.	3	Manglares Cayapas Mataje, Manglares Churute, Arenillas
Reserva de Producción de Flora y Fauna/ Faunística Marino Costera	RPF	Ecosystems and species under management, where alterations should be limited, but an average level of human presence is allowed (due to dependence on local biological resources). Priority actions are related to sustainable wildlife management, environmental education, ecosystem restoration and nature-oriented tourism. Restrictions are low.	1	Manglares El Salado
Refugio de Vida Silvestre	RVS	Threatened species and their related ecosystems. The general state of conservation of the area should be little altered, with a minimum of human presence. Priority actions are related to habitat and species management, research and environmental monitoring, ecosystem restoration and environmental education. Restrictions are high.	4	Isla Corazón Y Fragatas, Manglares El Morro, Manglares Estuario Del Rio Esmeraldas, Manglares Estuario Del Rio Muisne

In the following sections, the main biophysical characteristics of the protected areas are briefly introduced.

Reserva Ecológica Manglares Cayapas-Mataje (REMACAM)

This area covers about 47,321 hectares of the province of Esmeraldas and was declared an Ecological Reserve in 1995 upon request of the Afro-Ecuadorian peoples of the cantons San Lorenzo and Eloy Alfaro to carry out an analysis of management alternatives, following years of destruction with substantial environmental, social and economic impacts. In 2003, the REMACAM was also declared a Ramsar site, preserving 44,847 hectares of wetlands along the South Pacific coast. Biogeographically, the REMACAM includes the southern part of the Tumbes-Chocó-Magdalena Ecoregion (formerly Chocó-Darién-Western Ecuador), which is one of the 25 Priority Terrestrial Ecoregions or “biodiversity hotspots” in the world. The area is known for its high primary productivity, which has led to the establishment of a complex and diverse community of species, including endemic and threatened ones, such as the otter (*Lontra longicaudata*), the sloth or light parakeet (*Bradypus variegatus*), the jaguar (*Panthera onca*), parrot (*Touit dilectissima*), kettle (*Ortalis erythroptera*), and crocodile (*Crocodylus acutus*), among others. (Ministerio del Ambiente de Ecuador, 2014).

Reserva Ecológica Manglares Churute

This ecological reserve is located in the province of Guayas and covers an area of 49,389 hectares, making it one of the largest marine and coastal reserves in continental Ecuador. It was established in 1979 and

includes six islands, namely Matorrillos, Los Ingleses, Los Alamos, Malabrigo, Cabeza de Mate and Churutillo. The reserve contains a mixture of diverse ecosystems: mangroves, plains flooded by the tide; estuaries and areas of sea; the freshwater lagoon “El Canclón”, and several hills belonging to the Churute mountain range that reach 680 meters above sea level. The mangrove forest covers about 60% of the area of the reserve.

The area boasts a great diversity of fish, mollusks and crustaceans and more than 300 species of birds, including water birds such as herons, cormorants and ibis, as well as migratory birds such as curlews and plovers which, during the winter and cold season of the northern hemisphere, arrive in this area where it is easier to find food and shelter. Among the mammals, there are reports of bats, opossums, sloths and crab raccoons. Larger mammals can also be found, such as jaguars, ocelots, howler monkeys and wild pigs.⁵

Reserva Ecológica Arenillas

This ecological reserve was established in 2001 and is located in the province of El Oro, in southwestern Ecuador, very close to the border with Peru. It covers a total area of 13,170 hectares. The landscape is comprised of wide coastal plains rising into small hills in its northern part. Its vegetation includes dryland forests and shrubs as well as mangroves. The rivers Zarumilla and Arenillas cross the reserve, as well as the road from Arenillas to Huaquillas.

The area is important for its high level of endemism: many species that are only found in the equatorial dry forests of southern Ecuador and northern Peru reside in the area. In the past, the area was a reserve for military training, but given the importance of dry and semi-arid ecosystems it was declared a reserve. Although people do not live within the protected area, people from the neighboring villages have been accessing the ecological reserve to make use of certain resources.

Reserva de Producción de Flora y Fauna Manglares El Salado (RPFMS)

This protected area, established in 2002, is also located in the province of Guayas, in the north of the Gulf of Guayaquil, in the interior zone of the estuary. It is made up of several estuaries, channels and mangrove forests that are located to the west of the city of Guayaquil and also includes estuaries located within the city, in neighborhoods such as Miraflores, Urdesa and Kennedy. The fresh water that feeds this area comes from the Chongon River basin and the runoff from the city's hills. Salt water, on the other hand, goes up the estuary and enters through estuaries such as Mongón, Plano Seco and El Salado.

The RPFMS initially covered an area of 3,700 hectares but was then in 2003 and 2007 extended to 5,407 hectares and further extensions followed later, leading to today's total coverage of 10,635 hectares. Apart from the typical mollusks and crustaceans, the nutrient-rich water of the estuaries is ideal for fish such as catfish, bocachicos, róbalo and camotillos. One of the most emblematic species of this reserve is the coastal crocodile. The state of its population is not known, but they are considered very important for the maintenance of the ecological balance of this ecosystem. (Ministerio de Ambiente Ecuador, Municipalidad de Guayaquil, and Consulambiente Cia. Ltda. 2008)

Refugio de Vida Silvestre Isla Corazón y Fragata

The protected area was established in 2002 and covers 2,002 hectares of land and water in the province of Manabí. The Corazon and Fragatas Islands are mangrove-covered estuarine islands, located near the mouth of the Chone River, opposite the cities of Bahía de Caráquez and San Vicente. They were formed by the accumulation of material that the Chone River collects from twelve different rivers that descend from the coastal mountain range to the Pacific Ocean. The refuge protects the last remnants of mangrove in this estuary.

⁵ Because the management plan of the area that is available from the MAATE website is outdated (from 1996), this summary was mainly produced from <https://www.ambiente.gob.ec/reserva-ecologica-manglares-churute/>.

During the wet season, about 29 species of birds are resident, however, this number rises to more than 100 species in the dry season according to the community guides of the area. The most notable species are the frigate birds with their large colony, white ibis, black ibis, American oyster catcher, blue heron, night heron, cormorants and pelicans. In addition, 2 species of reptiles, 20 commercial and non-commercial species of fish, 22 species of crustaceans, 49 species of mollusks, 1 echinoderm and 5 mammal species have been reported from the area. While there are no endangered bird species (listed on the Ecuadorian Red List), one of the reptile species is considered vulnerable: the *Boa constrictor* (Ministerio del Ambiente, 2011).

Refugio de Vida Silvestre Manglares El Morro (REVISMEM)

This protected area was established in 2007 within the province of Guayas and covers an area of 10,030 hectares, of which about 1,303 are mangrove forest, 701 low sediment, 115 other uses and 8,011 water. The refuge is located in the north of the Gulf of Guayaquil, very close to Puná Island, where the El Morro channel or estuary begins. Among the main reasons for its declaration as a protected area is the existence of a significant population of dolphins that live in the channel of El Morro and the colony of frigates on Manglecito Island.

Apart from 13 tree species identified in the area, of which 5 are typical for the mangrove ecosystem, about 80 bird species, 10 mammal species, three reptile species and one species of amphibian were registered in the area. Among the birds, there are endangered and vulnerable species, such as the mangrove hen or rufous-necked wood rail (*Aramides axillaris*), the mangrove sparrow hawk (*Buteogallus anthracinus*) and the grey cheeked parakeet (*Brotogeris pyrrhopterus*). For birds, the management plan lists 17 endemic bird species (equivalent to 21% of the recorded species) (Ministerio del Ambiente, 2010).

Refugio de Vida Silvestre Manglares Estuario Del Rio Esmeraldas

This protected area, established in 2008, covers an area of 242 hectares in the province of Esmeraldas. The refuge is located at the mouth of the Esmeraldas River in the Pacific Ocean, between the city of Esmeraldas and the parish of Tachina. The Esmeraldas River, one of the most important rivers of the Ecuadorian Coast, is fed by melting snow that runs down the slopes descending from the Andes. Where it reaches the Pacific Ocean, it forms an estuary with channels of different widths and depths.

About 37% of the area is native vegetation (mangrove and tropical dry scrub). The remaining area consists of aquatic environments and sand banks (42%), as well as agricultural zones (21%) that existed before the declaration of the Wildlife Refuge. The mangroves found in this estuary are the last remnants of the extensive forests that existed in the area and that were transformed due to the advance of the city of Esmeraldas and the increase in agricultural areas and shrimp farming pools. Apart from typical invertebrates and fish species, the green iguana and black-tailed boa (*Boa imperator*) have been reported from the area.⁶

Refugio de Vida Silvestre Manglares Estuario Del Rio Muisne

This protected area covers 3,173 hectares belonging to the provinces of Esmeraldas and Manabí. The refuge protects several areas of mangroves between the mouths of the San Francisco River to the north and the Cojimí River to the south. The northern block includes the mangroves of San Francisco, Bunche, Muisne Island, San Gregorio, and Bilsa. The central block, which is the largest in surface area, includes mangrove areas in the towns of Las Manchas, Mompiche, El Congal Island, and Ostional. The southern block includes the towns of Isla Esmeraldas, Isla Jupiter, Isla El Morro, Moracumbo, Bolívar, Daule, Pedro Carbo, Sálima, Chamanga, Cojimíes, Guadual and El Churo.

Apart from mangroves, the refuge also includes channels, sandbanks and ocean waters. Four species of sea turtles can be found in the area, the green turtle (*Chelonia mydas*), hawksbill turtle (*Eretmochelys*

⁶ No management plan was available for the area, thus the summary was produced entirely from <http://areasprotegidas.ambiente.gob.ec/areas-protegidas/refugio-de-vida-silvestre-manglar-del-estuario-de-r%C3%ADo-esmeraldas>.

imbricata), olive ridley sea turtle (*Lepidochelys olivacea*) and the leatherback turtle (*Dermochelys coriacea*). For the last one of them, the refuge is one of the few known nesting sites on the Ecuadorian mainland.⁷

In the last four decades, deforestation of mangroves in Ecuador has been dramatic (see Table below). In 1969, approximately 203,696 hectares along Ecuador’s coastline were covered by mangroves. The reduction by almost one quarter between 1969 and 2018 was mainly driven by continued population pressure and, more recently, by the expansion of the aquaculture industry, especially the shrimp industry.

Table 6. Historic areas of mangrove coverage in mainland Ecuador, 1969-2018. Data for 1969-2006 from CLIRSEN (2007); data for 2008-2018 from MAE (2019).

Year	Mangrove area (ha)
1969	203,695
1984	182,157
1987	175,157
1991	162,186
1995	146,938
1999	149,556
2006	148,230
2008	151,376
2014	152,594
2018	156,633

This deforestation did not stop at protected area boundaries. Between 2014 and 2018, protected areas along Ecuador’s coastline have jointly lost 894 ha of mangrove coverage. The largest area coverage was lost by the Manglares Churute with 632 ha, followed by the Manglares Cayapas-Mataje with 425 ha and the Manglares El Salado with 256 ha.

Main reasons for losing mangrove forest cover within the protected areas along Ecuador’s coastline between 2014 and 2018 include the expansion of the shrimp industry, followed by conversion into areas without vegetation cover and agricultural and livestock areas (Table 7).

Table 7. Mangrove coverage lost within protected areas included in the project area between 2014 and 2018 (Source: CIIFEN – MAE, 2014-2018)

Coverage 2014	Coverage 2018	Mangrove surface deforested inside protected areas (ha.)
Mangrove	Populated area	11
Mangrove	Area without vegetation cover	240
Mangrove	Artificial water bodies – shrimp ponds	397
Mangrove	Infrastructure	13

⁷ No management plan was available for the area, thus the summary was produced entirely from <http://areasprotegidas.ambiente.gob.ec/areas-protegidas/refugio-de-vida-silvestre-manglar-el-estuario-del-r%C3%ADo-muisne>.

Mangrove	Agricultural land	233
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The year 2006 marks a milestone, being the year in which the area where mangrove coverage had been lost at national level since 1969 was largest. Starting in 2007, this process was slowed down due to the adoption of policies and regulations for the conservation, recovery and restoration of Ecuador's mangroves (MAE, CONDESAN, INABIO, 2017). More specifically, the new policies and regulations require shrimp farms to restore mangrove areas in order to operate and export legally.

However, the slight increase in mangrove cover shown in the above Table, especially since 2014, masks the fact that mangrove destruction (often for the establishment of further shrimp ponds) continued at the same time, if not at the same magnitude as before. Ongoing gross deforestation of mangroves remains significant. Main drivers of deforestation are a combination of (i) Increased illegal logging of mangroves, (ii) weak application of environmental regulations to sanction damage to mangroves, (iii) pollution from liquid and solid waste, and (iv) poor territorial planning schemes of local governments for mangrove conservation (Carvajal & Santillán, 2019).

Table 8. Gross and net mangrove deforestation in Ecuador, by estuary, 2008-2018.

Location	Gross Deforestation (ha)			Gross Regeneration (ha)	Net Change in Mangrove Area (ha)
	To Shrimp Farms	To Other Land Uses	Total		
Cayapas Mataje	99.27	2,092.59	2,191.86	2,306.16	114.30
Muisne Cojimies	140.49	239.22	379.71	512.37	132.66
Rio Guayas	2,839.32	2,239.20	5,078.52	8,531.55	3,453.03
Jambelí Archipelago	1,768.41	114.39	1,882.80	3,466.35	1,583.55
Others in Esmeraldas	14.67	130.86	145.53	60.84	-84.69
Ríos Chone, Portoviejo y Jama	172.44	52.11	224.55	283.32	58.77
Total	5,034.60	4,868.37	9,902.97	15,160.59	5,257.62

Apart from ongoing mangrove destruction, the project area is also influenced by nearby ports (see also section 2.2), contributing to contamination of estuaries and canals by wastewater and ballast water. Other negative impacts on the environment are solid waste from cities and shrimp farms, distributed by tides and river floods; contamination of estuaries and canals by chemicals used for shrimp cultivation, and sedimentation of swamps by river floods (Gobierno Autónomo Descentralizado Provincial De El Oro, 2012).

2.2. Socio-economic characteristics

The four provinces Guayas, El Oro, Esmeraldas and Manabí jointly include 14 cantons, 37 parishes, and 150 census tracts (i.e. the smallest unit in which census numbers are gathered). Ninety-eight percent (98%) of Ecuador's mangroves are concentrated along the shores of four main estuaries - Cayapas Mataje, Muisne Cojimies, Guayas and Jambeli, which spread across eight municipalities within the project area, with over 1,000 ha of mangrove each, in three provinces. These municipalities are home to approximately 3.4 million people, with very high rates of poverty (see Table 9). Of this total population, over 2.18 million people live within 5 km of mangroves (Instituto Nacional de Estadística y Censos - INEC, 2022), with significant vulnerable populations living in poverty (49% of urban population, 95% of rural).

Ecuador's coast is home to some of the country's poorest and most vulnerable communities for whom mangrove conservation and restoration provides the only economically and technically feasible approach to protection from climate change-related flooding and storm impacts. The population's vulnerability is

reflected by the percentage of people living in poverty and extreme poverty, which reduces their ability to adapt in the face of climatic shocks. Forty-five percent of the population of these municipalities lives in extreme poverty, compared with a national average of 26.8% (INEC, 2010). Twenty-seven percent (27%) of the total population in these municipalities is illiterate.

Table 9. Population living in poverty or extreme poverty in mangrove areas

Province	Municipality	Estuary	Population ¹	% Poverty ²	Mangrove Area 2018 (ha) ³
El Oro	El Guabo	Jambelí	59,536	74%	1,377
El Oro	Machala	Jambelí	306,309	56%	3,434
El Oro	Santa Rosa	Jambelí	80,299	56%	10,164
Esmeraldas	Eloy Alfaro	Cayapas Mataje	46,305	94%	10,454
Esmeraldas	Muisne	Muisne Cojimíes	36,426	98%	1,507
Esmeraldas	San Lorenzo	Cayapas Mataje	48,391	84%	10,296
Guayas	Guayaquil	Guayas	2,746,403	47%	90,059
Guayas	Naranjal	Guayas	83,691	74%	22,774
Total			3,407,360		150,065

Sources: ¹Instituto Nacional de Estadística y Censos - INEC. 2022; ² Instituto Nacional de Estadística y Censos - INEC. 2010 ³Ministerio del Ambiente del Ecuador 2020

In line with the above, access to basic services is often limited. Within the Reserva Ecológica Manglares Cayapas-Mataje, according to Ministerio del Ambiente de Ecuador (2014), none of the communities have drinking water. Water is either supplied by tankers (where access is possible) or from wells and through the use of rainwater.

Mangroves provide critical and low-cost sources of income for these communities. One of the main economic activities reported within the study area is fishing and mollusk gathering. This activity provides income to approximately 20% of the population of Guayas River Estuary, to approximately 14% within the Jambelí Archipelago and to 12% and 7% to people within the Cayapas-Mataje and Muisne-Cojimíes Estuaries respectively. Other economic activities include shrimp cultivation, gathering of crabs and other mollusks, tourism and other local sustainable industries.

Apart from the provisioning ecosystem services provided by the mangrove ecosystems, there are also regulating, supporting and cultural ecosystem services provided by the mangroves. Stakeholder workshops in the Guayas River Estuary and in Esmeraldas revealed that a large share of the population perceives these different ecosystem services as important.

Table 10. Perception of the population about the ecosystem services provided by the mangrove forest (Source: CIIFEN, 2019)

Location of the workshop	Provisioning (%)	Regulating (%)	Supporting (%)	Cultural (%)
Puerto Roma	62.6	64.5	63.0	53.6
Balao	68.5	76.7	46.4	45.9
Puerto Bolívar	63.0	80.6	18.1	18.4

Muisne	85.6	88.3	38.4	35.7
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A closer look at the different ecosystem services helps to understand in how many different ways they are important to the inhabitants of Ecuador's coastal mangrove regions (see Table 11).

Table 11. Ecosystem services identified in stakeholder workshops in different communities (developed by CIIFEN, 2019)

Sector	Community	Provisioning	Regulating	Supporting	Cultural
Golfo de Guayaquil	<i>Puerto Roma</i>	Capture and collection of species for self-consumption, marketing: Crabs, fish, shrimp, oysters, mussels, blue crabs and churos. Logging with reforestation of species.	Coastal protection, clean air.	Birds, reptiles and insects	Ecotourism, traditional knowledge on medicinal use
	<i>Balao</i>	Capture of species for marketing and self-consumption: shell, crab, oyster, bee-keeping and white fishing, honey extraction	Coastal protection	Seedbed for species	Ecotourism, traditional knowledge on medicinal use
	<i>Puerto Bolívar</i>	Capture and collection of species for self-consumption and commercialization, depulping, breeding, harvesting, classification: crab, shell, artisanal fishing, oyster.	Coastal protection		Ecotourism, traditional knowledge on medicinal use
Esmeraldas	<i>Bunche</i>	Capture, collection, and classification of species for consumption and marketing: shell, crab, jaiba and guariche, fish and shrimp. Use of the mangrove (wood): charcoal and reforestation	Coastal protection	Seedbed for species	Ecotourism, gastronomy and traditional knowledge on medicinal use
	<i>Chamanga</i>				
	<i>Muisne</i>				

As the table shows, apart from shrimp cultivation, the catching of different types of shell (concha prieta, concha negra (*Anadara tuberculosa*) and concha macho, mica (*Anadara similis*) is a common activity of the coastal communities. Due to a high national and still increasing demand for shellfish, these activities provide income to a substantial number of people along the coast, e.g. to about 2,000 people in the province of Guayas (Gobierno Provincial del Guayas, 2018). Intensive shrimp cultivation, however, can negatively affect the availability of seashells, especially where heavy machinery is used for the maintenance and expansion of shrimp ponds.

Tilapia cultivation has also become increasingly important as a source of income, especially since the disease that befell shrimp in 1995 caused the abandonment of large areas previously used for shrimp cultivation that then facilitated the introduction of tilapia cultivation. Apart from the national market, tilapia also gets sold on the international market, with China, the United States, Indonesia and Brazil being the countries with the highest consumption levels. (Gobierno Provincial del Guayas, 2018).

The major ports corresponding to the province of Guayas are the Cooperative 6 de Julio, Puerto Baquerizo and Puerto Balao (Naranjal), Puerto Baquerizo being the one with the largest number of crab landings (Gobierno Provincial del Guayas 2018). In the province of El Oro, the ports are Pitahaya, Hualtaco, Bolívar, Bajo Alto and Jelí (Gobierno Autónomo Descentralizado Provincial De El Oro, 2012).

2.3. Indigenous Peoples and local communities

Ecuador's national law does not specifically define the term "Indigenous Peoples", however, Ecuador has ratified ILO 169 and UNDRIP, which include definitions. The term "local communities" is also not explicitly defined, but various Ecuadorian policies, laws and regulations, including the Constitution, refer not only to indigenous peoples, but Afro-Ecuadorian people, the back-country people (Montubios) of the inland coastal region, and communes of Ecuador (see Table 12).

Ecuador is home to 14 indigenous peoples' groups, 19 villages of Kichwa nationality, one afro-descendent community distributed over Ecuador's coastal, mountain and Amazon region and one community composed of people of mainly white-mestizo origin, which includes the Cholos, Montubios, and Chagras, among others (Ministerio de Cultura y Patrimonio, 2014). Within Ecuador's coastal provinces, members of the Afro-descendent community can be found, as well as people self-identifying as Montubios and Cholos. However, as the previous paragraph explains, Montubios are mainly to be found inland from the coastal region and therefore not within the project area.

The "Cholos Pescadores", are a socio-ethnic group living along the coast in the provinces of Guayas, Santa Elena and Manabí, and therefore do reside in the project area. They descended from the indigenous groups of the coast, which disappeared as a result of the colonial influence, due to epidemic diseases and other causes. Just like their pre-Colombian ancestors, and as reflected in their name, the primary economic activity of the Cholos Pescadores is fishing, which they do with great success, using mostly traditional fishing tools and methods. The Ecuadorian National Institute for Statistics and Census (INEC) in their 2010 and 2020 censuses did not include a number for how many Cholos Pescadores are present in the coastal provinces. This is due to the fact that they are not mentioned separately in Ecuador's Constitution. Since the Cholos do fall under the GCF definition of Indigenous Peoples⁸, just like afro-descendent communities, we consider that the GCF's Indigenous Peoples Policy applies to both of them.

Because self-identification of Cholos was not included in the 2010 or 2020 censuses, although it is known that Cholos Pescadores are present in the project area (e.g. in the Gulf of Guayaquil and around Muisne), it is unfortunately impossible to say how many there are. Regarding the Afro-Ecuadorian population, some more information is available, if scattered. For example, Afro-Ecuadorian people are present in the area around Muisne and the population in and around the 44,000 km² Cayapas-Mantaje Mangrove Ecological

⁸ The GCF in its Indigenous Peoples' Policy, paragraph 14, defines that: In this Policy, the term "indigenous peoples" is used in a generic sense to refer to a distinct social and cultural group possessing the following characteristics in varying degrees: a) Self-identification as members of a distinct indigenous social and cultural group and recognition of this identity by others; b) Collective attachment to geographically distinct habitats, ancestral territories, or areas of seasonal use or occupation as well as to the natural resources in these areas; c) Customary cultural, economic, social, or political systems that are distinct or separate from those of the mainstream society or culture; and d) A distinct language or dialect, often different from the official language or languages of the country or region in which they reside. This includes a language or dialect that has existed but does not exist now due to impacts that have made it difficult for a community or group to maintain a distinct language or dialect. Paragraphs 15 and 16 further state that GCF respects self-identification as indigenous or tribal as a fundamental criterion and recognizes that such groups can be named differently, including "Afro-descendent communities of South America and the Caribbean".

Reserve is to a large extent Afro-Ecuadorian (Hamilton, 2011), consisting of 44 communities (Ministerio del Ambiente de Ecuador, 2014).

3. Legal and institutional frameworks applicable to the project

The envisioned project is embedded in, and must align with, Ecuador's national law, international conventions and treaties, as well as existing national plans and strategies. To ensure that, respective institutional arrangements need to be in place. In addition, the project needs to adhere to the applicable social and environmental safeguards, which are of particular relevance in the context of the present ESMP.

This chapter provides an overview of the applicable legal and institutional frameworks. The applicable legal framework is presented from a safeguards perspective, i.e. what national and international policies, laws and regulations are in place to support safeguard adherence.

3.1. Legal framework

The project aims to work with coastal communities in order to increase their resilience towards climate change by improving the status of mangrove ecosystems and moving towards improved conservation and more sustainable use of mangrove resources. Summaries of legal frameworks on mangrove conservation and management and the linkages with local livelihoods can be found in a number of other documents, including Savillán and Carvajal (2019) and the baseline study (CIIFEN, 2019), which was conducted specifically for the present project.

For the purpose of the ESMP, however, the legal framework will be introduced from a safeguards' perspective. The CI-GCF Agency ESS will be used as a thematic orientation and complemented by the topics of gender and human rights, which are embedded in the guiding principles of the CI-GCF Agency's Environmental and Social Policy.

Regarding the hierarchical order of application of regulations, Article 424 of the Constitution provides that the "The Constitution and international human rights treaties ratified by the State that recognize rights that are more favorable than those enshrined in the Constitution shall prevail over any other legal regulatory system or action by public power". Article 425 (Official Register No. 449, 20 October 2018) further defines that the Constitution represents the highest applicable law, followed by international treaties and conventions (apart from those on human rights, see Article 424), organic laws, ordinary laws and regulations; agreements and resolutions, and other acts and decisions of the public authorities.

Regarding international treaties and conventions of relevance in the context of the project and applicable safeguards (see section 4.3), Ecuador is a signatory to a number of Multilateral Environmental Agreements⁹, international Human Rights Treaties¹⁰, instruments in place under the Inter-American Commission on Human Rights¹¹ and Conventions of the International Labour Organization (ILO)¹².

Apart from national and international law, Ecuador is striving to align its policies, laws and regulations, but also existing programs and plans with the Sustainable Development Goals (SDGs), adopted by the countries of the world in 2015. The present project particularly contributes to SDG 14, to "Conserve and sustainably use the oceans, seas and marine resources". It also contributes to several plans and strategies valid in the Republic of Ecuador, among them the National Development Plan (Plan Nacional de Desarrollo) 2017-2021, the National Biodiversity Strategy (Estrategia Nacional de Biodiversidad) 2015-2030, the National Climate Change Strategy 2012-2025, the REDD+ Action Plan (Plan de Acción REDD+) and others (summarized in Carvajal and Santillán 2019).

A detailed analysis of relevant policies, laws and regulations in the context of safeguards was conducted as part of Ecuador's preparation for participation in the UNFCCC's mechanism to Reducing Emissions from

⁹ <https://www.informea.org/en/countries/EC/parties>

¹⁰ <http://hrlibrary.umn.edu/research/ratification-ecuador.html>

¹¹ http://www.oas.org/en/iachr/mandate/basic_documents.asp

¹² https://www.ilo.org/dyn/normlex/en/f?p=NORMLEXPUB:11200:0::NO::P11200_COUNTRY_ID:102616

Deforestation and forest Degradation and the role of conservation of forest carbon, sustainable use of the forest and enhancement of forest carbon stocks (REDD+)¹³.

Table 12. Summary of Ecuador's legal framework relevant to applicable safeguards

ESS 1: Environmental and Social Impact Assessment	
Requirement for environmental and social impact assessment	
Texto Unificado de Legislación Secundaria de Medio Ambiente (revisado en 2015), Unified Text of Secondary Legislation of the Environment, Book VI of environmental quality, Title I	Describes the system of environmental management (Sistema Unificado de Manejo Ambiental; SUMA) that regulates the process of environmental impact assessment at national level. Environmental assessments apply prior to projects, activities or works that may cause significant adverse environmental impacts. Public, private and mixed investment projects are subject to impact studies.
Código Orgánico del Ambiente (2017) (Organic Environmental Code), Art. 179	Provides for an environmental (not social) assessment of “those projects, works and activities that cause medium and high impact or risk” but it does not specify a separate requirement for a social impact study nor does it say that the study must be done prior to the adoption, approval, or implementation of the activity. However, to obtain an environmental license in Ecuador it is necessary to conduct a social participation process.
Texto Unificado de Legislación Secundaria de Medio Ambiente (revisado en 2015) (Unified Organic Code)	Explains that to evaluate the environmental impacts, the “socio-cultural” aspects of the activity must also be observed such as “archeology, socioeconomic organization, among others”)
ILO 169, Art. 7(3)	Provides that “Governments shall ensure that, whenever appropriate, studies are carried out, in co-operation with the peoples concerned, to assess the social, spiritual, cultural and environmental impact on them of planned development activities. The results of these studies shall be considered as fundamental criteria for the implementation of these activities.”
Requirement for monitoring environmental and social impacts of projects/development activities	
Texto Unificado de Legislación Secundaria de Medio Ambiente (revisado en 2015)(Unified Text of Secondary Legislation of the Environment), Book VI	Speaks throughout the document of the need to develop and implement monitoring plans to assess a range of environmental impacts. According to the Unified Text, compliance audits of the environmental and social management plan must be periodically carried out.
ESS 7: Labor and working conditions	
General	

¹³ <https://www.ambiente.gob.ec/wp-content/uploads/downloads/2018/09/Annex-A-to-ESA-Socio-Bosque-Ecuador-PLR-Analysis-11-09-18-f.pdf>

Codigo del Trabajo (2012)(Labour Code), Article 79.	States that “Equal work corresponds to equal remuneration, without discrimination on grounds of birth, age, sex, ethnicity, color, social origin, language, religion, political affiliation, economic position, sexual orientation, state of health, disability, or difference of any other nature except for specialized skills and experience in the execution of the work should be considered for the purposes of remuneration.
International Labour Organization instruments	Ecuador is signatory and has ratified 8 ILO instruments that provide protections for labor rights.

Although Ecuador is signatory to 8 of the 11 fundamental ILO instruments¹⁴, there are reports that enforcement can be weak due to insufficient capacity¹⁵. Of particular concern are the issues of child labor and bonded labor, which are likely to be more prevalent in the informal sectors. Ecuador has made moderate advancements over the last decade to eliminate the worst forms of child labor¹⁶. The project is not directly supporting aquaculture activities. Community projects have yet to be decided upon and will depend on the requests from the communities. A screening process has been established that includes screening for risks related to labor laws, including child labor (See Annex 10). The EE will include flow down language in any grants or contracts that prohibits unlawful employment practices, including child labor.

Child labor

- Section 5, Article 46 of the Constitution; Title V, Chapter 1, Article 82 of the Childhood and Adolescence Code (31, 32) sets the Minimum Age for Work at 15;
- Title I, Article 2 and Title V, Chapter 1, Article 87 of the Childhood and Adolescence Code (32) sets Minimum Age for Hazardous Work at 18;
- Title II, Chapter 1, Article 5 and Chapter 2, Article 8 of Resolution No. 016 of 2008; Article 5 of Ministerial Accord MDT–2015–0131 (33, 34) Identifies Hazardous Occupations or Activities Prohibited for Children;
- Articles 82, 91, 105, and 213 of the Código Orgánico Integral Penal (2014) (Comprehensive Organic Criminal Code) (COIP) (3, 35) (2014), #290; El Tiempo, 2016 #342, prohibitions of Forced Labor; also Articles 91, and 213 Prohibits Child Trafficking.

ILO conventions	Ecuador has ratified all key international conventions concerning child labor including ILO C. 138, Minimum Age, ILO C. 182, Worst Forms of Child Labor, UN Convention on the Rights of the Child, UN CRC Optional Protocol on Armed Conflict, UN CRC Optional Protocol on the Sale of Children, Child Prostitution and Child Pornography, Palermo Protocol on Trafficking in Persons.
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ESS 5: Resource efficiency and pollution prevention

Texto Unificado de Legislación Secundaria de Medio Ambiente (Unified Text of	These “books” jointly fully address all matters to avoid, minimize and mitigate risks posed to human health and the environment from pollutants, wastes, and hazardous materials.
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¹⁴ [Ratifications of fundamental conventions \(ilo.org\)](https://www.ilo.org/) Accessed 21 March 2024

¹⁵ E.g. [Risk-Analysis-of-Ecuador-Palm-Oil-Sector-Final.pdf \(verite.org\)](#) Accessed 21 March 2024

¹⁶ <https://www.seafoodwatch.org/globalassets/sfw/pdf/projects/ssrt/risk-profiles/tropical-tuna/published/seafood-watch-tropical-tuna-ssrt-risk-profile-ecuador-2022.pdf> Accessed 21 March 2024

Secondary Legislation of the Environment (all of its “books” together)	
ESS 8: Community health, safety and security	
ILO conventions	Ecuador is signatory to various ILO conventions requiring protections for labor rights, which cover aspects under this Performance Standard.
ESS 3: Resettlement and physical and economic displacement	
Land and resource use rights	
Constitution, Art. 57(4), (5) and (6)	Provides for recognition of indigenous peoples’ ownership over their ancestral lands. The Constitution also speaks about their right “to participate in the use, usufruct, administration and conservation of natural <i>renewable</i> resources located on their lands.”
Constitution, Art. 321	“Recognizes and guarantees the right to property in all of its forms, whether public, private, community, State, associative, cooperative or mixed-economy, and that it must fulfil its social and environmental role.”
Organic Law on Rural Lands and Ancestral Territories 2016, Art. 23	Provides that the state “will recognize and guarantee in favor of communes, communities, peoples and Indigenous nationalities, Afro and Montubios, the right to conserve their community property and to maintain the possession of their ancestral and communal lands and territories to be awarded to them in perpetuity free of charge in accordance with the Constitution, covenants, conventions, declarations and other international instruments of collective rights”. Chapter V of this law further defines ancestral lands based on actual possession and possession since time immemorial and provides for the Agrarian Authority to delimit and title such lands in coordination with the peoples who request it; and when such lands are within protected areas, the Ministry of the Environment does the titling and delimiting in coordination with the Agrarian Authority.
El Código Orgánico de Organización Territorial, Autonomía y Descentralización (COOTAD) (The Organic Code for Territorial Organization, Autonomy and Decentralization (2010), Article 100	Clarifies that such territories of indigenous peoples, communities and nationalities, as well as of Afro-Ecuadorians and Montubios which are found within natural protected areas, continue to be occupied and administered by these communities in communal form, with policies, plans and conservation and protection programs in accordance with their knowledge and ancestral practices that are in conformity with the conservation policies and plans of the State’s System of National Protected Areas. The article further requires that the State adopt the necessary mechanisms to facilitate recognition and legalization of these ancestral territories.

MAE Decreto Ministerial No. 265 (Ministerial Decree No. 265)	Regulates the allocation of lands for individual and collective persons in State Forest Patrimony and Protective Forests. The Decree establishes a specific titling procedure for indigenous peoples and other collectives. Whereas MAG addresses land tenure security (titles) to individuals and collectives outside of these protected areas, this decree places the authority within the MAATE when dealing with protected forest areas and as such, applies in the context of REDD+ programming. Titling processes for indigenous peoples and other collectives is free.
Ley de Gestión Ambiental, Art. 13	The Provincial Councils and the municipalities can dictate environmental policies, respecting the Constitution and the national regulations regarding the heritage of natural protected areas in order to determine the uses of the land, being obliged to consult the representatives of the indigenous peoples, Afro-Ecuadorians and local communities for the delimitation, management and administration of the protected areas.
Displacement	
Constitution, Art. 42	Provides that “All arbitrary displacement is forbidden”.
Constitution, Art. 57(11)	Prohibits the displacement from their ancestral lands of Indigenous communities, peoples and nations, the Afro-Ecuadorian people, the Montubios of the inland coastal region, and communes.
ICCPR and other treaties	Prohibit forced evictions.
UNDRIP, Art. 10	Provides that indigenous peoples should not be forcibly removed from their lands or Territories without their FPIC and a prior agreement on just and fair compensation and, where possible, with the option of return.
Expropriation	
Código Orgánico de Organización Territorial, Autonomía y Descentralización (Organic Code on Territorial Organization, Autonomy and Decentralization)	Section 7 provides that “In order to execute social development plans, to promote programs of urbanization and housing of social interest, manage sustainable environment and collective well-being, the regional, provincial, municipal government, for reasons of public utility or social interest, may declare the expropriation of property, just prior compensation and payment in accordance with the Law.”
Ley Orgánica de Tierras Rurales y Territorios Ancestrales (2016) (Organic Law on Rural Lands and Ancestral Territories), Art. 32	Establishes that the Autoridad Agraria Nacional (National Agrarian Authority) has the authority “[t]o affect, to declare of public utility or of social interest; or expropriate rural land of private domain that do not comply with social function or environmental function, or constituting latifundio as provided for in this Law.” There appears to be different forms of expropriation, the “for public utility” type and agrarian expropriations for specific listed circumstances –not necessarily public utility. There is no reference to expropriations specifically

	of forest lands. Where processes are described in this law, the Agrarian Development Law and the Organic Code on Territorial Organization, Autonomy and Decentralization, the expropriation is based on law, provides for a valuation for due compensation, and appears to provide for a right of appeal
Ley de Desarrollo Agrario (Codification to the law of Agrarian development, Arts. 36 and 37	Establishing the creation of the National Institute of Agrarian Development (INDA) and authorizing it to declare the expropriation of lands (<i>tierras rústicas</i>) in specific circumstances. Also provides a procedure in its chapter V.
Free, Prior and Informed Consent	
Constitution, Art. 57(7)	Provides that “If consent of the consulted community is not obtained, steps provided for by the Constitution and the law shall be taken.”
UNDRIP, Art. 10	Provides that indigenous peoples should not be forcibly removed from their lands or Territories without their FPIC and a prior agreement on just and fair compensation and, where possible, with the option of return.”
Other international conventions and treaties	The right to consultation and consent is affirmed by various international treaties to which Ecuador is a party and for which it has duties and responsibilities to fulfil, including ICCPR, ICESCR, ICERD, the American Convention on Human Rights and ILO 169.
ESS 2: Protection of Natural Habitats and Biodiversity Conservation	
General	
Constitution, Art. 14	Includes the right of the population to live in a healthy and ecologically balanced environment, ensuring sustainability and good living, is recognized. The preservation of the environment, the conservation of ecosystems, biodiversity and the integrity of the country's genetic heritage, the prevention of damage and the recovery of degraded natural areas is declared to be in the public interest.
Constitution, Art. 74	Environmental services shall not be subject to appropriation; their production, delivery, use and development shall be regulated by the State.
Constitution, Art. 406	The State shall regulate the conservation, management and sustainable use, recovery, and limitations of dominance of fragile and threatened ecosystems; among others, moors, wetlands, cloud forests, tropical dry and humid forests and mangroves, marine and coastal-marine ecosystems.
Constitution, Art. 414	The State shall adopt adequate and cross-cutting measures for the mitigation of climate change, by limiting greenhouse gas emissions, deforestation, and air pollution; it shall take measures

	for the conservation of the forests and vegetation; and it shall protect the population at risk.
The Organic Code of the Environment (Código Orgánico del Ambiente, COA) (Official Registry No. 983 of April 12, 2017)	Defines in its glossary of terms as fragile ecosystems those "...areas with unique characteristics or resources very susceptible to any intervention of an anthropic nature, which produce in them an alteration in their structure and composition", reiterating the Constitution's specification that mangroves are fragile ecosystems, which confirms their relevance for Ecuador's biodiversity."
Ley Forestal y de Conservación de Areas Naturales y Vida Silvestre (Law on Forests and Conservation of Natural Areas and Wildlife) (2004, amended 2014), Art. 5	States that the MAATE is specifically responsible for the "management and protection of natural forest areas".
Ley de Gestión Ambiental (2004) (Law of Environmental Management), Art. 3	"The process of Environmental Management, will be oriented according to the universal principles of Development Sustainable, contained in the Declaration of Rio de Janeiro of 1992, on Environment and Development."
Ley de Gestión Ambiental (2004) (Law of Environmental Management), Art. 7	"The environmental management is framed in the general policies of sustainable development for the conservation of natural heritage and the sustainable use of natural resources."
Ley de Gestión Ambiental (2004) (Law of Environmental Management), Art. 12 (e)	Further provides that State institutions must "[r]egulate and promote the conservation of the environment and the sustainable use of natural resources in harmony with the social interest; maintain the natural heritage of the Nation, ensure the protection and restoration of biological diversity."
Código Orgánico del Ambiente (Organic Environmental Code) (2017), Art. 99	Provides that "Conservation, protection and restoration of the páramos, moretales and mangrove ecosystem will be of public interest. It is prohibited its degradation, felling and change of land use, in accordance with the law."
Ley Orgánica de Tierras Rurales y Territorios Ancestrales (2016) (Organic law of rural lands and ancestral territories) Art. 7 (k)	The State regulates and controls the advance of the agricultural frontier that can affect fragile ecosystems, such as páramos, mangroves, wetlands, cloud forests, forests tropical, dry and humid, heritage zones natural, cultural and archaeological; and in general, in protected natural areas and particularly in the territories with high biodiversity or that generate environmental services.
Protected areas	
The Constitution, Art. 405	"The national system of protected areas shall guarantee the conservation of biodiversity and the maintenance of ecological functions. The system shall be comprised of state, decentralized autonomous, community and private subsystems, and it shall be directed and regulated by the State. The State shall allocate the

	<p>financial resources needed to ensure the system’s financial sustainability and shall foster the participation of the communities, peoples, and nations who have their ancestral dwelling places in the protected areas in their administration and management. Foreign natural persons or legal entities will not be able to acquire any land deeds or concessions in areas of national security or protected areas, in accordance with the law.”</p>
The Constitution, Art. 405	<p>Activities for the extraction of non-renewable natural resources are forbidden in protected areas and in areas declared intangible assets, including forestry production. Exceptionally, these resources can be tapped at the substantiated request of the President of the Republic and after a declaration of national interest issued by the National Assembly, which can, if it deems it advisable, convene a referendum.</p>
Código Orgánico Ambiental, Libro Segundo del Patrimonio Natural, Article 99	<p>It will be in the public interest to preserve, protect and restore the moors, moretales and mangrove ecosystem. It is forbidden to damage them, cut them down and change their land use, in accordance with the law.</p> <p>The communes, communities, peoples, nationalities and colectivos will participate in the care of these ecosystems and shall inform the competent authority of any violation or destruction of them.</p>
Código Orgánico Ambiental, Libro Segundo del Patrimonio Natural, Article 103	<p>The mangrove ecosystem is a state asset that is outside of trade, is not subject to possession or any other means of appropriation, and on it the domain or any other property right may be acquired by prescription; and only may be exploited sustainably by means of a concession granted or renewed by the Ministry of Fisheries.</p> <p>The communes, communities, peoples and ancestral nationalities may request "Sustainable Use and Mangrove Custody Agreement" for their livelihood, use and exclusive marketing of fish, mollusks and crustaceans, among other species, which develop in this habitat.</p>
Conservation of species	
The Constitution, Art. 73	<p>States that “The State shall apply preventive and restrictive measures on activities that might lead to the extinction of species, the destruction of ecosystems and the permanent alteration of natural cycles. The introduction of organisms and organic and inorganic material that might definitively alter the nation’s genetic assets is forbidden.”</p>
Código Orgánico del Ambiente (Organic Environmental Code) (2017), Art. 24	<p>Establishes a “lists of wildlife species with some category of threat, based on national conservation and management priorities or international instruments or treaties ratified by the State”.</p>

<p>Código Orgánico del Ambiente (Organic Environmental Code) (2017), Art. 35</p>	<p>“On the protection of wildlife species. For the protection of wildlife, the following conditions are established for natural and legal persons: 1. To conserve wildlife species in their natural habitat by prohibiting their extraction, except those considered for research, repopulation of species with any type of threat and those established in this Code; 2. Recognize the traditional use and exploitation of wildlife species for reasons of subsistence or medicinal cultural practices; 3. Protect all native species of terrestrial, marine and aquatic wildlife with special concern for endemic species, endangered species, migratory species and those listed by international instruments ratified by the State; 4. Protect habitats, ecosystems and areas of biological importance, on which wildlife species depend; 5. Coordinate inter-institutional actions for in situ conservation of wildlife species that are affected, or that may be affected by anthropogenic activities; 6. Promote research on wildlife to disseminate bio-knowledge within the national territory; and, 7. Others that are determined for the purpose.</p>
<p>Texto Unificado de Legislación Secundaria de Medio Ambiente (Unified Text of Secondary Legislation of the Environment), Preliminary Title of the Basic Environmental Policies of Ecuador, section 7.1.1.2.1</p>	<p>Provides for the creation of a national implementation plan for the control of invasive alien species.</p>
<p>Sustainable natural resource use</p>	
<p>Código Orgánico Integral Penal (2014) (Comprehensive Organic Criminal Code) (COIP), Art. 93.</p>	<p>Provides that the “management of the National Forest Heritage will be carried out within the framework of the following fundamental provisions: ...6. Sustainable forest management. The National Forest Regime will promote sustainable forest management as a strategy to guarantee the rational use of the natural forest, excluding illegal activities such as extraction, degradation and deforestation.”</p>
<p>Código Orgánico Integral Penal (2014) (Comprehensive Organic Criminal Code) (COIP), Chapter V “Management and Conservation of Natural Forests”, Art. 9</p>	<p>Provides for 9 “[g]eneral provisions for sustainable forest management.”</p>
<p>Acuerdo Ministerial No. 129 (RO No. 283, 21 septiembre 2010) and Acuerdo Ministerial No. 144 (9 agosto 2011).</p>	<p>Provides procedures for the approval and concession of Sustainable Use and Mangrove Custody Agreements in favor of ancestral communities and traditional users.</p>

ESS 4: Indigenous Peoples

Definition

The national law does not define expressly who are indigenous peoples, but Ecuador's ratification of ILO 169 suffices to provide a definition (see Art. 1 of ILO 169). Local communities are also not expressly defined, but various PLRs, including the Constitution, refer not only to indigenous peoples, but Afro-Ecuadorian people, the Montubios of the inland coastal region, and communes of Ecuador. The GCF's broad definition of Indigenous Peoples (see section 2.3) includes, at the very least, the Afro-Ecuadorian communities and Cholos Pescadores, if not all local communities along Ecuador's coastline, which means that GCF's Indigenous Peoples policy applies.

Collective rights

Article 57 of the Constitution provides that for ancestral, indigenous, Afro-Ecuadorian and coastal inland Montubios peoples, in conformity with the Constitution and human rights agreements, conventions, declarations and other international instruments, the following collective rights are recognized and guaranteed:

1. To freely uphold, develop and strengthen their identity, feeling of belonging, ancestral traditions and forms of social organization.
2. To not be the target of racism or any form of discrimination based on their origin or ethnic or cultural identity.
3. To recognition, reparation and compensation for community groups affected by racism, xenophobia and other related forms of intolerance and discrimination.
4. To keep ownership, without subject to a statute of limitations, of their community lands, which shall be unalienable, immune from seizure and indivisible. These lands shall be exempt from paying fees or taxes.
5. To keep ownership of ancestral lands and territories and to obtain free awarding of these lands.
6. To participate in the use, usufruct, administration and conservation of natural renewable resources located on their lands.
7. To free prior informed consultation, within a reasonable period of time, on the plans and programs for prospecting, producing and marketing non-renewable resources located on their lands and which could have an environmental or cultural impact on them; to participate in the profits earned from these projects and to receive compensation for social, cultural and environmental damages caused to them. The consultation that must be conducted by the competent authorities shall be mandatory and in due time. If consent of the consulted community is not obtained, steps provided for by the Constitution and the law shall be taken.
8. To keep and promote their practices of managing biodiversity and their natural environment. The State shall establish and implement programs with the participation of the community to ensure the conservation and sustainable use of biodiversity.
9. To keep and develop their own forms of peaceful coexistence and social organization and creating and exercising authority, in their legally recognized territories and ancestrally owned community lands.
10. To create, develop, apply and practice their own legal system or common law, which cannot infringe constitutional rights, especially those of women, children and adolescents.

11. To not be displaced from their ancestral lands.
12. To uphold, protect and develop collective knowledge; their science, technologies and ancestral wisdom; the genetic resources that contain biological diversity and agricultural biodiversity; their medicine and traditional medical practices, with the inclusion of the right to restore, promote, and protect ritual and holy places, as well as plants, animals, minerals and ecosystems in their territories; and knowledge about the resources and properties of fauna and flora. All forms of appropriation of their knowledge, innovations, and practices are forbidden.
13. To uphold, restore, protect, develop and preserve their cultural and historical heritage as an indivisible part of Ecuador's heritage. The State shall provide resources for this purpose.
14. To develop, strengthen, and upgrade the intercultural bilingual education system, on the basis of criteria of quality, from early stimulation to higher levels of education, in conformity with cultural diversity, for the care and preservation of identities, in keeping with their own teaching and learning methodologies. A teaching career marked by dignity shall also be guaranteed. Administration of this system shall be collective and participatory, with rotation in time and space, based on community monitoring and accountability.
15. To build and uphold organizations that represent them, in a context of pluralism and cultural, political, and organizational diversity. The State shall recognize and promote all forms of expression and organization.
16. To participate by means of their representatives in the official organizations established by law to draw up public policies concerning them, as well as design and decide their priorities in the plans and projects of the State.
17. To be consulted before the adoption of a legislative measure that might affect any of their collective rights.
18. To uphold and develop contacts, ties and cooperation with other peoples, especially those that are divided by international borders.
19. To promote the use of garments, symbols and emblems that identify them.
20. To restrict military activities in their territories, in accordance with the law.
21. That the dignity and diversity of their cultures, traditions, histories, and ambitions be reflected in public education and in the media; the creation of their own media in their languages and access to the others without any discrimination. The territories of the peoples living in voluntary isolation are an irreducible and intangible ancestral possession and all forms of extractive activities shall be forbidden there. The State shall adopt measures to guarantee their lives, enforce respect for self-determination and the will to remain in isolation and to ensure observance of their rights. The violation of these rights shall constitute a crime of ethnocide, which shall be classified as such by law. The State shall guarantee the enforcement of these collective rights without any discrimination, in conditions of equality and equity between men and women.

La Norma Técnica para el Control y Seguimiento de Planes de Inversión de Socios Colectivos del Proyecto Socio Bosque, Resolución N° 281 (The Technical Standard for the Control and Monitoring of

Establishes that "at all times the Ministry of the Environment (MAATE) will observe and guarantee the rights established in Article 57 of the Constitution of the Republic of Ecuador and current International Treaties recognized in favor of indigenous communities, peoples and nationalities."

Investment Plans of Collective Partners of the Socio Bosque Project, Resolution No. 281)	
Traditional knowledge	
Código Orgánico de la Economía Social del Conocimiento y la Innovación (Organic Code of the Social Economy of Knowledge and Innovation), Art. 5	Provides the “National System of Science, Technology, Innovation and Ancestral Knowledge. It comprises the coordinated and correlated set of norms, policies, instruments, processes, institutions, entities and individuals that participate in the social economy of knowledge, creativity and innovation, to generate science, technology, innovation, as well as rescue and enhance traditional knowledge as fundamental elements to generate value and wealth for society.”
Estrategia Nacional de Cambios Climaticos (National Strategy on Climate Change), 2.3	Calls for the saving and valuing of traditional knowledge
Política y Estrategia Nacional de Biodiversidad de Ecuador (2015-2030) (National Policy and Strategy on Biodiversity)	Includes a national goal: “Result 18: Ecuador has established a regime of protection, preservation and promotion of traditional knowledge and expressions of cultural traditions relevant to the conservation and sustainable use of biodiversity.”
Agenda Nacional para la Igualdad de Nacionalidades y Pueblos 2013 - 2017 – ANINP (National Agenda for the Equality of Nationalities and Peoples)	Declares its intention to “promote the research of knowledge and ancestral knowledge, in the area of biodiversity, ecosystems, lands, water and nature care forms, for their recovery, recognition and practice.”
Right to self-determination	
Constitution, Arts. 1, 4, 5, 9, and 15-17	Recognizes key components of the rights to self-determination, among others, the rights of indigenous peoples and local communities to their “ancestral traditions and forms of social organization”, the ownership of their ancestral lands, their right to be consulted and provide consent, the exercise of authority within their lands, “to build and uphold organizations that represent them”, to participate through their designated representatives in the development of public policies and legislative measures that may affect them.
Ley Orgánica de Participación Ciudadana (2011) (Organic Law on Citizen Participation), Article 29	Provides that the forms of organization of the indigenous peoples and communities and of the Afro-Ecuadorian and Montubios are to be respected and strengthened, as is respect for the exercise and representativeness of its authorities, with gender equity, developed in accordance with their own procedures and internal rules, provided they are not contrary to the Constitution and the law.

Ley Orgánica de Participación Ciudadana (2011) (Organic Law on Citizen Participation), Art. 30	Provides “In the case of communes, communities, indigenous peoples and nationalities, peoples Afro and Montubio, their own organizational forms will be respected and strengthened, the exercise and representativeness of its authorities, with gender equity, developed in accordance with their own internal procedures and rules, provided that they are not contrary to the Constitution and the law.”
Respect for culture, customs and traditions	
Código Orgánico de Organización Territorial, Autonomía y Descentralización (COOTAD) (The Organic Code for Territorial Organization, Autonomy and Decentralization (2010) Article 100 related to ancestral territories	Clarifies that the ancestral territories of indigenous peoples, communities and nationalities, as well as of Afro-Ecuadorians and Montubios which are found within natural protected areas, continue to be occupied and administered by these communities in communal form, with policies, plans and conservation and protection programs in accordance with their knowledge and ancestral practices in conformity with the conservation policies and plans of the State’s System of National Protected Areas. The article further requires that the State adopts the necessary mechanisms to facilitate recognition and legalization of these ancestral territories.
Agenda Nacional para la Igualdad de Nacionalidades y Pueblos 2013 - 2017 – ANINP (National Agenda for the Equality of Nationalities and Peoples)	Declares its intention to “Promote the protection of nature, lands and ancestral territories to ensure the caring for the environment, self-sustenance and the cultural identity of Nationalities and Peoples, avoiding unnecessary contaminations and waste of their products.”
International conventions	ICCPR, Art.27, ICESCR, Art. 15(a), ICERD, Art. 5 affirm indigenous peoples and local community rights to culture (including their right to land) and respect for their customs and traditions.
Meaningful participation	
Constitution, Arts 61, 95 and 102 of the	Enshrine the right to participation in matters of public interest, for which the citizens, including those domiciled abroad, individually and collectively, will participate in decision-making, planning and management of public affairs, in the populace’s control of state institutions, society, and their representatives, in a permanent process of constructing the power of the citizen.
Constitution (Article 279)	Created in 2008 the National Decentralized Participatory Planning System (SNDPP). The basic units for participation in the system are communities, communes, hamlets, neighborhoods and urban parishes (Article 248). The system is governed by the Constitution, the General Public Planning and Finance Code (COPFP - 2010), the General Law on Citizen Participation (2010) and the General Code on Territorial Organization, Autonomies and Decentralization (COOTAD - 2010). Sectorial policy agendas focus national planning on each area of government intervention,

	and agendas for equality consolidate policy guidelines to include women, persons with disabilities, indigenous peoples and nationalities, children, elderly adults and persons in situations of mobility, among others.”
El Código Orgánico de Organización Territorial, Autonomía y Descentralización (COOTAD) (The Organic Code for Territorial Organization, Autonomy and Decentralization (2010), Article 304 (g)	Provides that the decentralized autonomous governments act per a system of citizen participation (regulated by law of each government) that, among other things, promotes the participation and involvement of the citizenry in the decisions that have to do with the development of their respective territories.
Constitution, Article 398	Provides that “All state decision or authorization that could affect the environment shall be consulted with the community, which shall be informed fully and on a timely basis. The consulting subject shall be the State. The law shall regulate prior consultation, public participation, time limits, the subject consulted, and the appraisal and objection criteria used with regard to the activity that is being submitted to consultation. The State shall take into consideration the opinion of the community on the basis of the criteria provided for by law and international human rights instruments.”
Ley Orgánica de Participación Ciudadana (2011) (Organic Law on Citizen participation). Title VI	Provides for the establishment of several entities at the national and local levels empowered to help to design and opine on national development policies. These include National Councils of Equality (Consejos Nacionales para la Igualdad), and the National Planning Council (Consejo Nacional de Planificación), which acts through its Technical Secretariate which convenes the the Plurinational and Intercultural Citizen Assembly for Good Living (Asamblea Ciudadana Plurinacional e Intercultural para el Buen Vivir), as a space for consultation and direct dialogue between the State and the citizens to carry out the process of formulation, approval and follow-up of the National Development Plan. There is also the Consejos Ciudadanos Sectoriales (Citizens Sectorial Councils), which serves as another consultation body in the formulation and implementation of sector policies of national scope.
Ley Orgánica de Participación Ciudadana (2011) (Organic Law on Citizen Participation), Art. 41	Provides that information on government programs must be disseminated in Spanish and indigenous languages.
Código Orgánico Ambiental – COA, Art. 103	“The communes, communities, peoples and ancestral nationalities may request that they be granted custody and sustainable use of the mangrove ecosystem for their subsistence,

	exclusive use and commercialization of fish, mollusks and crustaceans, among other species, that develop in this habitat. The organization of popular and solidarity economy associations will be encouraged and prioritized. Use activities and other technical considerations related to the area will be defined by the National Environmental Authority.”
Benefit sharing	
Constitution, Art. 74	Provides that all “[p]ersons, communities, peoples, and nations shall have the right to benefit from the environment and the natural wealth enabling them to enjoy the good way of living.”
ESS 6: Cultural Heritage)	
Constitution, Art. 57 (13)	Affirms the rights of indigenous peoples and local communities “To uphold, restore, protect, develop and preserve their cultural and historical heritage as an indivisible part of Ecuador’s heritage.”
International conventions and treaties	Ecuador is a signatory to the Convention Concerning the Protection of the World Cultural and Natural Heritage.
Gender-equity	
<ul style="list-style-type: none"> ● The Constitution provides for the formulation and execution of policies to achieve equality between women and men. For example, in Article 6, it states that all Ecuadorians are citizens and will enjoy the rights established in the Constitution, and therefore reaffirms the notion of equal rights between women and men. Similarly, Article 11 notes that all people are equal and will enjoy the same rights, duties and opportunities, wherein no one can be discriminated against because of their ethnicity, place of birth, age, sex, gender identity, cultural identity, civil status, language, religion, ideology, political affiliation, judicial past, socio-political condition, economic or migratory status, sexual orientation, disability, physical differences, or health issues. ● The Organic Law on the Popular and Solidarity Economy includes gender equality as one of its principles; ● The Organic Law on Food Sovereignty promotes parity of men and women in social participation and public decision-making for preparing laws and formulating and implementing policies concerning food sovereignty; ● The Ley Orgánica de Participación Ciudadana (2011) (Organic Law on Citizen Participation) establishes as one of its governing principles the guarantee of equal rights in participation processes providing for the “proportional participation of women and men in” decision making and calls upon the State to take “affirmative action measures” so as “to promote the real and effective participation of women in this area” (of public participation); ● The 2013-2017 Plan Nacional para el Buen Vivir (PNBV), which promotes public policies that guarantee equality for all Ecuadoreans and considers the importance of mainstreaming the gender approach throughout the national public policy; 	

- Objective 6 of the National Strategy for Good Rural Living is based on the mainstreaming of the gender approach and the principle of interculturality in public policy to affirm equal opportunities for men and women;
- The Agenda for Transforming Production in the Amazon considers the gender approach for the importance of women's contributions to food production;
- The Estrategia Nacional de Cambio Climático (National Climate Change Strategy) considers women as part of the priority target groups defined in the Constitution and highlights their role as a priority sector for climate change in the country;
- The National Environmental Policy (2009) incorporates strengthening of the gender, inter-generational and inter-regional vision in environmental management and fosters fair and equitable distribution of the use and enjoyment of natural resources;
- The Agenda Nacional de las Mujeres y la Igualdad de Género 2014-2017 (The National Agenda on Women and Gender Equality (2014-2017)) focuses on rights and proposes various public interventions to overcome gender inequality gaps.

Ecuador has also ratified, acceded or otherwise endorsed numerous international instruments that address gender equity, including:

- UN Declaration on Human Rights;
- International Covenant on Civil and Political Rights;
- The Convention on the Elimination of All Forms of Discrimination against Women;
- The Inter-American Convention to Prevent, Punish and Eradicate Violence against the Woman "Convention of Belém do Pará";
- International Covenant on Economic, Social and Cultural Rights;
- The Beijing Declaration and Platform for Action of 1995;
- The Declaration on the Rights of Indigenous People (Voted in favor as a member);
- The International Convention on the Elimination of All Forms of Racial Discrimination;
- The International Convention on the Rights of the Child;
- The International Convention on the Protection of the Rights of all Migrant Workers and Members of their Families;
- Convention on the Rights of Persons with Disabilities

Human rights

Access to justice

The Constitution recognizes the right to access to justice (for instance see Chapter Eight), as do all of the international human rights treaties to which Ecuador is a party. Various national laws also address access to justice issues, rights to remedies, including for environmental and human rights matters, including but not limited to:

- Ley Forestal y de Conservación de Areas Naturales y Vida Silvestre (Law on Forests and Conservation of Natural Areas and Wildlife) (2004, amended 2014), Arts. 78, 94 and 102;
- Ley de Gestión Ambiental (2004) (Law of Environmental Management), Arts. 20, 28, 44 – 46;

- Reglamento a Ley Organica de Tierras Rurales Territorios Ancestrales (Regulation to the Organic Law on Rural Lands and Ancestral Territories) Executive Decree 1283 (2017), 32(p);
- Ley Orgánica de Defensoría del Pueblo, Arts. 2, 8, and 12-20;
- Ley de Arbitraje y Mediación, 1 and 43;
- Código Orgánico Integral Penal (2014) (Comprehensive Organic Criminal Code) (COIP), Arts. 245-267, 398;
- Código General de Procesos (COGEP), Art. 1;
- Código Orgánico del Ambiente (COA), Arts. 14, 23(16), 23(17), and 254.

Special consideration for vulnerable groups' access to justice

- The Constitution 76(f)(7) and (g) ensures a right to a defense where a translator or interpreter is provided free of charge and appointment of legal counsel is also available.
- Art. 13(2) of UNDRIP provides that “States shall... ensure that indigenous peoples can understand and be understood in political, legal and administrative proceedings, where necessary through the provision of interpretation or by other appropriate means.”

Conservation International, as well as any potential project partners or sub-contractors, should be aware of the legal framework on safeguards relevant topics in order to ensure the project is implemented in line with the legal framework as well as the safeguards. Additional measures to further promote alignment are included in section 4.3.

3.2. Institutional framework

The Government of Ecuador has requested CI's assistance in the design and implementation of this Project based on CI's extensive experience in supporting the Government in project implementation, its presence in the country, its large biodiversity, climate change and resource mobilization portfolio, and its role as an Accredited Entity of the GCF.

Ecuador's Ministry of Environment, Water and Ecological Transition (MAATE), as the GCF National Designated Authority (NDA), will ensure that activities implemented by the project align with strategic national objectives, priorities, and standards, including the National Climate Change Strategy, and help advance ambitious action on adaptation and mitigation in line with national goals and needs. The EE will engage with the NDA throughout project implementation. The NDA will contribute to the development of the multiyear workplan and will be provided with detailed reporting on the status of project activities and impacts. MAATE, through its Undersecretariat of Natural Heritage and Undersecretariat of Climate Change, will also contribute to project activities and provide grant and in-kind co-financing as described in the Funding Proposal.

Conservation International Foundation (CI), through its CI-GCF Agency, will serve as the Accredited Entity (AE) for the project. The CI-GCF Agency will be responsible for the overall oversight of this project as defined in the Accredited Master Agreement between the GCF and CI, including technical, financial, and administrative monitoring and supervision (through reporting, audits, and annual site visits) and review and approval of the Executing Entity's (EE) annual workplans and budgets. The CI-GCF Agency will also be responsible for providing support, guidance and backstopping to the EE; monitoring of the achievement of project results and Outputs; reporting to the GCF; and project closure and evaluation. The CI-GCF Agency will conduct these responsibilities, and disburse GCF funds to the EE, in line with CI's Accreditation Master Agreement (AMA) with the GCF. The CI-GCF Agency currently serves as AE for FP026, *Sustainable*

Landscapes in Madagascar, a GCF project addressing mitigation, adaptation, and sustainable livelihoods, and for FP158, *Ecosystem-based Adaptation and Mitigation in Botswana's Communal Rangelands*.

The project's governance structure includes the Project Steering Committee and the Project Management Committee. The Project Steering Committee will be comprised of the following individuals: i) the Undersecretary of Climate Change of MAATE or his/her delegate; ii) the Undersecretary of Natural Heritage of MAATE or his/her delegate; and iii) the Vice President of CI-Ecuador or his/her delegate; and will be chaired by the Undersecretary of Climate Change.

The principal functions of the Project Steering Committee will be to provide strategic guidance and support adaptive management of project implementation, review progress and evaluation reports, discuss problems or strategic issues that might arise during implementation, and provide support for the necessary inter-institutional coordination and contributions to project activities. The Steering Committee will also participate in the selection of the Project Director, through a competitive process.

The Project Steering Committee will meet at least twice per year, to review the progress of the ongoing semester or year and to advise the Project Director on strategic and policy-related decisions. The Project Steering Committee will be convened by the Project Director in advance to give the members sufficient time to schedule the meeting and agree on the agenda. The Project Director will prepare minutes of each meeting. Extraordinary meetings of the Project Steering Committee will be convened when deemed necessary and at the request of one of its members. The Project Steering Committee may also invite key stakeholders to support specific themes.

The Project Management Advisory Committee will comprise the following individuals: i) the Director of the Marine, Coastal and Oceanic¹⁷ (MAATE); ii) the Director of Climate Change Adaptation (MAATE); iii) a representative from VMAP; iv) the Director of the Coastal and Marine Program of CI-Ecuador; and v) the Project Director employed by CI; and will be chaired by the Director of Marine, Coastal and Oceanic from MAATE.

The Project Management Advisory Committee will meet at least four times per year to advise the Project Director and the National Project Director (NPD) on technical matters, and to discuss challenges and collaboration opportunities during implementation. The Project Management Committee may invite key partners to provide advice on specific themes.

For both governance committees, members who are government employees will not be remunerated by GCF funds.

The NPD will be appointed by MAATE's Undersecretary of Natural Heritage, who will be employed and funded by MAATE. The NPD will advise the Project Director on government policies and priorities; review coherence of the project activities, including results, risks, planning and procurement processes; advise on the project's annual Procurement Plan for project services and goods; and review the technical and financial quarterly project reports to the AE.

Technical Advisory Committees will be created for each of the Components and each of the estuaries of the project. In the case of Component 1, the Technical Advisory Committee will include MAATE, the Risk Secretariat, Universities working in climate change adaptation and mitigation, and representatives from AUSCEM. The Component 2 committee will include MAATE, the VMAP, the NCA, the Fisheries and Aquaculture Public Research Institute, shrimp farmers, and other value chain members. The Component 3 committee will include MAATE, the VMAP, the Planning National Secretariat, Provincial, municipal, and Parish governments, and representatives of the INOCAR, the Prosecutor's Office, and Judiciary Council. At

¹⁷ This Direction manages marine, coastal and oceanic heritage.

the level of each estuary, a committee will be created to integrate the Zonal Directors of MAATE with the planning activities of local governments and AUSCEMS representatives.

CI will self-execute this project. CI, acting through its country office in Ecuador (referred to in this proposal as “CI” or “CI-Ecuador”), will be the EE for all activities of this project. CI-Ecuador will be responsible for project execution, management of sub-grantees and their activities, reporting to the AE, and ensuring optimal alignment with the Government of Ecuador policies and priorities in coordination with MAATE to achieve project outcomes and Fund-level goals. As EE, CI, acting through its country office in Ecuador, will enter into legal agreements (including sub-grant agreements, services agreements, and MOUs) for this project. As a branch of CI, CI-Ecuador will follow CI policies and procedures in the execution of this project, including terms included in CI’s Operations Manual (see Annex 21 of the Funding Proposal). The CI-GCF Agency has assessed the capacity of CI-Ecuador and has determined it to be capable of applying CI and CI-GCF standards and policies in the execution of this Project. Throughout Project implementation, CI-Ecuador will be supported by various CI divisions which will lend specific expertise, including CI’s Americas Division, Conservation Finance Division (supporting private-sector funding), and CI’s Center for Oceans (supporting blue carbon and mangrove restoration), and Project Delivery and Monitoring (supporting safeguards and gender).

For more than 30 years, CI has been protecting nature for the benefit of all. CI employs more than 1,000 people and works with more than 2,000 partners in 30+ countries. Since 1987, CI has supported more than 1,200 protected areas and undertaken interventions across 77 countries, protecting more than 601 million hectares of land, marine and coastal areas. CI has been operating in Ecuador for over two decades. In Ecuador, Conservation International works in the Galapagos, marine and coastal areas of continental Ecuador, Andes Choco and the Amazon to implement conservation solutions within priority landscapes. CI has supported the creation and management of marine and coastal protected areas, working in close collaboration with artisanal fisher associations to promote capacity building and sustainable management measures of resources (in Galápagos with the spiny lobster, tuna and prawn fisheries and in mainland Ecuador, with black shell and red crab fisheries).

CI-Ecuador will establish the main Project Management Unit (PMU) at CI’s office in Guayaquil. The PMU will be headed by a full-time Project Director employed by CI, who will be responsible for coordination with all stakeholders and successful implementation of the project and attainment of results specified in the project’s Funding Proposal, to the required standards of quality and within the specified constraints of time and cost. The PMU will be responsible for overall project management and planning, providing support to the execution of day-to-day activities, coordinating with the national government and project partners, coordinating with the AE, managing and overseeing grants, and coordinating project execution across two project offices and four estuary sites. The PMU will also include the Operations and Finance Director and the Project Finance Manager, and will receive support from the CI-Ecuador Senior Operations Director. Upon project inception, the Project Director in coordination with the Operations and Finance Director will prepare a Project Operations Manual, including responsibilities, procedures and details for a smooth and effective implementation, which will be approved by the Project Steering Committee. The project will also have dedicated full-time staff, including Monitoring & Evaluation Manager, Safeguards Manager, Gender Manager, Communications & Knowledge Manager, Procurement Manager and 3 Component Leads. Additional Project staff will be based in Guayaquil and Esmeraldas.

In addition, CI, in coordination with MAATE, will establish an Estuary Field Unit (EFU) in each of the Project’s four target estuaries (Cayapas-Mataje, Muisne-Cojimíes, Gulf of Guayaquil, and Jambelí) as regional execution offices. These EFUs will be housed in the MAATE Provincial Directions in Esmeraldas, Guayaquil, and Machala (as in-kind support from MAATE), and will each be led by two project staff: an Estuary Coordinator and a Social Technician (CI staff for the southern estuaries and PUSECE staff for the northern estuaries). Establishing EFUs in the estuaries directly involved in the day-to-day activities of the

local associations is a cost-effective strategy for achieving the goals of the project. Evaluations on mangrove areas has shown that frequent technical support leads to sustainable change in behavior and practices in local communities to change behavior and practices. The Estuary Coordinator will ensure effective liaison and coordination with local stakeholders and local government, Component Leads, the PMU, and the other EFUs in implementation of the project activities, and the supporting staff will support implementation of Conservation and Stewardship Agreements with fishing associations and in-kind grants to local NGOs and universities.

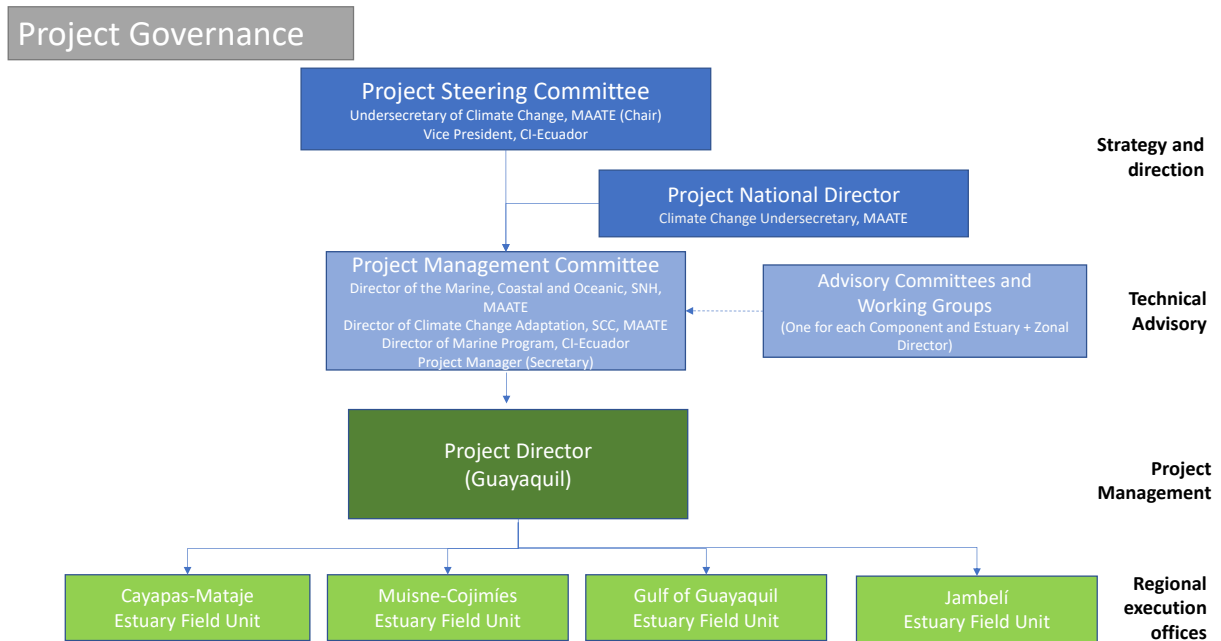


Figure 1. Institutional structure of the project

Specific responsibilities for implementation of the ESMP are clarified in the Environmental and Social Action Plan in section 4.3. At the project management level, the project will be staffed with a Gender Manager and a Safeguards Manager, who have the primary responsibility for executing the ESMP and Gender Action Plan.

4. Social and environmental risks of the project and their management

Any project, depending on where and how it gets implemented, can benefit people and the environment, or harm people and the environment. To maximize the benefits, and avoid or, where this is impossible, minimize and manage potential harm, social and environmental risks are assessed in advance and where risks are likely, mitigation measures are identified from the start.

The Project Preparation Facility (PPF) Application that was submitted for the present project included results from an initial risk screening. The initial screening states that it was determined that the project's activities will not cause, or enable to cause, significant negative environmental and social impacts. Based on this conclusion, the project was considered a Category B project, as potential adverse environmental and social impacts on the population within the proposed locations, including the Protected Areas, can be considered site-specific, reversible and can be readily mitigated.

Following full design of the project a second risk screening was conducted following the latest version of the CI-GCF Agency ESMF (version 7). This second screening was subsequently updated in March 2024. The following sections present the key results of the updated second screening and required mitigation measures (see section 4.1), followed by the Environmental and Social Action Plan determining mitigation measures, indicators and responsibilities for their implementation (see section 4.2). The full document of the secondary ESS risk screening report is provided as Appendix 2 of this document.

4.1. Results of ESS screening report

Overall summary

The proposed project activities have the potential to cause adverse environmental and social impacts. However, the impacts are anticipated to be less adverse than those of Category A projects, site-specific, and mitigation measures can be readily designed. The restoration activities will take place in degraded areas or within protected areas consistent with the PA's objectives. The potential for economic displacement of people is low and the implementation of a Process Framework will ensure that any restrictive measures are voluntarily agreed upon and done in consultation with the members of the community associations. No negative impacts on Indigenous People and Local Communities (IPLCs) are anticipated and the implementation of an Indigenous Peoples Plan (IPP) will ensure that Free, Prior and Informed Consent (FPIC) is followed, and any impacts are identified and managed in consultation with IPLCs.

Safeguards triggered:

- Environmental & Social Impact Assessment (ESS1)
- Protection of Natural Habitats and Biodiversity Conservation (ESS2)
- Resettlement & Physical and Economic Displacement (ESS3)
- Indigenous Peoples (ESS4)
- Community Health, Safety and Security (ESS8)
- Financial intermediaries (ESS9)

Mitigation measures required:

- Limited ESIA for any subprojects identified as medium risk (Category B)
- Environmental & Social Management Plan

- Process Framework
- Indigenous Peoples Plan
- Community Health, Safety and Security Plan

ESS Standard	Yes	No	TBD	Justification
1. Environmental & Social Impact Assessment (ESIA)	x			<i>No significant adverse environmental and social impacts that are sensitive, diverse, or unprecedented are anticipated. However, some of the potential sub-projects (e.g. community grants and mangrove restoration activities) are yet to be defined and as such, those impacts are unknown at this time.</i>
2. Protection of Natural Habitats and Biodiversity Conservation	x			<i>The project includes mangrove restoration activities using native and locally sourced species within areas managed by community associations (AUSCEMs), some of which are within protected areas. Additional restoration activities will take place on private shrimp farms. Restoration activities can cause harm to ecosystems if the activities are not managed properly.</i>
3. Resettlement and Physical and Economic Displacement	x			<i>The project is not proposing activities that would cause resettlement and physical displacement. However, the work with community management has the potential to restrict access (such as harvesting restrictions) due to either management decisions agreed to by the community associations restrictions or because some individuals are not members of the associations with management rights.</i>
4. Indigenous Peoples	x			<i>The project plans to work in lands or territories traditionally owned, customarily used, or occupied by IPLCs.</i>
5. Resource Efficiency and Pollution Prevention		x		<i>The project will not contribute to pollution but rather support farms to reduce the use of pollutants and climate impacts.</i>
6. Cultural Heritage		x		<i>The project does not plan to implement activities that affect cultural heritage.</i>
7. Labour and Working Conditions		x		<i>The EE indicated that it has the necessary policies, procedures, systems and capabilities to meet the minimum requirements.</i>
8. Community Health, Safety and Security	x			<i>[Updated March 2024] Early in 2024, the country witnessed widespread violence, marked by organized gang activities, prison breaks, vehicle explosions, intimidation, and the attack on a TV station. Although violence has decreased, the government's declaration of 'war' against drug gangs will maintain an increased presence of military and ongoing security operations against these groups. The criminal gangs, in turn, continue to retaliate to challenge the</i>

				<i>government's resolve, posing ongoing security threats in the months ahead. These developments have triggered significant short-term security adjustments in the country. The outlook remains uncertain but the proposed increase in government spending on security signals a commitment to sustained operations against drug gangs. Moreover, there's growing concern over escalating conflicts between rival gangs, potentially leading to conditions that further complicate the operational environments, as observed in similar situations in other countries.</i>
9. Private Sector Direct Investments and FIs			x	<i>The project plans to channel funds through a dedicated window/subaccount of an existing Trust Fund. FIAS, who are responsible for managing the Trust Fund has ESMF experience managing the Socio Bosque Program ([partly] GCF funded).</i>
10. Climate Risk and Related Disasters		x		<i>The proposed project is designed to address climate change mitigation and adaptation issues. The vulnerability assessment included in the baseline study, including the factor of rising sea levels, was considered in the development of maps prioritizing areas for mangrove reforestation.</i>

Proposed categorization

Based on the ESS Standards triggered, the project is categorized as a **Category B** project.

4.2. Identified potential risks and mitigation measures

Potential risks and mitigation measures have been identified for each of the ESS identified in the project ESS screening and summarized in the table below. In addition to potential risks for each ESS, potential risks related to gender issues and human rights have been assessed.

The rating of impact and probability was based on expert opinion and on a scale from 1 to 5 with 1 for low and 5 for high. "Impact" indicates "how severe the impacts would be if they were to occur". The "probability" of occurrence is "the likelihood for a risk to occur". A significance value of the risk (here low, medium or high) can be obtained by combining the probability and impact values. The risk significance indicates the relationship between probability and severity or magnitude of impacts.

The values for risk significance are included in the action matrix in section 4.3.

Table 13. Summary of main risks related to the project (for the rating of impact and probability, 1 means low and 5 high)

ESS 1: Environmental & Social Impact Assessment (ESIA)

Generic summary: No significant adverse environmental and social impacts that are sensitive, diverse, or unprecedented are anticipated. However, some of the potential sub-projects (e.g. community

grants and mangrove restoration activities) are yet to be defined and as such, those impacts are unknown at this time.

No.	Title	Impact	Probability
R1.1	If during the screening of sub-project activities, the environmental and social impacts amount to a Category B rating, the project will be required to prepare a limited, fit-for-purpose ESIA outlining those potential impacts and how they will be managed.	1	2

ESS 2: Protection of natural habitats and biodiversity conservation

Generic summary: The project aims to improve mangrove conservation and sustainable management of coastal resources. Activities, however, include mangrove reforestation, which could, depending on where and how such reforestation happens, and depending on the previous status and use of resources in these areas, cause harm to biodiversity and thus also impact ecosystem services.

No.	Title	Impact	Probability
R2.1	The project may lead to potential adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services from mangrove reforestation.	1	2

ESS 3: Resettlement and physical and economic displacement

Generic summary: No land acquisition or resettlement are planned as part of the project and the land tenure situation will not be changed. No additional restrictions of access associated with protected areas will occur as a result of the project. Protected areas activities financed by GCF will be limited to trainings and including improved climate resilience in management planning. The work with community management (through AUSCEMs) has the potential to restrict access due to either management decisions agreed to by the community associations (such as harvesting restrictions) or because some individuals are not members of the associations with management rights. This may lead to economic displacement. In line with the precautionary principle, the risk is mentioned and a Process Framework has been generated (Appendix 4).

No.	Title	Impact	Probability
R3.1	The project may lead to restricted access or use of resources that people were using prior to the AUSCEM being established, which could potentially lead to some economic displacement.	2	2
R3.2	Any proposal to change policies, regulations, plans and/or level of enforcements that arise during the project (e.g., in Component 1, Activities 3.2.1, and 3.2.2) should be informed by an assessment of possible physical and/or economic displacements. The proposed policies, laws, regulations, or enforcement system should therefore be designed to avoid adverse impacts and where the impacts cannot be avoided, should include built-in measures to mitigate these or compensate/rehabilitate those impacted.	2	1

ESS 4: Indigenous Peoples

Generic summary: No land acquisition or resettlement are planned as part of the project and the land tenure situation will not be changed. However, some of the suggested activities could result in a

change in access to land and/or resources, which could, in the worst case, lead to economic displacement. Special attention therefore needs to be paid to the risk of economic displacement.

No.	Title	Impact	Probability
R4.1	The project may lead to potential adverse impacts to afro-descendent communities, Cholos Pescadores and local communities as a result of restricted access to resources they used previously (this is the same as risk R3.1).	3	2

ESS 8: Community Health, Safety and Security

No.	Title	Impact	Probability
R8.1	Mangrove restoration/reforestation (Activity 1.1.1) and livelihood development may expose community members working on these subprojects to drowning hazards, poisonous animals, and disease vectors. Ecuadorian mangrove forests are home to some potentially dangerous animals such as crocodiles and caimans, venomous snakes (e.g. <i>Bothrops asper</i>), stingrays, and jellyfish. Some diseases are known to thrive also in mangrove areas such as malaria, dengue, leptospirosis and vibriosis. Although the mangrove-dependent communities live with these risks every day, the project activities may increase the probability that community members will be exposed to them.	3	3
R8.2	In early 2024, the country witnessed widespread violence due to organized gang activities, prison breaks and intimidation. Although the violence has decreased, the government's 'war' against drug gangs will maintain an increased presence of military and ongoing security operations against these groups. Although not a risk created by the project, this context could make working with local communities risky if drug gangs decide to target local communities due to project activities.	5	1

ESS 9: Financial Intermediary

Generic summary: The project includes channeling of funds through a dedicated subaccount of the existing endowment fund used for the Socio Bosque Program (the Socio Manglar subaccount). The fund is managed by FIAS who will therefore act as a financial intermediary in this project. Although FIAS already has experience managing multiple international donor funds, including GCF funds, mitigation measures are needed to ensure that FIAS has the necessary safeguard processes in place.

No.	Title	Impact	Probability
R9.1	FIAS may have inadequate safeguard processes or capacity in place to manage GCF funds.	2	2

Gender-sensitivity

Generic summary: A gender assessment was conducted as part of the full project proposal preparation and a gender assessment report as well as gender action plan were produced. The gender action plan is provided as Annex 8 of the Funding Proposal. The main potential risk is listed below.

No.	Title	Impact	Probability
RG1	The project may reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits.	3	2

Human rights

Generic summary: Human rights related potential risks were assessed together with all other topics and in line with GCF's Environmental and Social Policy's guiding principle on human rights. Identified risks mainly relate to the potential of the project to lead to restricted access to resources as a result of stricter implementation of protected area law and to the potential that not all local stakeholders will feel equally included in the project, which could aggravate existing tensions.

No.	Title	Impact	Probability
RHR1	The project may lead to inequitable or discriminatory adverse impacts of the project on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups.	2	2
RHR2	The project may lead to restricted access to resources, in particular to marginalized individuals or groups (related to R3.1).	2	2
RHR3	The project may lead to exclusion of potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them.	2	2
RHR4	The project may exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals.	2	2

Sexual Exploitation, Abuse and Harassment (SEAH)

Generic summary: The project activities will bring CI and partner staff into frequent contact with community members, including those that are marginalized or vulnerable, in remote locations with limited communication channels. The project also includes activities that involve providing various forms of support to communities, including livelihood support, which can create unequal power dynamics between staff/partners and individuals in communities.

No.	Title	Impact	Probability
RSEA H1	Project staff and partners will be in contact with, and providing support services to, communities with vulnerable individuals in remote rural areas, leading to elevated risk of SEAH.	2	2

4.3. Environmental and Social Action Plan

The Environmental and Social Action Plan (ESAP) presents the identified risks, provides an explanation for each as well as the risk significance, explains how the project itself responds to the risk and then details what additional mitigation measures are needed to adhere to the applicable safeguards. For the mitigation measures, responsibilities are specified, as well as the schedule for their implementation indicators, targets and cost elements. It should be noted that where the cost field includes a zero, the mitigation measure is built into an activity that is already part of the main project activities rather than something additional needed to implement the ESAP. In other words, the ESAP guides how a planned activity is designed but no additional cost will be incurred.

Risk (R)	Explanation		Risk significance	Response		
R1.1	No significant adverse environmental and social impacts that are sensitive, diverse, or unprecedented are anticipated. However, some of the potential subprojects (e.g. community grants and mangrove restoration activities) are yet to be defined and as such, those impacts are unknown at this time.		Low	The uncertainty about potential subprojects (community small grants and mangrove restoration activities) means that these activities will be screened for environmental and social risks (see Appendices 10 and 12 for details of the screening process and the screening forms). If during the screening of subproject activities, the environmental and social impacts amount to a Category B rating, the project team will be required to prepare a limited, fit-for-purpose ESIA outlining those potential impacts and how they will be managed. The risk is considered low since project teams are likely to fund alternative low-risk community grants or choose other low-risk restoration sites (approx. 10,000 ha of suitable sites have been identified and the project target is 4,850 ha) rather than proceeding with medium risk activities.		
Mitigation measures (MM)	Responsible party/person	Schedule	Indicator (I)		Target (T)	Cost elements
MM1.1	Estuary field teams and Component 1 Manager for preparation of limited ESIA Safeguard Manager for assessment of ESIA and monitoring of its implementation	As needed	I1.1a Number of ESIA i) developed and ii) approved. I1.1b Number of ESIA monitored		T1.1a Zero limited ESIA developed. T1.1b Zero limited ESIA monitored, but if any are then equal to I1.1aii	Staff time and travel
Risk (R)	Explanation		Risk significance	Response		
R2.1	The project may lead to potential adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services from mangrove reforestation.		Low	The uncertainty about final sites for reforestation requires a number of mitigation measures to avoid potential harm to people and nature and actively promote benefits. All mangrove restoration sites will be screened for environmental and social risks (see Appendices 10 and 12 for details of the screening process and the screening forms).		

	that further refinement of the sites for reforestation is still pending during project implementation.				
R2.2 Project activities could lead to chance archaeological or paleontological finds	Project activities, in particular mangrove restoration, could lead to chance archaeological finds that were unknown at the start of project activities.		Low	Any archaeological or paleontological discoveries during any ground activities by the project should immediately be reported to appropriate authorities. For significant finds involving an area, project activities on the site should be immediately suspended until authorities shall have determined the appropriate action to pursue.	
Mitigation measures (MM)	Responsible party/person	Schedule	Indicator (I)	Target (T)	Cost elements
MM2.1a) Carry out an assessment on the environmental, social and economic viability of the restoration/reforestation activities to ensure that biodiversity and ecosystem functionality are at least maintained, environmentally appropriate, socially beneficial and economically viable and are designed to achieve no net loss of biodiversity (see also MM2.1e).	Restoration Specialist Social Technicians per estuary	Year 2, findings from other MMs under this risk can feed into the analysis.	I2.1.1 Existence of progress report about the assessment.	T2.1.1 Final assessment report confirms that restoration/reforestation activities will be environmentally, socially and economically viable.	Staff time and M&E related travel. Other costs included within restoration activities budget
MM2.1b) Analyze the current status and use of the areas identified as having potential for reforestation to ensure that <ul style="list-style-type: none"> No valuable ecosystem has established since the mangroves were first removed; The areas are not currently used for other purposes by local stakeholders; Reforestation in these areas will not require manipulation that results in loss of existing mangrove or other critical natural habitats. Reforestation is technically feasible 	Restoration Specialist, Safeguards Manager	Year 1	I2.1.2a) Number of maps produced that include information as requested in the target with information on the methodology applied to provide that information.	T2.1.2a) Maps with identified sites for reforestation exist for all four estuaries, confirming that reforestation in selected sites: <ul style="list-style-type: none"> Does not lead to disturbance or destruction of valuable ecosystems that established themselves over a long period of time since mangroves were removed. Does not conflict with use for other purposes by local stakeholders; Will not require manipulation of water flows. 	Included within restoration activities budget, which includes \$1,071,542 for preparation for restoration, salary for a restoration specialist and two mangrove coordinators
		Throughout project implementation, to be reported every 6 months	I2.1.2b) Number of grievances raised in the context of reforestation happening in sites where valuable ecosystems had already established again, reforestation conflicts with current use, or water flows have been manipulated. I2.1.2c) Percentage of these grievances that have been resolved satisfactorily.	T2.1.2b) There are no/very few grievances raised in this context and the number decreases over time. T6.1.2c) 100% of grievances raised in this context are concluded satisfactorily.	Included within restoration activities budget
	Mitigation Specialist	Throughout project implementation, to be reported every 6 months	I2.1.2d) Hectares of mangrove and/or other critical natural habitats lost or degraded	T2.1.2d) Zero hectares of mangrove and/or other critical natural habitats are lost or degraded	Included within restoration activities budget

MM2.1c) Use only native species in mangrove reforestation, as listed in the baseline study, and source seedlings locally;	Restoration Specialist	Throughout implementation of reforestation activities	I2.1.3 Percentage of seedlings that are of native species and have been sourced locally (to be calculated from catalogue/registry of purchases/sourcing).	T2.1.3 All (100%) purchased seedlings are of native species and have been sourced locally. Justification needs to be provided if purchases/sourcing are/is not made locally.	Included within restoration activities budget
MM2.1d) Include local and traditional knowledge on mangrove reforestation, by identifying species important to communities and identify guiding principles for reforestation that are tailored to the local context during mangrove reforestation trainings and AUSCEM exchanges;	Restoration Specialist Social Technicians per estuary	Throughout implementation of reforestation activities	I2.1.4a) Number of databases maintained that record species and uses by local communities I2.1.4b Number of restoration sites that have species planted that have been identified by local communities and/or IPs as important to them (based on identification from discussions in trainings and AUSCEM exchanges).	T2.1.4a) At least one database maintained that records species and use information derived from discussions with local communities T2.1.4b) All restoration sites include species identified as important to local communities and/or IPs.	Included within restoration activities budget (grants to local communities; \$3,000,000) and AUSCEM exchange activities (\$35,379) and through community mangrove restoration training workshops (\$90,204)
MM2.1e A robust, appropriately designed, and long-term biodiversity monitoring and evaluation activity is integrated into the project	Mangrove coordinators, Restoration Specialist, M&E Manager	Throughout implementation of reforestation activities and the rest of the project period	I2.1.5a Number of reports from biodiversity monitoring program	T2.1.5a Functioning, robust biodiversity monitoring program providing regular (frequency to be determined) monitoring of biodiversity in restoration sites and community-managed areas.	Biodiversity monitoring program included in the project budget (\$)
MM 2.1f Competent professionals are engaged in conducting the risks and impacts identification process	Mangrove coordinators, Restoration Specialist, Safeguards Manager	Year 1	I2.1.6a Number of trainings provided to key restoration staff on mangrove restoration risks and design and safeguards.	T2.1.5a Two trainings for each key staff member (one on restoration and one on safeguards); ongoing mentoring for field staff from Restoration specialist and Safeguards Manager	Trainings on Mangrove restoration and Safeguards training are included in Project budget
MM 2.1g Disclosure of the assessments and plans related to subprojects that are considered category B/medium risk	Mangrove coordinators, Restoration Specialist, Safeguards Manager	Throughout implementation of project activities	I2.1.7a Number of category B subproject plans that are disclosed to affected communities and published on CI website.	T.2.17a All subprojects determined to be Category B/medium risk by the safeguards screening have plans developed to mitigate risks that are disclosed to affected communities and on the CI website.	Staff time to develop plans and disclose them.
MM2.2) Suspend project activities on sites where chance	Mangrove coordinators, Restoration Specialist, Safeguards Manager	Throughout implementation of reforestation activities	I2.2a Number of chance archaeological or paleontological finds	T2.2 No finds expected/targeted but this outside of the project control.	No specific budget but it may require

archaeological or paleontological occur during the project activity			I2.2b Number of mitigation actions taken in coordination with relevant authorities		suspending activities
Risk (R)	Explanation		Risk significance	Response	
R3.1 The project may lead to restricted access or use of resources that people were using illegally, which could, in the worst case, lead to economic displacement.	Overall, the project aims to improve the economic situation of the local communities and it will provide new opportunities for community members to take more control over the use of local mangrove resources. However, activities under Activity 1.1.1 “Strengthen and expand community-based mangrove conservation and management to reduce deforestation and increase mangrove restoration” could result in stricter enforcement of rules regarding access to and use of resources for community members who are unable to, or choose not to, participate in the community-management activities. This could lead to economic displacement of people currently accessing mangroves or using such resources illegally.		Low/Medium	The present project does not intend to cause displacement of any kind. Mitigation measures are suggested to reduce the chance of economic displacement and for cases where economic displacement cannot be avoided. The risk of economic displacement can be mitigated by ensuring clear communication of benefits and costs of AUSCEM association membership, ensuring that all community stakeholders have opportunities to join and working with AUSCEMs so that they avoid putting in place restrictions that would cause economic displacement.	
Mitigation measures (MM)	Responsible party/person	Schedule	Indicator (I)	Target (T)	Cost elements
MM3.1a) Identify all stakeholders affected by such restrictions, with special attention to members of afro-descendent communities and Cholos Pescadores;	Safeguards and Gender Managers and Social Technicians per estuary	Year 1	I3.1.1 Number of topical stakeholder maps that have been produced to identify affected stakeholders, including the actual number of affected stakeholders and their belonging to any of the particularly vulnerable groups.	T3.1.1 Topical stakeholder maps have been produced for all AUSCEMS within which such restrictions may apply, including a specification of the number of people affected and their belonging to any of the particularly vulnerable groups.	Included within AUSCEM renewal and expansion budget (Activity 1.1.1)
MM3.1b) Consult with stakeholders on the need/measures for conservation and identify those measures that can lead to restrictions/economic displacement	Adaptation Specialist (MRV)	Within 6 months after conclusion of MM3.1a)	I3.1.2 Number of awareness raising sessions conducted per estuary, and percentage of affected stakeholders identified in MM5.1a), as recorded in participants lists.	T3.1.2 Awareness raising has been conducted in each of the AUSCEMs engaging at least 80% of the affected stakeholders in each AUSCEM.	Included within AUSCEM renewal and expansion budget (Activity 1.1.1)
MM3.1c) Consult with any affected stakeholders, applying a culturally appropriate and gender-sensitive approach, to develop a socioeconomic assessment and analysis showing quantifiable impact of restrictions on their livelihoods that can be used to inform and negotiate and identify solution options for inclusion in the refined Process Framework and	Social Technicians per estuary	Within 6 months after conclusion of MM3.1a), can be combined with MM3.1b)	I3.1.3 Number of socio-economic assessments that include solution options identified in a participatory manner for each of the AUSCEM areas and that have been incorporated in the refined Process Framework.	T3.1.3 Solution options that were identified in stakeholder consultations in all AUSCEM areas have been incorporated into the refined Process Framework.	Included within AUSCEM renewal and expansion budget (Activity 1.1.1)

the Plan for Afro-descendent communities and Cholos Pescadores;					
MM3.1d) Explore opportunities to maintain engagement of affected stakeholders in project activity 1.2.1, and include identified opportunities in the Process Framework and the Plan for Afro-descendent communities and Cholos Pescadores;	Social Technicians per estuary Sustainable Production Specialist	To be started after conclusion of MM3.1b) and c), then throughout project implementation with biannual reporting	I3.1.4 Percentage of affected stakeholders voluntarily involved with bio-enterprises that were established as part of the project or through another voluntary agreement.	T3.1.4 100% of affected stakeholders are voluntarily involved with the project through bio-enterprises that were established as part of the project or through another voluntary agreement.	Included within AUSCEM renewal and expansion budget (Activity 1.1.1)
MM3.1e) Where economic displacement is inevitable, keep stakeholders engaged throughout the process of further defining and implementing the Process Framework (see Appendix 4), including a process to obtain FPIC	Sustainable Production Specialist	Throughout implementation of the refined Process Framework	I3.1.5 Percentage of AUSCEM areas where implementation of the refined Process Framework is necessary that issue annual reports confirming continued engagement of affected stakeholders as detailed in the refined Process Framework.	T3.1.5 All final reports from implementation of the refined Process Framework in the AUSCEMs where economic displacement happened include a summary of how affected stakeholders were engaged throughout the process.	Included within AUSCEM renewal and expansion budget (Activity 1.1.1)
MM3.1f) Seek Free, Prior and Informed Consent from affected stakeholders, following an FPIC procedure that has been previously agreed in a participatory manner and in line with CI/GCF's ESMF guidelines for Applying Free, Prior and Informed Consent;	Safeguards and Gender Managers and Social Technicians per estuary	Following agreement on FPIC procedures as included under MM3.1e)	I3.1.6 Number of estuaries in which FPIC has been sought from affected stakeholders in line with CI's FPIC Procedure (documentation should be provided)	T3.1.6 Documentation is available showing that FPIC has been sought from all affected stakeholders in all four estuaries.	Included within AUSCEM renewal and expansion budget (Activity 1.1.1)
MM3.1g) Implement a Process Framework that has been agreed upon by local communities to which it applies, including the Afro-descendent communities and Cholos Pescadores	Safeguards and Gender Managers and Social Technicians per estuary		I3.1.7 Percentage of AUSCEMs included in the project where restrictions lead to adverse impacts on local stakeholders that submit annual reports on progress with implementation of the Process Framework and the Plan for Afro-descendent communities and Cholos Pescadores.	T3.1.7 All (100%) of AUSCEMs included in the project where restrictions lead to adverse impacts on local stakeholders issue annual progress reports on the implementation of the Process Framework and the Plan for Afro-descendent communities and Cholos Pescadores.	Included within AUSCEM renewal and expansion budget (Activity 1.1.1)
MM3.1h) Implement the project-specific Grievance Redress Mechanism and trace complaints in the context of economic displacement to ensure satisfactory follow up and conclusion of complaints.	Safeguards & Gender Managers	Throughout implementation of the mitigation measures MM3.1 a)-e)	I3.1.8a) Number of complaints raised through the GRM in the context of economic displacement for each AUSCEM area where economic displacement is happening.	T3.1.8a) There are no complaints in the context of economic displacement or the number is very low and decreasing over time. T3.1.8b) All (100%) of complaints are concluded satisfactorily.	Staff time (see also MMRHR4a below).

			I3.1.8b) Percentage of complaints from I3.1.8a) for each AUSCEM area that were concluded satisfactorily.		
Risk (R)	Explanation		Risk significance	Response	
R3.2 Any proposal to change policies, regulations, plans and/or level of enforcement that arise during the project (e.g., in Component 1, Activities 3.2.1, and 3.2.2) should be informed by an assessment of possible physical and/or economic displacements.	Any change caused by project activities to proposed policies, laws, regulations, or enforcement system should be designed to avoid adverse impacts to vulnerable people and where the impacts cannot be avoided, should include built-in measures to mitigate these or compensate/rehabilitate those impacted.		Low/medium	New policies and regulations are not planned as part of the project. The project does include developing plans (e.g. Activity 1.1.2 on updating protected area management plans to include adaptations to climate change and Activity 3.2.1 to support local government to improve land-use planning). However, the changes to plans should not cause physical or economic displacements. Indeed, the Component 1 activities are designed to ensure that communities have greater access to the use of mangrove resources. Similarly, it is not planned that the project will be supporting enforcement activities that cause physical or economic displacement. However, the risk and mitigation measures are noted in the ESMP to ensure that an assessment is undertaken if changes to planned activities are made that result in triggering this risk.	
Mitigation measures (MM)	Responsible party/person	Schedule	Indicator (I)	Target (T)	Cost elements
MM3.2a Assess whether changes in planned project activities have	Project Director and Safeguards Manager	To be reviewed annually but also immediately if a change in project activity is suspected of potentially triggering physical or economic displacement.	I3.2a. Number of assessments undertaken.	T3.2a No changes to planned project activities trigger physical or economic displacement.	Staff time
MM3.2b Modify project activities that lead to changes in policies, regulations, plans and/or level of enforcement such that they do not cause physical or economic displacement.	Project Director and Safeguards Manager	Triggered if assessment in MM3.2a determines that a project activity is leading to physical or economic displacement.	I3.2b Number of activities that need to be modified (and formally documented – documentation will depend on the context)	T3.2b No activities need to be modified	Staff time and potentially meetings (can be meetings that are already budgeted as part of regular project activities)
Risk (R)	Explanation		Risk significance	Response	
R4.1 The project may lead to potential adverse impacts to afro-descendent communities, Cholos Pescadores and local communities as a result of restricted access to resources they used previously (same as risk R3.1).	For the use of mangrove resources, a mangrove use and custody agreement (AUSCEM) is needed. However, some people access these resources inside AUSCEMs without having official rights to do so. This endangers the sustainability of the mangrove resources. The project may lead to stricter implementation of these regulations, with potential implications for respective stakeholders.		Low/Medium	The present project does not intend to cause displacement of any kind. Mitigation measures are suggested to reduce the chance of economic displacement and for cases where economic displacement cannot be avoided. The risk of economic displacement can be mitigated by ensuring clear communication of benefits and costs of AUSCEM association membership, ensuring that all community stakeholders have opportunities to join and working with AUSCEMs so that they avoid putting in place restrictions that would cause economic displacement.	

	This risk is the same as for R3.1 but repeated here specifically because it relates to Indigenous Peoples.				
Mitigation measures (MM)	Responsible party/person	Schedule	Indicator (I)	Target (T)	Cost elements
All mitigation measures MM3.1a to 3.1h apply to Ips as well as all communities					
MM4.1a Include Afro-descendent communities and Cholos Pescadores in the decisions on the implementation of the project.	Safeguards Manager and Social Technicians per estuary	Year 1	I4.1.1 Number and percentage of IP groups represented on the Estuary Advisory Committees	T4.1.1 Afro-descendent and Cholos Pescadores communities are represented on each of the Estuary Advisory Committees for the estuaries where they are present.	Transportation and lodging for meetings
Risk (R)	Explanation		Risk significance	Response	
R8.1 Mangrove restoration/reforestation (Activity 1.1.1) and livelihood development may expose community members working on these subprojects to drowning hazards, poisonous animals, and disease vectors.	Ecuadorian mangrove forests are home to some potentially dangerous animals such as crocodiles and caimans, venomous snakes (e.g. <i>Bothrops asper</i>), stingrays, and jellyfish. Some diseases are known to thrive also in mangrove areas such as malaria, dengue, leptospirosis, and cholera (vibriosis).		Medium	Although the mangrove-dependent communities live with these risks every day, the project activities may increase the probability that community members will be exposed to them. Mitigation measures should include discussing and assessing health and safety risks with communities who will be involved in project activities and developing emergency prevention and response planning.	
Mitigation measures (MM)	Responsible party/person	Schedule	Indicator (I)	Target (T)	Cost elements
MM8.1a Project staff receive training on dealing with Community Health, Safety and Security risks, including completion of Community Health, Safety and Security risk assessments.	Safeguards Manager	Year 1	I8.1.1 Number of people trained on the project's Community Health, Safety and Security requirements	T8.1.1 All field-based and technical project staff receive training	Included in project's safeguard training for year 1
MM8.1b Complete Community Health, Safety and Security risk assessment for Activity 1.1.1 in each community.	Field based staff working with communities, Component 1 Manager, Safeguard Manager	Throughout the project – for the community it will depend on the years when work is scheduled. To be done at the start of engagement with the community	I8.1.2 Number of communities where a Community Health, Safety and Security risk assessment has been completed.	T8.1.2 Community Health, Safety and Security risk assessments completed for all communities engaged in Activity 1.1.1	Staff time. To be completed during trips to communities and budgeted as part of other travel and meetings.
MM8.1c Implement mitigation measures identified in the Community Health, Safety and Security risk assessment. This could include redesigning or avoiding some activities at the community level (e.g. deciding not to restore mangroves on certain areas due to safety concerns).	Field based staff working with communities, Component 1 Manager, Safeguard Manager	Throughout the project – for the community it will depend on the years when work is scheduled. To be done at the start of engagement with the community.	I8.1.3 Number of communities where the mitigation measures identified in the Community Health, Safety and Security risk assessment have been acted upon.	T8.1.3 All feasible mitigation measures have been acted upon.	Staff time. Mitigation measures to be integrated into the activities which have been budgeted under Activity 1.1.1

MM8.1d Provide First Aid Training for all project staff. Training courses to be provided by third party trainer in Ecuador (there are several)	Safeguard Manager, Supported by Regional Director of Safety and Security	Year 1	I8.1.4 Number (and proportion) of staff trained in First Aid	T81.4 All project staff trained in First Aid	\$150 per staff member is included in the budget
Risk (R)	Explanation		Risk significance	Response	
R8.2 Violence towards communities by organized crime groups.	In early 2024, the country witnessed widespread violence due to organized gang activities, prison breaks and intimidation. Although the violence has decreased, the government's 'war' against drug gangs will maintain an increased presence of military and ongoing security operations against these groups.		Medium	Although not a risk created by the project, the violent security context could make working with local communities risky if drug gangs decide to target local communities due to project activities. The types of activities supported by the project (e.g. tree planting) seem unlikely to attract the attention of gangs since they generally won't be providing items of high value to the communities. An exception could be the community small grants and the risk that these could attract attention of gangs should be considered in the safeguard screening and application process for these subprojects. The main response to this risk is to equip all field and technical staff with knowledge of the risks and the capacity to anticipate and to respond to security incidents swiftly and effectively. The most important factor is to retain a localized and nuanced understanding of security risks and to adapt project activities accordingly (for example suspending activities in certain areas if necessary). The main way to achieve this for the project is to ensure training of staff in Hostile Environment Awareness Training and provide ongoing support on security issues (see Security plan, Appendix 11)	
Mitigation measures (MM)	Responsible party/person	Schedule	Indicator (I)	Target (T)	Cost elements
MM8.2a Train project staff in Hostile Environment Awareness Training for field-based staff to ensure that staff are of the risks that organized criminal groups pose to communities and organizations working in the same geographical space (see Appendix 11)	Safeguards manager, Regional Director of Safety and Security, third party trainer.	Year 1	I8.2.1. Key staff receive Hostile Awareness Training	T8.2.1 20 key staff trained in Hostile Environment Awareness Training	\$18,000
MM8.2b Ongoing safety and security support through regular visits and meetings with CI's Regional Safety and Security Director	Project Director, Safeguards manager, Regional Director of Safety and Security	Ongoing, with formal meetings to assess safety and security issues every 6 months	I8.2.2 Number of formal meetings to assess safety and security issues	T8.2.2 Formal meetings to assess safety and security issues every 6 months	Staff time and travel budgeted
Risk (R)	Explanation		Risk significance	Response	

<p>R9.1 FIAS may have inadequate safeguard processes or capacity in place to manage GCF funds.</p>	<p>The project includes channeling of funds for incentive payments through a dedicated subaccount (the Socio Manglar subaccount) of the existing endowment fund used for the Socio Bosque Program. The fund is managed by FIAS who will therefore act as a financial intermediary in this project.</p>		<p>Low/Medium</p>	<p>Although FIAS already has experience managing multiple international donor funds, including GCF funds, mitigation measures are needed to ensure that FIAS has the necessary safeguard processes in place. <u>The role of FIAS in the project with respect to grant making is to channel the incentive payments to community associations who are part of the Socio Manglar Program. These annual payments are based on the size of area that the community association is responsible for managing.</u></p>	
Mitigation measures (MM)	Responsible party/person	Schedule	Indicator (I)	Target (T)	Cost elements
<p>MM9.1a Undertake an assessment and gap analysis of FIAS safeguard procedures followed by capacity building to ensure compliance with GCF safeguard requirements including having the tailored environmental and social management system (ESMS) in place, including policies, screening planning procedures, and institutional mechanisms to implement the ESMS including on monitoring and reporting.</p>	<p>Safeguards Manager</p>	<p>Year 2</p>	<p>I9.1.1 Number of assessments and safeguards capacity building activities</p>	<p>T9.1.1 One assessment and at least one capacity building activity</p>	<p>Consultancy on assessment and gap analysis (\$20,700)</p>
<p>MM9.1b Conduct fit-for-purpose, limited ESIA and develop ESMP for subprojects that are determined to be category B based on FIAS' screening procedures. Ensure that any such projects are disclosed to affected communities and on CI and GCF website.</p>	<p>Safeguards Manager</p>	<p>Year 2 onwards</p>	<p>I9.1.2 Number of projects requiring disclosure</p>	<p>T9.1.2 All projects should be screened for safeguards but zero projects are expected to be considered category B/medium risk and therefore require this MM to be triggered.</p>	<p>Staff time to ensure compliance</p>
Risk (R)	Explanation		Risk significance	Response	
<p>RG1 The project may reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits.</p>	<p>The Gender Analysis that was conducted as part of project proposal preparation revealed the possibility that existing disadvantages of women could get aggravated by the project if activities are poorly implemented. Further explanation can be found in the gender analysis report.</p>		<p>Medium</p>	<p>All necessary mitigation measures to promote gender equity and ensure gender inclusiveness during project implementation are included in the Gender Action Plan (see Annex 8).</p>	
Risk (R)	Explanation		Risk significance	Response	
<p>RHR1 The project may lead to inequitable or discriminatory adverse impacts of the project on affected populations, particularly people living in poverty or</p>	<p>The project in some activities primarily targets members of associations, while non-members will not be the direct beneficiaries of the present project. Overall, they can still indirectly benefit from increased resilience or an improved conservation status of the ecosystem, and in some areas,</p>		<p>Low/Medium</p>	<p>The project activities are intended to address this concern, but attention needs to be paid to avoid elite capture of benefits within communities. This risk is the same as Risk 3.1 and 4.1. Some activities are foreseen to raise awareness among non-associates of the benefits of joining an association and thus becoming direct</p>	

marginalized or excluded individuals or groups.	work with them is envisaged, but they could feel disadvantaged as compared to associates if mitigation measures described for risk 3.1 and 4.1 are not followed. Further work needs to be done during project implementation at the point of renewing and or creating new AUSCEM to get clarity about the number of non-associates falling into the particularly vulnerable groups, as detailed in MMHR1a).		beneficiaries of the project. Such opportunities should be used and built upon (see also Gender Action Plan, Annex 8).		
Mitigation measures (MM)	Responsible party/person	Schedule	Indicator (I)	Target (T)	Cost elements
MMHR1a) Investigate and develop assessment report on the potential adverse impacts of the project on non-associates, with a special view on vulnerable groups, including women, youths, elderly fishermen, members of afro-descendent communities and Cholos Pescadores;	Safeguards and Gender Managers	Months 1-6	IHR1a) Number of estuaries for which there is an assessment report that details the findings of MMHR1a), also specifying differences in impacts between vulnerable groups as well as the size of the vulnerable groups in each estuary.	THR1a) Assessment reports exist for all four estuaries responding to the requirements detailed in IHR1a).	Included within AUSCEM renewal and expansion budget (Activity 1.1.1)
MMHR1b) Conduct awareness raising sessions to clarify the potential benefits of joining an association, especially in the context of the present project.	Social Technicians per estuary	Months 1-6, can be combined with the analysis under MMHR1a)	IHR1b) Number of non-associates who become associates in each estuary.	THR1b) At least two awareness raising sessions have been held among non-associates in each estuary, engaging at least 50% of non-associates, of which 30% are women.	Included within AUSCEM renewal and expansion budget (Activity 1.1.1)
MMHR1c) Identify ways to ensure that the project will not cause harm to local people who are not willing to join an association and clearly communicate efforts made to ensure this with a report that is used to guide AUSCEM decisions on restrictions and its management plan	Safeguards and Gender Managers and Social Technicians per estuary	Months 1-6	IHR1c) Number of AUSCEMs for which a roadmap report has been produced on how the project will benefit even non-associates and not cause harm to them and what efforts will be made to ensure and communicate this.	THR1c) A roadmap report has been produced for all AUSCEMs following the requirements detailed in IHR1c)	Included within AUSCEM renewal and expansion budget (Activity 1.1.1)
		Throughout project implementation	IHR1d) Number of grievances raised in the context per estuary and percentage of such grievances that were concluded satisfactorily.	THR1d) There are no/very few grievances raised in this context per estuary, the number is decreasing over time and 100% of grievances are concluded satisfactorily.	Staff time (see also MMRHR4a below)
Risk ®	Explanation	Risk significance	Response		
RHR2 The project may lead to restricted access to resources, in particular to marginalized individuals or groups (related to R5.1 and R7.1).		Low/Medium	Mitigation measures included against risks R3.1 and R4.1 are considered sufficient to address this risk.		
Risk (R)	Explanation	Risk significance	Response		
Risk (R)	Explanation	Risk significance	Response		

<p>RHR4 The project may exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals.</p>	<p>In the project area there are tensions between shrimp farmers and fishermen, because some do not accept the existing rules. There are also some tensions between people who are members of associations and those who are not. The project aims to work especially with local associations, which may lead to a further divide between members and non-members.</p>	<p>Low/Medium</p>	<p>The risk to project staff as a result of existing tensions is considered to be low and in case of actual security issues CI's Security and Protection Plan applies to CI staff as well as project partners. In addition, the project is likely to reduce existing tensions through its planned activities. The established project-specific Grievance Redress Mechanism, if used by stakeholders as foreseen, can be used to track where tensions are aggravated, and responses will be identified on a case by case basis to address these tensions. MMRHR4b) and c) were added for cases where tensions are detected but are not recorded through the project GRM.</p>			
<p>Mitigation measures (MM)</p>	<p>Responsible party/person</p>	<p>Schedule</p>	<p>Indicator (I)</p>		<p>Target (T)</p>	<p>Cost elements</p>
<p>MMRHR4a) Implement the project-specific Grievance Redress Mechanism to track grievances related to tensions between stakeholders;</p>	<p>Safeguards Manager and Social Technicians per estuary</p>	<p>Throughout project implementation, to be measured every 6 months</p>	<p>IRHR4a) Number and percentage of grievances raised in the context of tensions between stakeholders and the project team. IRHR4b) Percentage of grievances raised in the context of tensions between stakeholders and the project team that were concluded satisfactorily.</p>		<p>TRHR4a) There are no/very few grievances raised in the context of tensions between stakeholders and the project team and the number decreases in the course of the project. TRHR4b) 100% of grievances raised in the context of tensions between stakeholders and the project team are concluded satisfactorily.</p>	<p>Staff time, travel and communications (\$10,000 included in project budget for communications materials)</p>
<p>MMRHR4b) Establish a separate category in regular reporting templates for field personnel to include observations regarding existing tensions between stakeholders and how they change as a result of the project;</p>	<p>Safeguards Manager and Social Technicians per estuary</p>	<p>Months 1-2</p>	<p>IRHR4c) Number of observations reported on tensions between stakeholders per estuary.</p>		<p>TRHR4c) All tensions are duly reported in all four estuaries.</p>	<p>Staff time</p>
<p>MMRHR4c) Initiate spaces and procedures for stakeholder dialogue where tensions between stakeholders appear to intensify as a result of the project and provide mediation to ensure improvement over time. (Identical to MM2.1b)</p>	<p>Safeguards and Gender Managers and Social Technicians per estuary</p>	<p>Throughout project implementation, as applicable, to be reported every 6 months.</p>	<p>IRHR4d) Number of cases per estuary in which such spaces and procedures are created to address tensions, including a description of mediation measures taken and results of the procedure.</p>		<p>TRHR4d) There are no such cases or the number per estuary is very low and decreases in the course of the project.</p>	<p>Included within AUSCEM renewal and expansion budget (Activity 1.1.1)</p>
<p>Risk (R)</p>	<p>Explanation</p>		<p>Risk significance</p>	<p>Response</p>		
<p>RSEAH1 Project staff and partners will be in contact with, and providing support services to, communities with vulnerable individuals in remote rural areas, leading to elevated risk of SEAH.</p>	<p>The project activities will bring CI and partner staff into frequent contact with community members, including those that are marginalized or vulnerable, in remote locations with limited communication channels. The project also includes activities that involve providing various forms of support to communities, including livelihood support, which can create unequal power dynamics between staff/partners and individuals in communities.</p>		<p>Medium</p>	<p>The main response to the risk is to ensure CI Staff and Delivery Partners have the knowledge, skills, and commitment necessary for their positions to support the prevention of SEAH in the implementation of their work. This will be done by promoting awareness and understanding of the policy among CI Staff and Delivery Partners and also among the communities where they work, underlining the option of using the GRM to report cases of SEAH. The risk also underlines the importance of ensuring that the GRM is accessible to vulnerable individuals in remote communities. The CI SEAH policy is already included within standard processes within the organization (e.g. hiring processes and ensuring that SEAH flow-down</p>		

				clauses are included in grants and service agreements) and therefore these are not repeated here as project-specific SEAH measures.	
Mitigation measures (MM)	Responsible party/person	Schedule	Indicator (I)	Target (T)	Cost/Budget
<p>MMRSEAH1.1a Promote awareness and understanding of the SEAH policy among CI Staff and Delivery Partners by incorporating it in staff orientations, and gender and safeguards trainings. Support continual training and awareness-building efforts during the project life cycle.</p> <p>MMRSEAH1.1b Promote awareness and understanding of the SEAH policy among communities by incorporating explanation of it into community meetings along with explanations and communication of the GRM (link to MM3.1h – implementation of the GRM)). SEAH to be incorporated into GRM communication materials.</p>	Safeguard Manager, Gender Manager, Project Director, HR staff	Year 1 and then annually up to Year 5	<p>IRSEAH1.1a Number of trainings for staff covering SEAH policy and its application</p> <p>IRSEAH1.1b Number of communities who have received information on SEAH as part of community meetings</p>	<p>TRSEAH1.1a Annual trainings for all staff covering SEAH policy and its application (up to year 5).</p> <p>TRSEAH1.1b All communities involved in the project receive information on SEAH as part of community meetings</p>	Included in trainings on Gender and Safeguards for CI staff and delivery partners (\$17,014)
MMRSEAH1.2 Ensure that project subgrants to communities (activity 1.2.2) are screened for SEAH risk as part of the application process.	Safeguard Manager	Years 2-5	IRSEAH1.2 Proportion of eligible grant applications screened for SEAH risks	TRSEAH1.2 100% of eligible grant applications screened for SEAH risks	Staff time
MMRSEAH1.3a Incorporate risk mitigation measures in planning, monitoring, budgeting, and resource allocation as needed and commensurate to risk level/scope. Support monitoring and compliance with the policy as needed and report any concerns regarding non-compliance. Provide training on PSEAH to all CI project staff and subgrantee staff	Principally the Project Director, and Safeguard Manager, but all technical staff have a role in this MM	Years 1-7	<p>IRSEAH1.3a Proportion of SEAH complaints that have been addressed and monitored</p> <p>IRSEAH 1.3b Proportion of CI project staff and subgrantee staff have completed training on PSEAH</p>	<p>TRSEAH1.3a 100% of SEAH complaints have been addressed and monitored</p> <p>TSEAH1.3b 100% of CI project staff and subgrantee staff have completed training on PSEAH</p>	Staff time

Overall results of the ESS Secondary screening confirm the project as a Category B project. While most risks are of low significance, there are some aspects that will need to be carefully observed and addressed

by the identified mitigation measures. The ESMP includes, in Appendices, specific management plans that already include the identified mitigation measures:

- A Protection of Natural Habitats Plan;
- A Process Framework for Restriction of Access to Natural Resources (Process Framework);
- The Plan for Afro-descendent Communities and Cholos Pescadores.
- Community Health, Safety and Security Plan

Also included in this document are summaries of the Stakeholder Engagement process used for project preparation and the Gender Action Plan, a Stakeholder Engagement Plan for the project implementation period and a project-specific Grievance Redress Mechanism. A more detailed Gender Assessment and Gender Action Plan has been developed separately for the project and is submitted as Annex 8 of the GCF Funding Proposal. A more detailed summary of Stakeholder Consultations is provided as Annex 7 of the Funding Proposal.

5. Stakeholder engagement

The Stakeholder Engagement summary report and Stakeholder Engagement Plan are presented as a separate document, Annex 7 of the Funding Proposal. The Stakeholder Engagement Plan section of Annex 7 is also presented below in this chapter.

The stakeholder consultation process was implemented to ensure the effective participation of key project stakeholders, including men and women of local mangrove associations and other disadvantaged or vulnerable stakeholders.

During the design of the project a total of 635 people were involved in consultations of which 460 were men and 176 women. Of the people involved 60% represented local associations that are managing mangrove areas, 7% of government, 8% private sector and 20% universities & NGO, and 5% women associations.

Stakeholders were involved in the preparation of the full funding proposal in different ways (see Annex 7 for details), namely through:

- Stakeholder workshops held in 2016 in the early stages of project preparation (2 workshops);
- Stakeholder workshops held as part of the main consultation activities in 2019 (7 workshops);
- Targeted meetings with partners to discuss planning of specific activities (18 meetings);
- Targeted interviews with key stakeholders conducted in 2020.

The consultation process was conducted during periods of COVID restrictions and therefore some meetings took place virtually in addition to in-person meetings when possible. A total of 20 meetings were held in a virtual format and 15 in person.

The main conclusion of the consultation process was that there is a strong desire among community groups to improve management of mangroves as planned by the project. In addition, there is a strong need to invest in the generation of climate change information and to communicate and share the knowledge on the possible impacts of climate change at a local level. Marine and coastal ecosystems in Ecuador have a strong gap of climatic information in Ecuador. This is a clear demand for several sectors consulted in this process. Improved information and improved planning for responding to climate change threats was requested not only by local communities, but also from local governments and the private sector who indicated they are unclear on how to respond to climate change threats. There is a strong interest in the project activities. CI received 17 letters from local community associations supporting the project.

Based on the insights from all stakeholder engagement conducted in the course of proposal preparation, and including those risk mitigation measures that involve stakeholder engagement of some form, a Stakeholder Engagement Plan for project implementation has been prepared. This plan is a standalone document, which is submitted with the Funding Proposal as Annex 7 and also included in the following section.

Stakeholder Engagement Plan

The Stakeholder Engagement Plan seeks to (i) Identify, describe, and involve stakeholders in the project (ii) Define strategies for the participatory implementation of the project. (iii) Establish procedure and methodology for stakeholder involvement depending on their link to the project, and (iv) Identify dynamics, or problems, as well as inputs that could affect project implementation.

Identification of the project stakeholders

For the involvement of stakeholders during the project, it is planned to incorporate the different stakeholder groups so that they are involved, and the project executors can gather their needs and contributions throughout the implementation of the project. Depending on the degree of involvement and interest of each of the key stakeholders, different participation strategies will be established. Table 1 below presents the stakeholder analysis:

Stakeholder analysis matrix

Group of actors	Main features	Interest in participation	Influence of stakeholders	Role in the program	Proposed group strategy
National Environmental Authority: Ministry of Environment, Water and Ecological Transition.	MAATE is involved in national protected areas and conservation zones. They have technical personnel in each of the 4 estuaries defined for the implementation of the project. In addition, MAATE oversees AUSCEMs and administers the Socio Manglar Program: economic incentives for conservation.	MAATE is a key player as it is the institutional governing body for environmental policies.	Positive influence.	Institutional environmental policy governing body approves mangrove use and custody agreements (AUSCEMs). Financial incentives and technical assistance from the Socio Mangrove Program delivered	MAATE is part of the steering committee for the project and directly involved in implementing many of the activities.
Municipal GADs: Esmeraldas, Guayas and El Oro	To formulate land-use plans in coordination with provincial, regional and national authorities, as well as to manage the use of sea	Positive in terms of generating planning documents in a participatory manner (PDOTs, budgets and other participatory planning instruments for	Positive influence, they are interested in improving their capacities to address climate change issues, and it will also support	Support for the implementation of the Mangrove Ecosystem Restoration Plan for continental Ecuador.	The GADs are part of the advisory committees and will also be able to count on technical and financial assistance for the management of their PDOTs.

	beaches, riverbanks and riverbeds, lakes and lagoons.	mangrove ecosystem management).	the resilience of the population.		
Local communities and associations of fishermen and/or shell fishermen and/or shellfish gatherers	Afro-Ecuadorian, and Cholos Pescadores communities living in mangrove areas depend entirely on mangrove resources and ecosystem services.	Strengthen mangrove protection and conservation activities in AUSCEMs through training and capacity building on adaptation and good fishing practices.	Positive influence by enhancing their capabilities for the management of mangroves and making their livelihoods more resilient by increasing value from their fishing and crustacean harvesting activities.	Local communities are the main beneficiaries of the project. The local population is the one who will implement the bioenterprises, as well as the strengthening of mangrove management through community-led action (through AUSCEM agreements)..	Renewing and creating new AUSCEMs, ongoing dialogue with AUSCEMs, development of community livelihood activities and micro enterprises .
NGOs: NAZCA Marine Research Institute Heifer Foundation Bioeducar Ecological Foundation. Califur Foundation ECOLAP	They work on fisheries and mangrove control issues. They are working to promote value chains in mangrove areas. They work on environmental education, sustainable development and gender. Made up of small shrimp farmers from Balao, they work in reforestation. They are known to work on tourism issues in marine-coastal areas.	Positive	Coordination of specific activities.	Liaison through working groups.	These NGOs will be included within the Project Governance structure in the working groups and in some areas in the Advisory committee.
GIZ	GIZ works to increase the population's capacity to manage and adapt to climatic risks. They are working in the estuaries at north.	Positive	Coordination of specific activities.	Liaison through working groups.	They will be included within the Project Governance structure.

HIVOS /CI	They have conservation areas, the strengthening of mangrove concessions and the integration of biodiversity conservation into fisheries management within conservation areas.				
ENSOL: UTPL: PUCESE:	They support the strengthening of value chains. They work in the Jambelí area, working in the area to support mangrove management plans. They have coverage in the province of Esmeraldas. They carry out capacity building and knowledge management.	Positive	Coordination of specific activities.	Liaison through working groups.	They will be included within the Project Governance structure.
National Chamber of Aquaculture (NCA)	The NCA represents aquaculture companies/the shrimp farming industry nationally. Champions of the Sustainable Shrimp Partnership (SSP)	The NCA has a strong interest in promoting sustainable shrimp farming practices to ensure quality and to maintain the attractiveness of Ecuador's "brand", especially for export markets such as the U.S and Europe where certification of shrimp is increasingly becoming a requirement.	High influence especially through the aquaculture companies / large shrimp farms actively involved in the NCA		The NCA will be included in several activities related to climate smart shrimp in Component 2. In particular in the roundtable with other stakeholders to promote CSS including the vision of the industry.
Aquaculture Stewardship Council (ASC)	ASC runs the world's largest certification program for responsibly	The project, and in particular, Component 2, is well aligned with ASC's mission. The	High influence due to the widespread international recognition of the	There are opportunities to explain the ASC process and standards to small and medium	ASC to provide advice and technical resources on outreach to farmers/companies

	farmed seafood. ASC has a growing membership of shrimp producers in Ecuador.	SSP approach is also based on ASC standards.	ASC certification “brand”	shrimp farmers during project activities (in Component 2)	as part of Component 2
INOCAR	Develop the hydro-oceanographic characterization of jurisdictional and non-jurisdictional maritime spaces and maintain operational maritime systems, to contribute to guaranteeing the safety of navigation, the development, defense and sovereignty of the Ecuadorian maritime territory, as well as how to execute expeditions and coordinate scientific research activities	They are interested in participating as advisors and support control in the estuaries.	High influence for the work with GADs and protected areas. Also, with the local fishing communities.	Support the vision of defense of sovereignty and the role of mangrove in that defense.	INOCAR will be part of the advisory committees and will also be able to count on the information developed by the project.
Vice-ministry of Aquaculture and Fisheries	Develop, prepare and apply policies, plans, programs and projects for the regulation, promotion and control of the production chain, and sustainable development of aquaculture	High interest of participation as is the regulatory body for the aquaculture activities i	High influence for the CSS targets.	Support and coordinate the modifications to legal framework.	VMAP will be part of the advisory committees especially in the roundtable to modifications in the legal framework for CSS.

Stakeholder Engagement Plan

All the activities under the project will involve engagement with stakeholders — including government, community, NGO, private sector, and academia. These critical engagements have been incorporated into the design of all project activities. The table below outlines how stakeholders will be engaged in each activity during project implementation. Further details on stakeholder engagement for each of the sub-activities listed in the table is provided in the narrative description of the project activities in **Annex 2** of the Funding Proposal, the **Feasibility Study** (section 5.4.3).

Activity	Sub-activity	Stakeholder Engagement	Key Stakeholders	Indicators and monitoring responsibility*	Budget (USD)
Activity 1.1.1 Strengthen and expand community-based mangrove conservation and management to reduce deforestation and increase mangrove restoration.	Sub-Activity 1.1.1.1 Strengthening governance capacity and planning of existing AUSCEMs	Trainings on AUSCEM management (38 workshops planned over the course of 6 years). Workshops to be tailored to cover renewal of AUSCEMs for lapsed agreements, trainings on expansion of AUSCEMs for new groups, capacity building for existing and new AUSCEMs on all aspects of mangrove AUSCEM management and needs for integration into the Socio Manglar program. Eight (8) workshops are planned for years 2-5 for supporting AUSCEMs in the development of Socio Manglar investment plans and financial accounting training.	Community groups with existing AUSCEM agreements (current and in process of renewal), MAATE	Number of trainings organized (quarterly reporting, including subjects covered). Target: 38 trainings over first 6 years (2 in year 1, 8 for each year in years 2-5 and 4 in year 6).	812,841
	Sub-Activity 1.1.1.2 Expand areas under active AUSCEMs		Community groups with interest in entering into an AUSCEM agreement, MAATE		
	Sub-Activity 1.1.1.3 Expand areas covered by Socio Manglar incentives		Community groups with AUSCEM agreements, MAATE	Responsible staff: Mangrove and Social coordinators, PUCESE and Component 1 Manager	
	Sub-Activity 1.1.1.4:		Workshops on mangrove restoration (18 workshops planned in years 2-6) to	Community groups with AUSCEM agreements, MAATE	

	Restoration of Mangrove Areas	provide training on mangrove restoration, including refinement of the pre-identified areas for restoration.		<p>subjects covered). Target: 18 trainings over first 6 years (4 for each year in years 2-5 and 2 in year 6).</p> <p>Number of participants (sex disaggregated, AUSCEM and community disaggregated, IP disaggregated)</p> <p>Responsible staff: Mangrove coordinators, PUCESE, Restoration specialist and Component 1 Manager</p>	
Activity 1.1.2 Implementation of mitigation and adaptation strategies in 64,913 ha of mangroves located in Protected Areas	Sub-Activity 1.1.2.1 Integrate climate-change scenarios into planning of protected areas and local management strategies.	16 workshops planned in years 2-3 for the 4 targeted protected areas (4 per protected area) to train staff and support them to integrate climate change planning into management plans	MAATE – protected areas staff (central, regional and in the 4 protected areas targeted by the project)	<p>Number of trainings organized (quarterly reporting, including subjects covered). Target: 16 trainings over first 3 years (8 each for years 2 and 3).</p> <p>Number of participants (sex disaggregated, Protected Area disaggregated)</p> <p>Responsible staff: Component 1 Manager and consultants</p>	220,657
Activity 1.2.1 Technical and	Sub-Activity 1.2.1.1 Technical	Annual AUSCEM exchange visits planned for years 2-5	Community groups with AUSCEM	Number of exchange visits organized (quarterly	257,828

<p>business development support to mangrove community associations, with an emphasis on women, youth, and other vulnerable groups</p>	<p>and business development assistance to 20 mangrove community associations for development of early-stage enterprises and livelihood activities, with an emphasis on women, youth, and other vulnerable groups.</p>	<p>(i.e. 4 total), to facilitate learning and best practice between community groups and strengthen collaboration between them. Annual AUSCEM exchange visits for women leaders/members of AUSCEMS planned for years 2-5 (i.e. 4 total), to facilitate learning and best practice between community groups and strengthen collaboration between them. Direct technical assistance and support in developing market studies provided to community associations by the CI sustainable production specialist; the social specialist will work directly with the associations and targeted consultant support (see Annex 2 of Feasibility Study, Section 5.4.3 for further details)</p>	<p>agreements, other community associations in mangrove areas targeted by the project, including those with a significant female membership or significant membership of a vulnerable group</p>	<p>reporting, including subjects covered). Target: 4 trainings (1 per year in years 2-5).</p> <p>Number of participants (sex disaggregated, AUSCEM and community disaggregated, IP disaggregated)</p> <p>Responsible staff: Social Coordinators, PUCESE and Component 1 Manager</p>	
<p>Activity 1.2.2 Establish and consolidate financial mechanisms in support of mangrove community associations</p>	<p>Sub-Activity 1.2.2.1 Create and implement grant mechanism for financial and technical support to micro- and small enterprises of mangrove</p>	<p>A small grants program will be developed to support this sub-activity (USD 500,000 during years 2-5). Through the grants program there will be significant direct engagement with selected community groups and subgroups within them running enterprises (see</p>	<p>Community groups with AUSCEM agreements, other community associations in mangrove areas targeted by the project, including those with a</p>	<p>Small grants program to develop monitoring plan, including, at a minimum, number of projects funded, amount awarded to each project, number of beneficiaries, activities supported.</p>	<p>74,672</p>

(micro- and small enterprises).	community associations.	Annex 2 of Feasibility Study, Section 5.4.3 for further details).	significant female membership or significant membership of a vulnerable group, small community enterprises	Responsible staff: Social Coordinators, PUCESE, Bio-entrepreneurship Specialist, Grants & Contracts Manager, Component 1 Manager	
	Sub-Activity 1.2.2.2 Support access to mechanisms and institutions providing credit and investment to micro- and small enterprises of mangrove community associations.	Stakeholder engagement for this sub-activity will be through direct support with CI staff. CI will hire a Bioentrepreneur Specialist with expertise in small enterprise development to provide the technical support described in activity 1.2.2. This specialist will support local associations in designing and implementing strategies for improving enterprise governance and administration, access to finance and to markets for more resilient livelihood strategies.	Small community enterprises linked to mangrove community associations	Detailed monitoring plan to be developed for this activity by the Bio-entrepreneurship Specialist including, at a minimum, number of projects supported, amount of funding acquired by beneficiaries, number of beneficiaries, activities supported. Responsible staff: Social coordinators, Bio-entrepreneurship Specialist, Component 1 Manager	
Activity 2.1.1 Technical assistance for development and promotion of climate-smart shrimp aquaculture practices in	Sub-activity 2.1.1.1 Promote Sustainable Intensification Practices.	Engagement with the private sector in the project consists of enabling the adoption of improved shrimp production methods to reduce GHG emissions and advancing mangrove conservation and restoration through philanthropic support. CI will	National Chamber of Aquaculture, shrimp farm companies and individual farmers, financial institutions.	Number of trainings organized (quarterly reporting, including subjects covered). Target: 32 trainings (8 per year for years 2-5).	357,612

20,000 hectares of farms		work with the National Aquaculture Council to provide training on zero deforestation approaches to small and medium sized shrimp farms/aquaculture companies. CI will engage consultants to directly support small and medium sized shrimp farms to design on-farm mangrove restoration activities in Climate Smart Shrimp approaches.		Responsible staff: Climate Smart Aquaculture Specialist, Component 2 Manager	
	Sub-activity 2.1.1.2 Mangrove Restoration on 250 ha of demonstration farms.		Shrimp farm companies and individual farmers interested in applying Climate Smart Shrimp principles	Number of hectares restored by shrimp farms. Target of 250ha over project implementation period. Responsible staff: Climate Smart Aquaculture Specialist, Component 2 Manager	
	Sub-activity 2.1.1.3 Education, Outreach and Enabling Conditions for Implementation of Sustainable Shrimp Aquaculture.		National Chamber of Aquaculture, shrimp farm companies and individual farmers, financial institutions.	Number of roundtables on sustainable shrimp production. Target is 5 meetings, 1 per year in years 2-6. Responsible staff: Climate Smart Aquaculture Specialist, Component 2 Manager	
Activity 2.1.2 Facilitate partnerships and access to mechanisms for credit and investment in shrimp farms for	Sub-activity 2.1.2.1 Education as a tool to facilitate access to credit and other investment to shrimp farms for expansion	CI will work with actors of the shrimp supply chain to address finance access barriers and facilitate the flow of credit and investment for farm operations that seek to transition their production models to more sustainable	National Chamber of Aquaculture, shrimp farm companies and individual farmers, financial institutions.	Nb. of educational resources included in knowledge hub (anticipated to be the eco.business Fund's Sustainability Academy, but could be expanded to others). Target of at least 5	14,686

expansion and consolidation of climate-smart aquaculture practices.	and consolidation of CSS practices.	ones. To strengthen successful investment cases, CI will provide technical support to businesses in the project feasibility and implementation phases. CI will support the Sustainability Academy by expanding its content to include CSS, good aquaculture practices,		resources provided over project implementation period. Responsible staff: Climate Smart Shrimp Specialist, Component 2 Manager.	
	Sub-activity 2.1.2.2 Project feasibility as a tool to mobilize capital towards CSS production.	mangrove conservation and restoration, safeguards implementation, and other climate and conservation-oriented programs, such as Socio Manglar. CI will assist these needs through technical support from consultants to be selected based on a Request for Proposals during project implementation. Shrimp farmers will be eligible for project support if they comply with initial requirements: i) a concrete investment opportunity that can improve efficiencies as part of more sustainable shrimp production, and ii) a link to a financial institution interested in financing such investment. To address investment needs, CI will identify and support shrimp	National Chamber of Aquaculture, shrimp farm companies and individual farmers, financial institutions.	Number of businesses supported to adopt sustainable shrimp practices (Target is at least 4 over project period). Additional indicators to collect for each business should include, at a minimum, amount of private finance unlocked, area of mangrove restored (linked to and recorded in sub-activity 2.1.1.2), changes in production yields. Further indicators may be appropriate depending on the exact support to be provided and which can only be determined during implementation. Responsible staff: Climate Smart Aquaculture	

		farmers on the design of sustainability efforts as a tool to mobilize capital towards CSS, ASC and SSP models CI will assess all requests and prioritize opportunities based on a series of eligibility criteria (See Annex 2, Section 5.4.3).		Specialist, Component 2 Manager	
	Sub-activity 2.1.2.3 Commercial commitments as a risk management tool to facilitate access to financial services.	The CI project staff (Climate Smart Aquaculture Specialist) will facilitate agreements between retailers, importers/exporters, processors, and farmers to guarantee purchase of climate smart shrimp. CI will work with NCA and ASC to continually strengthen training materials for the climate smart shrimp concept and to refine the concept itself based on industry feedback. CI will engage a consultant in year 3 to develop a marketing strategy for Climate Smart Shrimp in Ecuador.	National Chamber of Aquaculture, shrimp farm companies and individual farmers, financial institutions.	Number of agreements facilitated between stakeholders in the supply chain (retailers, importers/exporters, processors and farmers) Number of marketing strategies for climate smart shrimp designed and implemented with stakeholders. Responsible staff: Climate Smart Aquaculture Specialist, Component 2 Manager.	
Activity 2.2.1 Establish agreements with businesses,	Sub-activity 2.2.1.1 Grow the Socio Manglar subaccount of	CI will work with ASC, the corporate partners of their value chain and their membership (aquaculture	Aquaculture Stewardship Council and its members in, and with an interest	Number of communication materials on Socio Manglar Account designed with	83,154

<p>including aquaculture companies, to contribute to mangrove restoration and financial sustainability of the national Socio Bosque Incentive Program (the Socio Manglar Program).</p>	<p>the Socio Bosque Fund to support long-term community management of mangroves.</p>	<p>enterprises) to secure voluntary commitments to contribute to the Socio Manglar program. To strengthen private sector action, CI will develop a communications strategy highlighting the importance of mangroves and the role the private sector can take in protecting and restoring them. Four meetings to present the Socio Manglar program (including the Socio Manglar subaccount) and the opportunities for private sector engagement with it will be organized in Years 2 and 3 in both Quito and Guayaquil</p>	<p>in, Ecuador; private companies interested in supporting mangrove restoration; private companies looking for investment 'offset' opportunities under Ecuador's Carbon Neutrality program; MAATE.</p>	<p>stakeholders (target is 4 over project period).</p> <p>Number of workshops with stakeholders to promote the Socio Manglar Program and Carbon neutrality program (Carbon Zero Program (PECC).</p> <p>Amount of funding provided to Socio Manglar Program by private sector stakeholders.</p> <p>Responsible staff: Component 2 Manager</p>	
<p>Activity 3.1.1 Monitoring of mangrove condition and socio-economic impacts in mangrove dependent communities.</p>	<p>Sub-activity 3.1.1.1 Demonstrate the impact of mangrove conservation and restoration on national mangrove cover, stocks, and socio-economic indicators through monitoring linked</p>	<p>Engagement on this subactivity will mostly be in the form of providing reports on monitoring activities to stakeholders. In addition universities and/or research NGOs will be selected to help with data collection and analysis for some of the activities and a training workshop is planned for these stakeholders in year 2.</p>	<p>MAATE, regional and local government, local communities, national universities and NGOs</p>	<p>Number of training workshops provided to stakeholders (1 planned on blue carbon monitoring)</p> <p>Number of reports provided to stakeholders.</p>	<p>69,496</p>

	to the national MRV, and build long-term monitoring capacity.			Responsible staff: Subgrantee (to be determined through call for proposals), Spatial Analysis Senior Manager, Component 3 Manager	
Activity 3.2.1 Support local governments (2 provincial governments, 2 municipalities and 5 parishes) to improve and/or implement Coastal Development and Zoning Plans (PDOTs) and other participatory planning instruments that incorporate climate change adaptation and mangrove management, applying a gender approach.	Sub-Activity 3.2.1.1 Provide technical assistance to subnational governments for improvement of PDOTs and other participatory planning instruments to integrate climate-change adaptation and mangrove management measures.	CI will work with 9 local government/administrations to integrate natural climate change adaptation measures into their planning, including mangrove conservation and restoration. The local governments have been prioritized based on the extent of their mangrove cover. To support this work, CI will provide a subgrant in year 2 to a local organization (university or NGO to be selected based on proposal) to generate climate risk information to inform local planning. A workshop for this activity with local government staff has been planned for each of the local governments/administrations (i.e. 9 in total).	MAATE, regional and local 'governments'	Number of workshops for incorporation of mangrove ecosystem management into local planning documents (PDOTs). Target is 9 workshops Number of reports providing climate risk information to inform local planning (target is 1 report) Responsible staff: Local governance and Integrated Coastal Management Specialist, Component 3 Manager	103,178

Activity 3.2.2 Strengthen regulatory framework and law enforcement by agencies and institutions responsible for control of mangroves, with a focus on human rights.	Sub-activity 3.2.2.1 Provide technical and legal support for harmonization and adoption of improved sectoral policies and regulations and technical assistance for implementation of CODA (Código Orgánico del Ambiente).	CI staff and consultants engaged by CI will conduct an analysis of multi-sectoral legal framework for mangroves and climate change and the creation of multi-sectoral working groups (“mesas técnicas”) to generate proposals for regulatory changes in Environment, Aquaculture, Navy, Ports, and GADs. CI will also support the discussion of legal reforms and new regulations in the context of the Roundtable for Sustainable Shrimp (see Activity 2.1.1), to be convened by the MAATE and the Vice-ministry of Aquaculture and Fisheries. CI will provide staff time and cover workshop costs to implement this roundtable.	MAATE, Regional and local ‘governments’, law enforcement agencies	Number of working group meetings organized on the harmonization of public policies related to the management of the mangroves (target is 8; 2 per year in years 2-5). Responsible staff: Legal specialist, Component 3 Manager	310,355
	Sub-activity 3.2.2.2 Provide technical and legal support leading to reforms to Ministry of Environment, Water and	In years 2-5, the project’s CI Legal Specialist and Local Governance & Integrated Coastal Management Specialist will work with partners to re-establish the strategy of the Operational Control and Surveillance Units (UOCVs	MAATE	Number of trainings provided (target is 8; 2 per year in years 2-5). Number of people receiving training (gender and organization type disaggregated)	

	<p>Ecological Transition (MAATE) processes of complaints, enforcement and sanctions for infractions affecting mangroves.</p>	<p>- <i>Unidades Operativas de Control y Vigilancia</i>) for law enforcement and sanctions for illegal activities affecting mangroves. In years 2-5, the project's CI Legal Specialist and Component 3 Coordinator will support 140 MAATE staff members with responsibilities for mangrove administration, planning, protected areas, and provincial districts by providing them training on the laws and regulations relating to mangroves and the administrative procedures for enforcement and sanctions.</p>		<p>Responsible staff: Legal specialist, Component 3 Manager</p>	
	<p>Sub-activity 3.2.2.3 Provide training for judges and other institutions regarding regulations and sanctions for crimes involving mangroves.</p>	<p>CI will engage a consultant to develop a training curriculum relating to mangroves specifically aimed at judges and other staff of the judiciary system, including from the Public Prosecutor, Navy, and Ministry of Fisheries and Aquaculture. Training workshops will be conducted by CI's Legal Specialist and the Local Governance & Integrated Coastal Management Specialist for judges and judiciary staff. This training will be integrated into</p>	<p>MAATE, law enforcement agencies, judiciary</p>		

		the regular training curriculum of the named institutions.			
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*Monitoring note: All monitoring information will be consolidated and stored by the project’s Monitoring and Evaluation Manager. The staff member indicated in the "Indicator and monitoring responsibility” column indicates the staff member responsible for collecting the information. In addition, each component has a dedicated Manager and part of their responsibilities will be to ensure that monitoring information is being collected as required.

For all measures of meeting attendance, information on participants should be collected including their gender, institutional affiliation and contact details. Depending on the meeting, it may be relevant to collect other data too (e.g. type of stakeholder, whether they are Indigenous Peoples or not, the community or AUSCEM represented, etc.).

In addition to the activity implementation indicators that are provided in this table, Annex 11: the Monitoring and Evaluation plan, focuses on project impact indicators with a focus on the project results achieved at the output level and the impact achieved at the outcome level of the project’s logical framework.

Budget Notes:

It is important to note that stakeholder engagement is not a separate activity and is fundamental to the design of this project. Almost all the project activities include significant stakeholder engagement. As such it is difficult to separate out project costs that are related to stakeholder engagement to those that are not. The table above includes the direct costs of meetings and travel for the activities that are described (USD 2,304,480 in total). In addition to these direct costs of meetings and travel, the activities represent significant work of several project staff members. These are:

- Manager Component 1
- Manager Component 2
- Manager Component 3
- Safeguards Manager
- Gender Manager
- Adaptation Specialist
- Bio-entrepreneurship Specialist
- Climate Smart Aquaculture Specialist
- Local governance and Integrated coastal management Specialist
- Restoration Specialist
- Mangrove Coordinator Guayas
- Mangrove Coordinator Jambeli

- Social Coordinator Guayas
- Social Coordinator Jambeli

The combined salary costs of these staff over the project implementation period are USD 4,972,057, although most of them have responsibilities that go beyond stakeholder engagement.

All the activities of PUCESE, the partner executing Output 1 activities in the northern estuaries involve a strong element of stakeholder engagement and we therefore consider that the entire PUCESE subgrant of USD 1,098,230 contributes to the Stakeholder Engagement Plan.

The overall costs of the Stakeholder Engagement Plan are therefore estimated to be USD 8,374,767 (with the caveat that staff costs included are not only for stakeholder engagement).

6. Gender analysis and action plan

The full Gender analysis and action plan is presented separately as Annex 8 of the Funding Proposal package.

Ecuador has a legal and regulatory framework that guarantees women's rights; however, in everyday situations and scenarios defined for the project, the gender gaps between women and men are very marked.

The gender analysis was carried out in the four estuaries planned for the implementation of the project. It was evident that women remain very distant from decision-making spaces. This is because women are not generally members of associations authorized to use and exploit the mangrove. Most of them have access to the benefits of the use and exploitation of the mangrove only because they are wives of members. For example, this is the situation in the Guayas and Jambeli estuaries, whereas there is more women's participation in the two northern estuaries.

The little or no participation of women in spaces of dialogue is linked to a clear educational gap since few of the inhabitants of the four estuaries have secondary education. This situation limits their possibilities of having adequate and timely information and therefore limits the possibility of making decisions.

On the other hand, it has become very clear that the tasks of care falls mostly on women, having a double and triple shift caring for family members and the household. Such work is not considered as work and is not sufficiently valued or recognized.

In terms of paid work, resources and income, there is also inequality since paid work is generally done by men. In many cases, work is linked to the harvest of fish and crabs from the mangroves with rather reduced working hours of 4 to 5 hours per day. Where women work in extractive activities, generally linked to shell extraction, they have working hours that start in the early morning and end in the late afternoon and evening.

These tasks have unequal value as well as remuneration, the fish and crab having a higher value in the market while the shells have a much lower value. The income level for families in the area is very low.

In addition, men are more likely to also find employment outside the communities, as they can go out to nearby cities and work as day laborers in local businesses in agricultural production, construction, and shrimp farming. Some women living in the center of the communities earn income from the sale of cosmetics and basic necessities.

Another of the inequalities that became evident in the analysis is gender-based violence. Women live with this scourge daily, in situations where health services are minimal and in communities where violence is naturalized.

The relationship between women and men and the landscape is also different. Men have greater knowledge about the mangrove ecosystem, as they move freely and have the means to travel through the estuaries and effluents of the estuaries. Women, on the other hand, are linked to the areas surrounding the population centers. This can be attributed to their lack of access and use of the mangrove areas which are far from the community and must be accessed by boat. They often know about seed reproduction and medicinal plants. Because of their tasks, women are generally in charge of collecting and making water available to the family and providing food.

Regarding the differentiated impacts of climate change, women are extremely vulnerable because they do not have the means of production, nor the possibility of generating economic resources. In addition, due to structural circumstances, they lack basic services that allow them to take care of their families (lack of water, limited food, and poor sanitation, among others).

Based on the mentioned results the gender action plan seeks to:

- Improve women's participation and decision-making conditions regarding the use and control of the mangrove resource through the generation of capacities to strengthen leadership.
- Work with mangrove association and partners to recognize and respond to potential elevation of GBV.
- Promote positive actions for the mainstreaming of the gender approach in mangrove conservation mechanisms sharing lessons learned, examples of women leaders and other success stories,
- Enhance the possibilities of generating bio-enterprises for women to improve their living conditions and economic autonomy.
- Provide guidance and support to local governments on how to apply a gender approach in their planning process.
- Mainstream gender at all levels of the project

For further information, please see the Gender Action Plan provided as Annex 8 of the Funding Proposal.

7. Grievance Redress Mechanism

The following project-level Grievance Redress Mechanism is based on GCF and CI policy requirements (CI-GCF, 2020) and national examples from existing and well-established GRMs¹⁸. Note that although described as a Grievance Redress Mechanism in this document to conform with GCF vocabulary, the translation of GRM used by CI in Ecuador is closer to “Accountability and Complaints Mechanism” to avoid negative connotations associated with the word “grievance” that could reduce the likelihood of stakeholders using it.

Project-level Grievance Redress Mechanism

Awareness raising and capacity building

At the outset of project activity implementation, awareness raising and capacity building sessions need to be conducted in the different project regions involving as many stakeholders as possible to communicate about the established project-level GRM. These capacity building sessions should be integrated within the planned meetings to renew or establish AUSCEMs rather than being separate meetings, and should be culturally appropriate and as inclusive as possible, ensuring that especially vulnerable groups (women, youths, elderly fishermen, Cholos Pescadores, members of Afro-descendent communities and people who are not members of a project-supported AUSCEM (non-associates)) are familiar with the mechanism and feel empowered and in a position to raise a complaint if necessary. For example, to ensure that women will be able to participate, their day-to-day schedules will have to be considered and activities for children may have to be provided alongside the capacity building session. Implementing partners will be well suited to ensure the voices of vulnerable groups are heard, including through visits and by socializing the GRM.

Topics should include:

- Principles of the GRM, such as non-retaliation, cost-free to confidentiality and anonymity;
- How the GRM caters for IPLCs;
- GRM options that are available, including the project-level GRM, the CI ethics hotline and the GCF Independent Redress Mechanism;
- By whom a complaint can be raised and how;
- Types of grievances that can be considered eligible;
- When a complaint can be raised, introducing complaint categories and including an explanation of the safeguards the project is required to adhere to, so that people can recognize where safeguards are disrespected, which would qualify for raising a complaint;
- The process and time frame for processing grievances;
- How GBV and SEAH will be handled, including the following preventative actions:
 - Mandatory training of staff and delivery partners on policies, requirements, and procedures for reporting.
 - Contracts with delivery partners include SEAH policy and signed acknowledgment.
 - Safeguard activity risk assessment may result in GBV or SEAH specific project mitigation plans.
 - Systems in place to screen new hires, including background + police check for certain staff.
 - Awareness raising among community about their rights and what to do/how to report if a situation occurs.
 - Internal informal and formal reporting mechanisms, including CI’s Ethics Point hotline and Respectful Workplace Advisors.
 - Have a referral list of GBV experts and healthcare prepared.

¹⁸ Project-level Grievance Redress Mechanisms of the projects “Proyecto Red de Áreas Marinas y Costeras Protegidas” of the MAATE, Conservation International Ecuador, WildAid and the GEF, and “Proyecto Actualización del Plan de Manejo Cotacachi Cayapas” of Conservation International Ecuador.

- Establish contacts with local GBV experts to support investigations and response procedures.
- Awareness raising regarding the provisions included in the Gender Action Plan. The training of local contact points should take place before these capacity building sessions, so they can equally be used to introduce the local contact points to the participants. Local contact points could also be asked to act as facilitators in case of questions.

The awareness raising and capacity building sessions should be accompanied by multiple means of communication, for example combining posters in prominent village locations with radio spots and a digital means, such as WhatsApp. Communication on the GRM should be maintained throughout the project implementation period to ensure that stakeholders are reminded of the procedures in place for raising, registering and addressing grievances.

Implementation of the project-level GRM presents an opportunity to observe stakeholder sentiments regarding the project and its implementation. The GRM should therefore be actively used to inform adaptive management of the project. The Environmental and Social Action Plan includes specific indicators that will be compiled from GRM implementation.

CI Ecuador is currently implementing a grievance system for their projects in the Amazon region. This system will be amplified to the mangrove areas under the GCF project and has a focus on accountability and complaints. At the start of project implementation and during the project start-up phase the existing grievance system will be used so that a system is in place immediately. An example of a communications poster for the existing GRM is provided in Appendix 9. Similar communications materials will be developed for this GCF project if the proposal is successful. The mechanism will be physically available in the CI Ecuador offices in the cities of Quito and Guayaquil, Machala and Esmeraldas, at the provincial level, and virtually on the CI website Ecuador and by phone or WhatsApp and via email.

Initial contact information for the project level grievance mechanism are:

Email: ManglaresEscuchaEC@conservation.org

Phone contact number: (593) 99 851 2924

WhatsApp contact number: (593) 99 851 2924

Usually, the project level grievance mechanism is the most appropriate route to submit a grievance. Where individuals feel their complaints are not adequately addressed by the project-level Grievance Redress Mechanism or where they do not feel comfortable to come forward with a complaint, there are two alternative mechanisms that can be used:

1. CI's Ethics Hotline. This resource provides employees, grantees, and other partners and beneficiaries with a globally accessible, multilingual reporting tool that gives the ability to report incidents anonymously. It is not staffed by CI employees and is available 24 hours a day, seven days a week, by logging on to at www.ci.ethicspoint.com or by dialing a toll-free number from anywhere in the world where Conservation International works that can be found on the website. Information on phone contact can be checked through the www.ci.ethicspoint.com website and selecting the "Report a concern by phone" option. For calls from Ecuador, the phone contact instructions¹⁹ for the CI Ethics Hotline is:

¹⁹ Information on phone contact number accessed on 14 October 2023.

From an outside line dial the AT&T Direct Dial Access® for your location:

Ecuador	1-800-225-528
Ecuador	1-999-119

At the prompt dial **866-294-8674**.

The call will be answered in English. To continue your call in another language:

- a) Please state your language to request an interpreter.
- b) It may take 1-3 minutes to arrange for an interpreter.
- c) During this time please do not hang up

2. The GCF's Independent Redress Mechanism (IRM), which can be accessed online only at <https://irm.greenclimate.fund/>

Implementation arrangements:

- **Types of complaints that can be addressed:** Complaints can only be raised where they relate to the implementation of the project "Mangroves for climate: Public, Private and Community Partnerships for Mitigation and Adaptation in Ecuador". Some examples could include: vulnerable groups do not get the same chance to participate in project-related meetings as more empowered stakeholders; local stakeholders have not been informed about project activities within the areas where they live and work; local knowledge gets disregarded in the mangrove reforestation activities, with potential impacts on habitats or the success of reforestation; project partners or sub-contractors do not adhere to the safeguards. Establishing and introducing a "complaints typology" at the beginning can help understand the standpoint from which local people/organizations start and participate in the project, e.g. by distinguishing between conflicts about the use of the mangroves, benefits of the project, exclusion from the benefits, or lack of opportunities to participate in productive initiative. The indicators included in the Environmental and Social Action Plan (section 4.3) already suggest some categories of complaints that would be useful to distinguish, also in the registration of complaints. The complaints categories are:
 - Disregard of applicable safeguards and policies by the project implementing team, including sub-contractors;
 - Tensions a) between stakeholders and the project implementing team, and b) between stakeholders as a result of project implementation
 - Economic displacement;
 - Damage caused by reforestation activities;
 - Restricted access to and use of resources;
 - Harm/disadvantage caused by the project to non-associates;
 - Bribery or other forms of coercion;
 - Physical harm or threats;
 - Sexual Exploitation and Abuse and Harassment (SEAH) and Gender-based Violence (GBV) arising from the project;
 - Others (to allow for additional topics that are not covered by the above categories).
- **Types of complaints that cannot be addressed:** Complaints that are not related to the project; Complaints that lead back to an event that happened more than two years prior to the start date of the project (justification: the two years prior to the start date might cover the project design phase of the project but events dating back longer than this should not be related to the project). Some

examples: there are tensions between local stakeholders due to private disagreements, a passing ship was leaking oil which is polluting the mangroves in a certain area.

- **Who can raise a complaint:** Every natural or legal person that is a resident of the Republic of Ecuador and lives within the project area; Registered organizations that are involved with or affected by the project.
- **Contact points at community level:** Across the project area, contact points will have to be identified that are known to and easily accessible for local community members when they want to raise a complaint. The selection of local contacts should be based on a number of criteria, including:
 - People's mobility: in order to make use of the GRM, people need to be able to reach a local contact point when they have a complaint they would like to raise. This means that the number of local contact points required for a functional GRM depends on the mobility of local stakeholders. A review of organizations involved in the project or otherwise present in the project area could be a starting point to discuss the number of contact points required. For example, it could be envisioned to identify two contact points in each involved organization.
 - Existing internal governance tools within fishing, shell gatherer (*concheros*), crab gatherer (*cangrejeros*) and other involved organizations. Their use is recommended as a way to support their leadership. This should include women's organizations, e.g. in Esmeraldas and El Oro. Women represented in the *concheras* and *cangrejas* organizations should also be considered as contact points.
 - Established relationships of trust to ensure that women and youths, as well as members of other vulnerable groups as defined previously, feel comfortable to approach the contact people. For example, it will be useful to have local contact points among the associates as well as the non-associates, as the latter may not feel comfortable to raise a concern with an associate.
 - Representation of men as well as women among contact points, in case women may not feel comfortable to raise a concern with a male contact point.
 - Literacy and access to various communication channels, including ordinary mail, email or telephone. A website will be generated so people can submit their grievances directly online. While it will be important to highlight that people wanting to raise a concern do not depend on being able to read or write or on having access to telephone or internet but can approach local contacts in person, the local contact points themselves should be literate and do have access to various communication channels, so they can help people to put their concerns in writing and pass it on. For the present project, where people cannot use the online system to register a grievance, CI staff can be approached and paper complaints registered. CI staff will then ensure the paper complaints are entered into the registry.
 - The CI staff with direct responsibility for grievances at local level are the social specialists.
- To ensure that local contact points can fulfil their role, they should receive **capacity building** at the beginning, covering at least the following topics:
 - How a complaint can be filed and forwarded to the national entity dealing with the complaints.
 - How to deal with complaints that people wish to raise anonymously and sign an agreement to treat such cases confidentially.
 - Repercussions if it is proven that complaints have not been dealt with confidentially despite previously signed agreement.
 - How to provide feedback to people who have raised concerns on how their complaints are addressed.
 - How to ensure gender inclusiveness.
 - How to address conflicts in situations when the complaint involves the contact point.
- **Responsibility for handling complaints:** Conservation International Ecuador as the executing entity of the project has the overall responsibility for handling complaints. More specifically, the Safeguard Manager will be the central contact point collecting and handling all grievances. Where complaints

are raised, they should be passed from the local level contact points (e.g. the social specialists) to the central contact point (i.e. the Safeguards Manager), who will be responsible for undertaking a review of all enquiries, complaints and concerns and ensuring progress toward resolution of each matter. Where complainants wish to remain anonymous, this must be ensured at local as well as at central level and repercussions must be clear at all levels for breaching signed agreements of confidentiality. Local contact points as well as central contact points will have to sign a form before the GRM starts to operate through which they confirm that they respect the wishes of complainants to remain anonymous. In addition, they must establish a secure system for keeping information about complaints so these cannot get accessed by unauthorized people. For example, paper complaints will be locked into a cabinet by the Safeguards Manager. Only this person will have access to the cabinet.

- **Incorporation of women's needs, doubts, and interests:** The gender analysis that was conducted as part of the preparation of the GCF Full Proposal assessed women's perspectives, needs, doubts and interests with regards to the project. The Gender Action Plan includes positive actions to ensure gender inclusive project implementation, e.g. women's participation and involvement in decision-making, at the level of regulations, mangrove concessions and according to their requirements. Where project implementation disregards the provisions included in the Gender Action Plan, complaints can be raised.
- **Minimum information to be recorded for each complaint that is raised:**
 - a) time, date and nature of enquiry, complaint or concern;
 - b) type of communication (e.g. telephone, letter, personal contact);
 - c) name, contact address and contact number, unless complainants wish to remain anonymous;
 - d) response and investigation undertaken as a result of the enquiry, complaint or concern, including the time frame for the response and/or investigation;
 - e) actions taken and name of the person taking action, including the time frame for each of the actions taken;
 - f) monitoring/follow up of the actions taken until the complaint is considered as concluded, including how often monitoring and follow up has taken place and the time frame.

Upon registration, each complaint will receive a unique number (ID) with which the status of the grievance can be checked.

- **Complaints registry:** Complaints will be recorded in a complaints registry, together with information on their conclusion or resolution. The registry will be managed by the nominated CI contractor staff, i.e. here the Safeguards Manager, and it will be their responsibility to keep the registry complete, tidy, up-to-date, secure and private, e.g. by protecting it with a password and by storing it in a place that is neither publicly accessible nor accessible to other people of the same agency. The only people who will be able to access the system are the Safeguards Manager and one IT person, the latter only if needed. The online registry is located within the security systems of CI, and constant efforts are being made by IT experts to avoid external attacks on the system.
- **Process and timeline for addressing complaints:** Once received, complaints should be passed on within the next two working days to the Safeguards Manager. The Safeguards Manager needs to review the complaint to assess whether it falls within the scope of the project. Where this is not the case, a response will be sent back to the local contact point within five working days of receiving the complaint. The response should include a justification for why the complaint cannot be addressed by the project-level GRM and suggest alternative ways to raise the concern outside of the project-specific complaint mechanisms. Depending on the complexity of the complaint, the Safeguards specialist may convene an Evaluation Committee (e.g. involving the project director or potentially the police) to assess the options for addressing the complaint. The Evaluation Committee should send a response regarding how the complaint will be addressed at maximum 15 days after receipt of the complaint at central level. The Evaluation Committee will also define a responsible person at local level to follow up on the complaint and ensure that recommended solution options are implemented as foreseen.

This includes communicating back to the Safeguards Manager at agreed intervals about any further issues arising or respectively satisfactory conclusion of the complaint process.

- Some enquiries, complaints and concerns may require an extended period to address. The complainant(s) must be kept informed of envisioned timelines and progress towards rectifying the concern.
- Once a complaint or concern is closed, this must be recorded in the complaints register.
- **How the mechanism functions:** The following figure summarizes the process and timeline applicable to the Grievance Redress Mechanism.

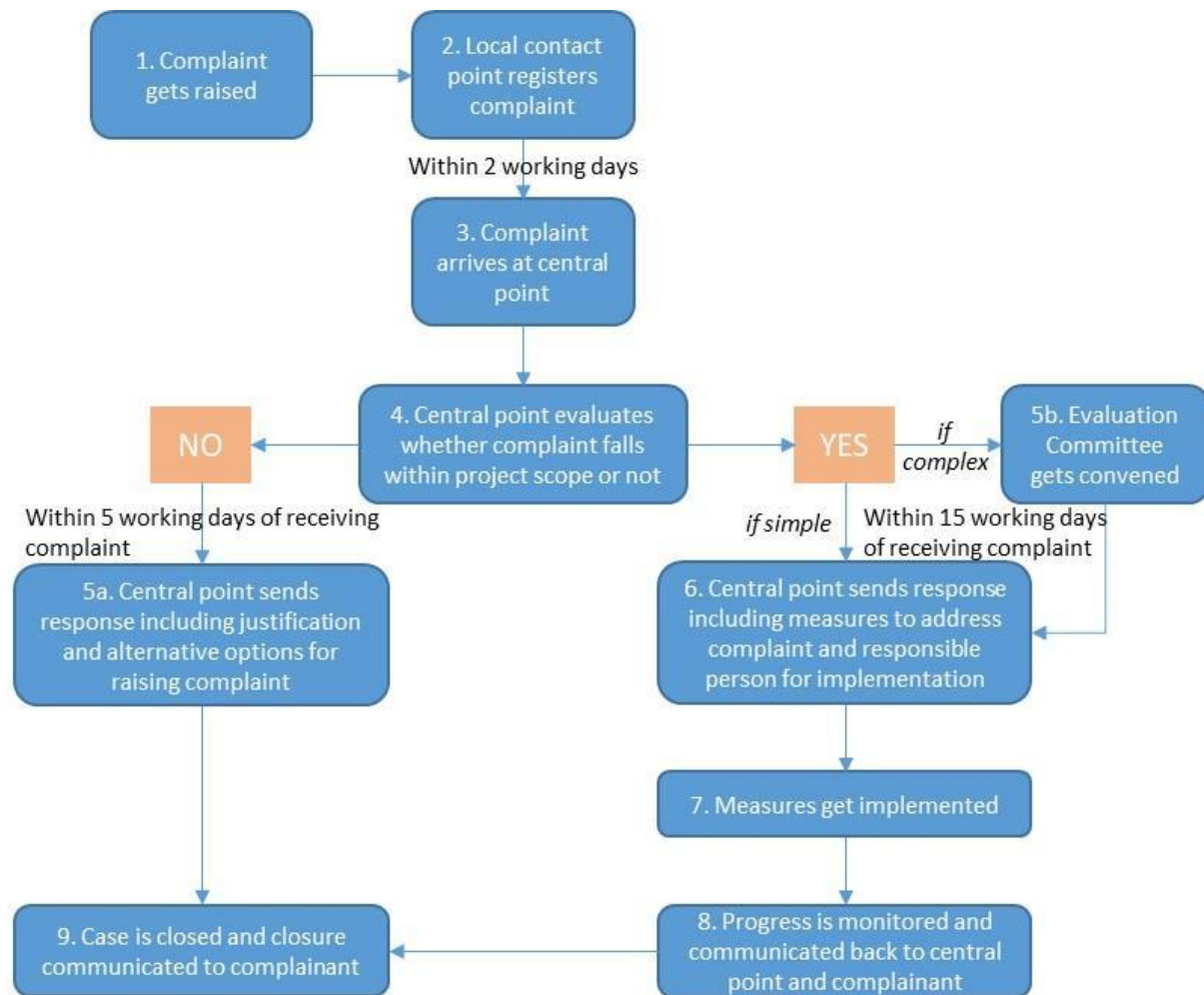


Figure 2. Summary of GRM process

8. Capacity building

The budget of the full proposal includes training workshops for the project staff at the beginning of the project, including training on CI's human-rights based approach, safeguards, gender, SEAH policy and also including sensitive social issues. Staff will also be trained on project concepts, such as the climate-smart shrimp concept and the nature-climate solution framework used by CI. In addition, the Terms of Reference for the social specialists that will be involved in project implementation in each estuary will include a requirement for knowledge on gender and safeguards, to emphasize that these will be topics requiring special attention during project implementation.

For the implementation of the present ESMP, it will not only be important that directly involved project staff have the knowledge and skills to ensure safeguards adherence, but also that capacity building is provided to other stakeholders. The action plan included in section 4.3 includes several mitigation measures that involve capacity building for local stakeholders. In addition, project activities include capacity building on gender and safeguards for those government employees at national and sub-national/local level that are in some way involved with the project, as well as to other project partners.

Finally, it is considered of particular importance that all stakeholders, whether involved in or affected by project implementation receive adequate capacity building on the project-specific Grievance Redress Mechanism. This should not only include the procedure of the mechanism but also make people aware of their rights and of what should not be happening as part of project implementation so that they are clear about the circumstances in which they can and should raise a complaint. See also chapter 7 for this topic.

9. Monitoring and evaluation

Implementation of the ESMP needs to be monitored over time to allow for its adaptive management as needed. Indicators are included in the Environmental and Social Action Plan included in section 4.3.

Apart from the indicated schedule for implementation of mitigation measures and reporting on indicators, a generic reporting schedule needs to be agreed. For the present ESMP, reporting on the indicators in the form of an ESMP progress report will be required every six months. This information is also included in Annex 5 (implementation plan) of the full proposal. For sub-contractors, a reporting schedule needs to be agreed in line with the duration of their involvement in project implementation and the activities they are in charge of.

Monitoring and evaluation of community grant and mangrove restoration 'subprojects'

- Small grants for communities and mangrove restoration activities ('subprojects') will be subject to additional environmental and social safeguard screening at the point of applying for grants and assessing the suitability of sites for restoration (see Appendices 10 and 12). For subprojects where safeguard issues are identified, the Safeguard Manger will work with the community requesting the grant or the CI mangrove restoration staff proposing the restoration activity to identify ways of avoiding or mitigating the safeguards issues. Where the risks cannot be avoided, the Safeguards Manager will work with the communities or staff to develop a mitigation plan that will include monitoring and evaluation requirements. At a minimum all subprojects will be required to collect information on:
 - *Number of grievances received and the percentage adequately resolved;*
 - *Number of women and men engaged in restoration activities.*

10. Information disclosure

The GCF in its Information Disclosure Policy applies the principle of maximum access to information (GCF 2016). Withholding relevant information from disclosure will only be acceptable under exceptional circumstances, where potential harm caused by disclosure will outweigh the benefits of access to the information (GCF 2016, III.6.b).

In accordance with this policy, this Environmental and Social Management Plan will be disclosed by the Accredited Entity (Conservation International), the Executing Entity (Conservation International through its Ecuador program) as well as by the Green Climate Fund itself.

- Conservation International will disclose the ESMP on their own or the project's website and in other locations that are accessible for affected stakeholders as appropriate. Documents should be disclosed both in English and Spanish.
- The GCF discloses ESMPs through their project overview website, from which, for most projects, an Environmental and Social Safeguards Report can be downloaded. This report includes electronic links to the ESMP and other safeguards-relevant documents. The disclosure is in accordance with the GCF Information Disclosure Policy.

For the present project, being a Category B project, disclosure of the ESIA and/or ESMP should take place at least 30 days before the AE's or GCF's Board decision, whichever is earlier. Reports should be disclosed in English and Spanish.

Updates to this ESMP should be disclosed through the Conservation International website in appropriate language and communicated to stakeholders. The same updates should be communicated to the GCF to ensure updates are being made on their website accordingly.

The CI-GCF ESMF provides that a stand-alone ESMP as well as annexed plans, such as The Plan for Afro-descendent Communities and Cholos Pescadores and process frameworks will be disclosed to all Affected Communities, Indigenous Peoples and local communities in a form, manner and language appropriate for the local context. In addition, disclosure will also be made in the country of project implementation and at multiple locations within country of execution in a form, manner and language appropriate for the local context. Disclosure will occur in the following stages:

- a) Disclosure of assessment documents (e.g., draft ESIA) and draft safeguard documents (e.g., IPP) during project preparation once drafts have been reviewed by the CI-GCF Project Agency Team. Disclosure during project preparation aims to seek feedback and input from Indigenous Peoples and local communities, and as appropriate other stakeholders, on the safeguard issues identified and the measures incorporated in project design to address them.
- b) Disclosure of all assessments prior to project approval once additional comments from feedback and GCF comments have been incorporated ;
- c) Ongoing disclosure during and after conclusion of project activities to inform communities of implementation activities, potential impacts, measures taken to address them, etc.

Process Frameworks, including documentation of the consultation process, must be disclosed in a timely manner and in a place accessible to key stakeholders including project affected groups and CSOs in a form and language understandable to them.

11. Budget

There isn't a completely separate budget for the ESMP since all ESMP activities need to be included within the overall project budget. As noted in table 4.3, most of the mitigation measures will be undertaken in the course of the activities that are planned. Most mitigation activities relate to how AUSCEM renewal and expansion activities are presented to communities (and regulations agreed with them) and to information collected during these activities. Similarly, the process of planning mangrove restoration activities needs to consider various factors to ensure that restoration does not cause environmental damage. Grants to support community livelihood activities will be used to ensure that As such, for most mitigation activities, there are not separate ESMP activities requiring a separate budget. Instead, the main cost is for ensuring that there are sufficient staff to focus on ESMP mitigation measures and that they have travel budget allocated to allow them to carry out their functions. In addition, there are trainings planned on gender and safeguards for project staff (CI and partners) and MAATE staff.

Most of the work required by the ESMP involves staff time as the main cost. The project will have one Safeguards Manager and one Gender Manager in the main project team, two CI field-based Social Technicians in the Guayas and Jambeli estuaries, and one PUCESE staff in the northern estuaries (4 CI staff costs total USD 1,533,305, 1 PUCESE staff cost USD 85,546). Together, these individuals will drive the implementation and accountability of the ESMP and also the Gender Action Plan (see Annex 8 of the Funding Proposal), in collaboration with the entire project team and partners. Travel for these positions has also been included in the project budget (4 CI Staff Travel USD 95,202).

Key cost elements of the ESMP

Meetings related to AUSCEM renewal and establishment ²⁰	\$297,800
GRM communications materials	\$10,000
ES Staff costs	\$1,618,851
ESMP related travel costs	\$95,202
Safeguards and gender trainings for CI and MAATE staff	\$17,014
Approximate ESMP budget	\$1,889,967

Other project costs that are not directly for addressing ESMP issues but are linked (see notes in "budget elements" column of table in section 4.3) include the following:

AUSCEM exchange activities	\$35,379
AUSCEM mangrove restoration training	\$90,204
AUSCEM led mangrove restoration activities	\$3,000,000
Mangrove restoration planning	\$1,071,542
Support for livelihood activities through grants ²¹	\$500,000

²⁰ To ensure good participation and effective use of budget, ESMP activities that involve community meetings will be integrated with other subjects (e.g. technical requirements for developing AUSCEM management plans) into the project's community meetings rather than organized as separate meetings. As such, it is difficult to separate out the exact costs related to the ESMP. We conservatively estimate that 50% of the meeting costs will be related to ESMP issues (MM3.1a-g described in section 4.3).

²¹ As noted in section 4.3, if households are identified where there are restrictions of access then they will be integrated into this grant program to ensure that alternative livelihood options can be supported.

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Appendix 2. Environmental and Social Safeguards Screening Report

CI-GCF/GEF PROJECT AGENCIES ENVIRONMENTAL AND SOCIAL SAFEGUARDS (ESS) SCREENING REPORT

Preliminary Screening (Conceptual Stage) Secondary Screening (Proposal Stage)

I. PROJECT INFORMATION

A. Basic Project Profile

Countries: Ecuador	GCF/GEF Project ID:
Project Title: Mangroves for climate: Public, Private and Community Partnerships for Mitigation and Adaptation in Ecuador	
Executing Entity/Agency: Conservation International	
GCF/GEF Focal Area: Forestry and land-use; Most vulnerable people and communities; and Ecosystems and ecosystem services	
GCF/GEF Project Amount: USD\$24,999,444	
CI-GCF/GEF Project Manager: [REDACTED]	
ESS Analysis Performed by: [REDACTED], Senior Director of ESMS, CI-GCF/GEF Agencies	
Date of Analysis: September 09, 2022; updated March 19, 2024	

B. Summary of Project Risk Categorization, ESS Standards Triggered and Mitigation Plans Required

Project Category:	Category A	Category B	Category C
		X	
<p><i>The proposed project activities have the potential to cause adverse environmental and social impacts. However, the impacts are anticipated to be less adverse than those of Category A projects, site-specific, and mitigation measures can be readily designed. The restoration activities will take place in degraded areas or within protected areas consistent with the PA's objectives. The potential for economic displacement of people is low and the implementation of a Process Framework will ensure that any restrictive measures are voluntarily agreed upon and done in consultation with the members of the community associations. No negative impacts on Indigenous People and Local Communities (IPLCs) are anticipated and the implementation of an Indigenous Peoples Plan (IPP) will ensure that Free, Prior and Informed Consent (FPIC) is followed, and any impacts are identified and managed in consultation with IPLCs.</i></p>			
Safeguards Triggered:			
<input checked="" type="checkbox"/> Environmental & Social Impact Assessment	<input type="checkbox"/> Cultural Heritage	<input type="checkbox"/> Labour and Working Conditions	<input checked="" type="checkbox"/> Community Health, Safety and Security
<input checked="" type="checkbox"/> Protection of Natural Habitats and Biodiversity Conservation	<input type="checkbox"/> Private Sector Direct Investments and Financial Intermediaries	<input type="checkbox"/> Climate Risk and Related Disasters	
<input checked="" type="checkbox"/> Resett. & Physical/Economic Displacement			
<input checked="" type="checkbox"/> Indigenous Peoples			
<input type="checkbox"/> Resource Efficiency & Pollution Prevention			
Mitigation Measures Required:			
<input checked="" type="checkbox"/> Limited or Full ESIA	<input type="checkbox"/> Resource Efficiency & Poll. Prevention Plan	<input type="checkbox"/> Cultural Heritage Management Plan	<input type="checkbox"/> Labour Management Procedures
<input checked="" type="checkbox"/> Environmental & Social Management Plan			

<input type="checkbox"/> Plan for Natural Habitat Protection and Biodiversity Conservation	<input checked="" type="checkbox"/> Community Health, Safety and Security Plan
<input type="checkbox"/> Voluntary Resettlement Action Plan	<input type="checkbox"/> Environmental and Social Management Framework
<input checked="" type="checkbox"/> Process Framework	<input type="checkbox"/> Climate and Disaster Risk Management Plan
<input checked="" type="checkbox"/> Indigenous Peoples Plan	

C. Project Goal/Objective:

To reduce the GHG emissions from mangrove ecosystems and reduce coastal communities' vulnerability to climate change impacts through sustainable management and restoration of mangrove ecosystems, with public-private partnerships.

D. Project Description:

The current paradigm underestimates climate risks and undervalues the ecosystem services provided by mangroves, augmenting both exposure to climate risk and greenhouse gas emissions. By fully valuing the adaptation and mitigation benefits of mangrove ecosystems and integrating these into governance and economic frameworks across Ecuador's coastal region, the project will shift this paradigm with an innovative approach that will create public, private and community partnerships to reduce greenhouse gas (GHG) emissions and improve the livelihoods of some of the country's most vulnerable people.

If governance systems, legal protections, knowledge, and management capacity at multiple levels are strengthened and new sources of finance and private-sector support are mobilized for mangrove conservation and restoration, then coverage and quality of mangrove ecosystems will be increased, resulting in reduced climate change impacts on vulnerable coastal populations, increased economic resilience, and reduced GHG emissions because healthier and more extensive mangroves reduce flood impacts and sequester more GHG emissions.

Integrating the participation of national government entities, particularly the local communities, private sector businesses, Ministry of Environment, Water and Ecological Transition (MAATE) and subnational governments, the project will integrate mutually reinforcing, multi-scale actions across 3 project components (Project Outcomes) to address key barriers.

Component 1. Flood risks associated with climate change reduced for 4,300 people, resiliency increased, for 41,500 people, and GHG emissions reductions and sequestration of 5.9 MtCO₂e⁸ achieved by expanding mangrove areas under community-based management, and increasing climate resiliency of protected areas and local economic development.

This component focuses on actions to increase both the area of mangrove under protection by local community stakeholders, their economic sustainability and the quality and effectiveness of management for these areas, as well as national protected areas, in order to reduce flood risks and incentivize mangrove conservation by increasing the economic benefits derived from mangrove fisheries. In addition to reducing flood risk for 4,300 people this component will enhance the livelihoods of 41,500 people to increase their resiliency to climate change.

Component 2. The private sector becomes a transformational agent for change by reducing and sequestering 1.8 MtCO₂e⁹ while also enhancing the resilience to climate change within shrimp farms and providing financial support to conserve and restore mangroves that increase climate resilience for other coastal populations. This component focuses on engaging the private sector, particularly shrimp aquaculture, to become a transformational agent for change, reversing its previous role as an agent of mangrove loss, by integrating climate-smart production practices to increase climate resilience, reduce pressures for mangrove deforestation, and restore mangrove

ecosystems, as well as catalyzing new sources of financing for long-term sustainability of mangrove conservation.

Component 3. Create the enabling conditions for sustaining the reductions in mangrove deforestation and increased mangrove restoration (achieved through Components 1 and 2) by strengthening governance, climate change adaptation strategies, coastal management policies, and legal enforcement. This component focuses on creating the enabling conditions to increase adaptation and mitigation, through improved governance and the generation of timely, targeted information, which are the scaffolding supporting mangrove conservation, planning, regulation and benefits to the broader coastal and national communities.

E. Project location, biophysical and socio-economic characteristics relevant to the safeguard analysis:

The project will be implemented in Ecuador in the four estuaries where most of the country's mangroves are located. These areas are:

- Cayapas-Mataje estuary
- Muisne-Cojimies estuary
- Guayas river estuary
- Jambeli archipelago

Most of the work in these areas will take place in mangroves managed by local community associations and on private shrimp farms (mangrove restoration activities). Four protected areas are also included in the project and activities in these will involve training, long-term planning for climate change resilience and mangrove restoration activities. The four protected areas, prioritized for inclusion in the project are:

- Reserva Ecológica Manglares Cayapas Mataje (includes 20,012 ha of mangrove)
- Reserva Ecológica Manglares Churute (includes 28,467 ha of mangrove)
- Reserva de Producción de Flora y Fauna Manglares El Salado (includes 11,659 ha of mangrove)
- Reserva de Vida Silvestre Manglares Estuario del Río Muisne (includes 1,295 ha of mangrove)

In addition to the on-the-ground activities, component 3 includes training and land-use planning activities that will be focused on the 8 municipalities (with greater than 1,000 hectares of mangroves) listed in the table below:

Province	Municipality	Estuary	Population ¹	% Poverty	Mangrove Area 2018 (ha)
El Oro	El Guabo	Jambelí	50,009	74%	1,377
El Oro	Machala	Jambelí	246,208	56%	3,434
El Oro	Santa Rosa	Jambelí	69,467	56%	10,164
Esmeraldas	Eloy Alfaro	Cayapas Mataje	39,739	94%	10,454
Esmeraldas	Muisne	Muisne Cojimíes	28,474	98%	1,507
Esmeraldas	San Lorenzo	Cayapas Mataje	42,486	84%	10,296
Guayas	Guayaquil	Guayas	2,352,871	47%	90,059
Guayas	Naranjal	Guayas	69,012	74%	22,774
Total			2,898,266		150,065

The four provinces Guayas, El Oro, Esmeraldas and Manabí jointly include 14 cantons, 37 parishes, and 150 census tracts (i.e. the smallest unit in which census numbers are gathered). The total population in the four estuaries along the coastline in 2010 (last national census) amounted to 26,759. Thereof, more than 12,500 inhabit the Estuary of Río Guayas, followed by 7,400 in the Muisne-Cojimíes Estuary, 3,461 in the Archipelago de Jambelí and 3,261 in the Estuary Cayapas-Mataje.

Ecuador's coast is home to some of the country's poorest and most vulnerable communities for whom mangrove conservation and restoration provides the only economically and technically feasible approach to protection from climate change-related flooding and storm impacts. The population's vulnerability is reflected by the percentage of people living in poverty and extreme poverty, which reduces their ability to adapt in the face of climatic shocks. Forty-five percent of the population of these municipalities' lives in extreme poverty, compared with a national average of 26.8%. Twenty-seven percent (27%) of the total population in these municipalities is illiterate. In line with the above, access to basic services is often limited. Within the Reserva Ecológica Manglares Cayapas-Mataje, according to Ministerio del Ambiente de Ecuador (2014), none of the communities have drinking water. Water is either supplied by tankers (where access is possible) or from wells and using rainwater.

Mangroves provide critical and low-cost sources of income for these communities. One of the main economic activities reported within the study area is fishing and mollusk gathering. This activity provides income to approximately 20% of the population of Guayas River Estuary, to approximately 14% within the Jambelí Archipelago and to 12% and 7% to people within the Cayapas-Mataje and Muisne-Cojimíes Estuaries respectively. Other economic activities include shrimp cultivation, gathering of crabs and other mollusks, tourism and other local sustainable industries.

Apart from shrimp cultivation, the catching of different types of shell (concha prieta, concha negra (*Anadara tuberculosa*) and concha macho, mica (*Anadara similis*) is a common activity of the coastal communities. Due to a high national and still increasing demand for shellfish, these activities provide income to a substantial number of people along the coast, e.g. to about 2,000 people in the province of Guayas. Intensive shrimp cultivation, however, can negatively affect the availability of seashells, especially where heavy machinery is used for the maintenance and expansion of shrimp pools.

The mangroves along Ecuador's coast provide important economic services to local communities including food, income sources, and protection from flooding and storms. Across all project sites, women and men depend on the natural resources they obtain from the mangroves.

A complex set of historical, social, cultural, and economic factors influence the project sites' current gender norms and inequalities: Firstly, there is a clear lack of political representation by women in decision-making fora. Secondly, women are overburdened with work, especially reproductive labor, and this limits their ability to engage in community, organizational, and project activities. And thirdly, gender-based violence is high and further highlights the inequalities at the household level and an important additional barrier that keep women from using their voice and agency. This situation is compounded by a number of structural problems associated with education, health, the provision of utilities and limited employment opportunities.

In these mangrove-dependent communities, women are more vulnerable and experience higher rates of poverty than men. Men tend to control the main economic activity in the communities: the harvesting and sale of seafood. Often it is men who hold formal positions of leadership within communities and fishing associations.

There are distinct gender differences with respect to mangrove use and management in the northern project sites versus those in the south. In the north, women can walk (often collectively) to the mangroves together and are therefore more actively engaged in mangrove use and management. Mangrove associations in the north have, on average, 60% women members. The southern project sites are more male dominated with women engaging much less. In the south,

women's difficulty in participating in decision-making derives from the fact they are not familiar with the mangrove or legally recognized as part of the communities or productive organizations.

This can be attributed to their access and use of the mangrove areas which are far from the community and must be accessed by boat. Usually, women's mangrove activities in the south are more individual (each person arranges their own access to the area). Mangrove associations in the south have, on average, 15% women members.

Women living in mangroves work long days, which include family caregiving responsibilities, harvesting or fishing activities, cooking for the family and looking after the children. The average working day for women is around 14 hours and little societal value is placed on their caregiving or reproductive tasks. By contrast, men have much shorter days, fishing or harvesting for between four and five hours. This means that once their day's fishing or harvesting is over, they are relieved from work.

Rates of gender-based violence are high (67% in project sites) and could be perpetuated/increased by climate change impacts that result in economic disruption.

As a result of gender norms, men and women are impacted differently by climate related events. Rising sea levels and flooding – the two major effects cited in justifying climate action in these project sites – can also have consequences like an increase in water salinity and water-borne diseases, which are likely to affect primarily women, who tend to be responsible for collecting water for the household and caring for sick family members. Furthermore, existing gender inequalities may be exacerbated by the dynamics of climate change in the project area.

F. Executing Entity (EE)'s Institutional Capacity to Implement Safeguard Policies:

CI generally has good capacity to deal with safeguards issues and implementation, including centralized specialist staff who provide training and backstopping to projects. The project itself will have one Safeguards Manager and one Gender Manager at the project management unit, as well as one Social Technician responsible for each of the southern estuaries and one Social Technician responsible for the northern estuaries (PUCESE staff); together, these individuals will drive the implementation and accountability of the Environmental and Social Management Plan and the Gender Action Plan, in collaboration with the entire project team and partners. However, capacities and capacity needs can vary from project to project, depending on who gets involved in implementation. The budget of the funding proposal includes training workshops for the project staff at the beginning of the project, including training on CI's human-rights based approach, safeguards and gender. Staff will also be trained on project concepts, such as the climate-smart shrimp concept and the nature-climate solution framework used by CI. A social specialist will be hired for each estuary. The Terms of Reference for the social specialists that will be involved in project implementation in each estuary will include a requirement for knowledge on gender and safeguards, to emphasize that these will be topics requiring special attention during project implementation.

For the implementation of the ESMP, it will not only be important that directly involved project staff have the knowledge and skills to ensure safeguards adherence. Instead, it should also be considered to provide capacity building to other stakeholders. The action plan included in section 4.3 of the ESMP includes several mitigation measures that engage local stakeholders and will help improve their understanding of different topics related to the project. In addition, the project activities include capacity building on gender and safeguards for those government employees at national and

sub-national/local level that are in some way involved with the project, as well as to other project partners.

Finally, it is considered of particular importance that all stakeholders, whether involved in or affected by project implementation receive adequate capacity building on the project-specific Grievance Redress Mechanism. This will not only include the procedure of the mechanism but also make people aware of their rights and of what should not be happening as part of project implementation so that they are clear about the circumstances in which they can and should raise a complaint.

Given the important gender issues noted in the preceding section, the project design has integrated gender-responsive actions to help close gender gaps in mangrove management to support more efficient, effective, and equitable mangrove conservation. A Gender Assessment and Action Plan has been developed for the project. The opportunities for gender-responsive actions are largely concentrated in the support to mangrove associations where direct collaboration with the women and men who depend on, and manage, the mangroves will occur. Activities within the gender action plan have been included in the project's budget.

II. ESS STANDARDS TRIGGERED BY THE PROJECT

Based on the information provided in the ESS Screening Form, the following ESS Standards have been triggered:

ESS Standard	Yes	No	TBD	Justification
1. Environmental & Social Impact Assessment (ESIA)		X		<i>No significant adverse environmental and social impacts that are sensitive, diverse, or unprecedented are anticipated. However, some of the potential sub-projects (e.g. community grants and mangrove restoration activities) are yet to be defined and as such, those impacts are unknown at this time.</i>
2. Protection of Natural Habitats and Biodiversity Conservation	X			<i>The project includes mangrove restoration activities using native and locally sourced species within areas managed by community associations (AUSCEMs), some of which are within protected areas. Additional restoration activities will take place on private shrimp farms. Restoration activities can cause harm to ecosystems if the activities are not managed properly.</i>
3. Resettlement and Physical and Economic Displacement	X			<i>The project is not proposing activities that would cause resettlement and physical displacement. However, the work with community management has the potential to restrict access (such as harvesting restrictions) due to either management decisions agreed to by the community associations restrictions or because some individuals are not members of the associations with management rights.</i>
4. Indigenous Peoples	X			<i>The project plans to work in lands or territories traditionally owned, customarily used, or occupied by IPLCs.</i>
5. Resource Efficiency and Pollution Prevention		X		<i>The project will not contribute to pollution but rather support farms to reduce the use of pollutants and climate impacts.</i>
6. Cultural Heritage		X		<i>The project does not plan to implement activities that affect cultural heritage.</i>
7. Labour and Working Conditions		X		<i>The EE indicated that it has the necessary policies, procedures, systems and capabilities to meet the minimum requirements.</i>
8. Community Health, Safety and Security	X			<i>[Updated March 2024] Early in 2024, the country witnessed widespread violence, marked by organized gang activities, prison breaks, vehicle explosions, intimidation, and the attack on a TV station. Although violence has decreased, the government's declaration of 'war' against drug gangs will maintain an increased presence of military and ongoing security operations against these groups. The criminal gangs, in turn, continue to retaliate to challenge the government's resolve, posing ongoing security threats in the months ahead. These developments have triggered significant short-term security adjustments in the country. The outlook remains uncertain but the proposed increase in government spending on security signals a commitment to sustained operations against drug gangs. Moreover, there's growing concern over escalating conflicts between rival gangs, potentially leading to conditions that further complicate the operational environments, as observed in similar situations in other countries.</i>

9. Private Sector Direct Investments and FIs			X	<i>The project plans to channel funds through a dedicated window/subaccount of an existing Trust Fund (TBC). FIAS, who are responsible for managing the Trust Fund has ESMF experience managing the Socio Bosque Program (GCF funded)</i>
10. Climate Risk and Related Disasters			X	<i>The proposed project is designed to address climate change mitigation and adaptation issues. The vulnerability assessment included in the baseline study, including the factor of rising sea levels, was considered in the development of maps prioritizing areas for mangrove reforestation.</i>

Note: Other ESS Standards may be triggered at any time during the implementation of the project.

III. PROJECT CATEGORIZATION

Based on the ESS Standards triggered, the project is categorized as follows:

PROJECT CATEGORY	Category A	Category B	Category C
		X	
<i>The proposed project activities have the potential to cause adverse environmental and social impacts. However, the impacts are anticipated to be less adverse than those of Category A projects, site-specific, and mitigation measures can be readily designed. The restoration activities will take place in degraded areas or within protected areas consistent with the PA's objectives. The potential for economic displacement of people is low and the implementation of a Process Framework will ensure that any restrictive measures are voluntarily agreed upon and done in consultation with the members of the community associations. No negative impacts on Indigenous People and Local Communities (IPLCs) are anticipated and the implementation of an Indigenous Peoples Plan (IPP) will ensure that Free, Prior and Informed Consent (FPIC) is followed, and any impacts are identified and managed in consultation with IPLCs.</i>			

IV. MANAGEMENT OF ESS STANDARDS TRIGGERED

ESS1. Environmental & Social Impact Assessment (ESIA)

If during the screening of sub-project activities the environmental and social impacts amount to a Category B rating, the project will be required to prepare a limited, fit-for-purpose ESIA outlining those potential impacts and how they will be managed. Guidance on preparing the limited, fit-for-purpose ESIA is provided in Annex 6, Appendices 14 and 15.

ESS2. Protection of Natural Habitats and Biodiversity Conservation

The CI-GEF/GCF Agencies support habitat restoration projects that can demonstrate that they will restore or improve biodiversity and ecosystem composition, structure and functions, and that are socially beneficial across genders, and economically viable. The project is required to conduct a limited ESIA on the areas to be restored (when those areas are identified) in order to assess the environmental and social risks of the restoration activities, and thereof design an ESMP outlining mitigation measures and monitoring protocols to manage the environmental and social risks.

ESS3. Resettlement and Physical and Economic Displacement

The project is required to prepare a Process Framework describing the process that the project will take to ensure that any proposed restrictions (e.g. harvesting restrictions) are voluntarily agreed upon and done in consultation with the members of the community associations. The Framework should also describe measures (if any) to assist affected persons, how agreements will be reached with stakeholders and the monitoring framework. More details on the Process Framework can be found in Appendix V of CI-GEF/GCF's ESMF document.

ESS4. Indigenous Peoples

The project is required to prepare an Indigenous Peoples Plan (IPP) describing how Free, Prior and Informed Consent (FPIC) will be applied and the measures to avoid adverse impacts and enhance culturally appropriate benefits on indigenous individuals or communities. The IPP should include evidence of consultations with IPLCs in the development of the Plan. More details on the requirements for the IPP can be found in Appendix VI of CI-GEF/GCF's ESMF document.

ESS8. Community Health, Safety and Security

The project is required to prepare within the first 6 months of implementation, a Safety and Security Plan to prevent, mitigate and respond/react against the escalating security risks in the country. The Plan should also include a budget to operationalize these measures.

Other Plans

Apart from the ESS Policy, the project is required to comply with the CI-GEF/GCF's Accountability and Grievance Policy, Gender Policy, and Stakeholder Engagement Policy. The project is required during the project development phase to develop and submit to CI-GEF/GCF for review and approval, the following plans:

I. Accountability and Grievance Mechanism (AGM)

To ensure that the project meets CI-GEF Project Agency's Accountability and Grievance Mechanism Policy, the EE is required to develop an Accountability and Grievance Mechanism (template provided) that will ensure people affected by the project are able to bring their grievances to the EE for consideration and redress. The mechanism must be gender-sensitive, in place before the start of project activities, and disclosed to all stakeholders in a language, manner and means that best suits the local context.

In addition, the EE is required to monitor and report on the following minimum accountability and grievance indicators:

- 1. Number of times/events the AGM is disclosed to project stakeholders; and*
- 2. Percentage of conflict and complaint cases reported to the project's Accountability and Grievance Mechanism that have been addressed.*

II. Gender Mainstreaming Plan (GMP)

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

Further, the project should examine the extent of Gender Based Violence (GBV) and Sexual Exploitation and Harassment (SEAH), the likelihood of project activities contributing/exacerbating GBV and SEAH, and proposed mitigation measures as needed.

In addition, the EE is required to monitor and report on the following minimum gender indicators:

- 1. Number of men and women that participated in project activities (e.g. meetings, workshops, consultations);*
- 2. Number of men and women that received benefits (e.g. employment, income generating activities, training, access to natural resources, land tenure or resource rights, equipment, leadership roles) from the project; and if relevant*
- 3. Number of strategies, plans (e.g. management plans and land use plans) and policies derived*

from the project that include gender considerations.

III. Stakeholder Engagement Plan (SEP)

To ensure that the project complies with the CI-GEF/GCF's Stakeholders' Engagement Policy, the EE is required to develop a Stakeholder Engagement Plan (template provided).

In addition, the EE is required to monitor and report on the following minimum stakeholder engagement indicators:

- 1. Number of government agencies, civil society organizations, private sector, indigenous peoples and other stakeholder groups engaged in the project implementation phase;*
- 2. Number persons (sex disaggregated) engaged in project implementation phase; and*
- 3. Number of engagement (e.g. meeting, workshops, consultations) with stakeholders during the project implementation phase*

All plans must be submitted to the CI-GCF/GEF Project Agency for review and approval during the project proposal development phase.

V. DISCLOSURE

Following approval of the plans, the EE must disclose the plans to stakeholders no later than 30 days from date of approval.

COVID-19 Guidelines

In response to the COVID-19 pandemic, projects are required to follow the guideline issued by CI-GEF/GCF Project Agency during the project preparation and implementation.

Appendix 3: Protection of Natural Habitats Plan

(1) Biodiversity context

The project targets Ecuador's coastal mangrove ecosystems. Mangroves represent 52% of the 3630 km long national coastline and provide essential natural infrastructure shaping the resilience and adaptive capacity of the coastal populations to the impacts of climate change.

The mangrove ecosystems along Ecuador's coast fall into two different ecoregions, the humid forests of the Chocó (Mangroves of the Chocó) and the mangroves of the South American Pacific (equatorial zone, Cornejo 2014). Vegetation of this special ecosystem is mainly made up of seven different mangrove species and a few typical accompanying plant species (Table 1).

Table 1: Mangrove species and accompanying flora at national level (Developed by CIIFEN, source: Cornejo 2014)

Plant family	Species
Mangrove species	
Rhizophoraceae	<i>Rhizophora mangle</i>
Rhizophoraceae	<i>Rhizophora racemosa</i>
Rhizophoraceae	<i>Rhizophora x harrisonii</i>
Acanthaceae	<i>Avicennia germinans</i>
Combretaceae	<i>Laguncularia racemosa</i>
Tetrameristaceae	<i>Pelliciera rhizophorae</i>
Combretaceae	<i>Conocarpus erectus</i>
Accompanying plant species	
Bignoniaceae	<i>Tabebuia palustris</i>
Fabaceae	<i>Mora oleifera</i>
Fabaceae	<i>Pterocarpus officinalis</i>
Pteridaceae	<i>Acrostichum danaefolium</i>

Ecuador's mangrove ecosystems are of great importance for their biodiversity, being home to about 100 species of plants (Cornejo 2014) and a large number of local, endemic and migratory plant and animal species. Also associated with the mangroves are migratory bird species that come from both the north and south of the American continent in search of a place to nest, feed and rest.

Over the past decades, many hectares of mangrove forests have been lost, mainly due to the expansion of shrimp farming. While some efforts have been made to reforest former mangrove forest, destruction still continues and the potential for reforestation is very high.

Because of their decline, together with their importance for their biodiversity and the resources they provide to local populations, the Republic of Ecuador considers all remaining mangrove areas as fragile ecosystems and has included them in the country's Protected Area System. The project area includes all eight coastal protected areas that include mangrove forest. Project activities in protected areas are limited

to trainings and support on management planning to ensure that climate change adaptation measures are included in management plans.

For further detail on the biophysical characteristics of the project, please see section 2.1 in the main report.

(2) Project outcomes and activities that might cause environmental impact

The project has three main components:

Project Component 1: Mangrove areas under effective and climate-adapted management increased, including through community-based management (AUSCEMs) and protected areas implementing climate adaptation plans.

Project Component 2: The private sector becomes a transformational agent for change by reducing GHG emissions and providing financial support to conserve and restore mangroves that increase climate resilience for other coastal populations.

Project Component 3: Create the enabling conditions for sustaining reductions in mangrove deforestation and increased mangrove restoration by strengthening governance, climate change adaptation strategies, coastal management policies, and legal enforcement.

The project design presents several options and modalities for a paradigm shift in the management of coastal zones considering climate change. In addition to its adaptation benefits, the project will also have a significant mitigation impact by not only stopping the conversion of mangroves, salt marshes and coastal forests but also by expanding mangrove forests through restoration activities. Planned activities are shown in the following table.

As can be seen from the components, the project intends to comprehensively improve the status of the coastal ecosystems inside the project area, especially of the mangrove forests along the coastline. The reason why the need was identified to still have a Protection of Natural Habitats Plan is twofold:

1. Certain activities have not yet been planned at the level of detail that allow to accurately assess all potential environmental risks;
2. Experience has shown that mangrove reforestation activities, depending on where and how they are conducted, hold the potential to cause damage to ecosystems.

According to the CI GEF ESMF, Appendix II, paragraph 7, “Any activities that potentially alter habitat (as defined above) should not be sited in areas that potentially have critically endangered species or sensitive ecosystems, i.e. they should be avoided. If it is impossible to avoid such areas, then impacts should be minimized, including via habitat restoration.”

There are four activities (also 3 sub-activities) as part of the project that could cause unforeseen environmental impacts:

Table 2: Project activities and sub-activities

Activity	Description	Sub-activities
Activity 1.1.1 Strengthen and expand community-based mangrove conservation and management to reduce deforestation and increase mangrove restoration.	Support community stewards to better conserve mangroves and their vital ecosystems services for both climate change mitigation and adaptation.	1.1.1.1 Restore mangroves in AUSCEMs and protected areas

<p>Activity 1.2.1 Technical and business development support to mangrove-community associations, with an emphasis on women, youth and other vulnerable groups.</p>	<p>Provide technical and business development support to at least 60 community associations linked to protection of mangroves to design and implement business plans and strategies, including strategies for improving governance and administration, access to finance and to markets for more resilient livelihood strategies.</p> <p>Activities to strengthen and diversify local livelihoods to create economic alternatives aligned with mangrove protection and more resilient to impacts of climate change.</p>	<p>1.2.1.1 Technical and business development assistance to mangrove community associations for development of enterprises and livelihood activities, with an emphasis on women, youth and other vulnerable groups.</p>
<p>Activity 1.2.2 Establish and consolidate financial mechanisms in support of mangrove community associations (micro- and small enterprises).</p>	<p>Use a grant mechanism to support small enterprises of community associations</p>	<p>1.2.2.1 Create and implement grant mechanism for financial and technical support to micro- and small enterprises of mangrove community associations.</p>

Under activities 1.2.1 and 1.2.2, the types of small enterprises to be established are to be defined by communities themselves during project implementation. It is therefore not possible to clearly assess all potential impacts. Under activity 1.1.1 and 2.2.1, mangrove reforestation will be happening. However, the exact boundaries if the locations for reforestation will be determined during implementation, leaving a leftover risk that reforestation causes unplanned adverse environmental impacts. The significance of the risks is considered to be low (see table in section 4.3).

Following the precautionary principle, and in line with the CI GEF ESMF (as cited above) and the GCF’s Environmental and Social Policy²², this Protection of Natural Habitats Plan suggests a number of measures to ensure that potential environmental impacts are avoided, or where this is impossible, mitigated and managed, in line with the GCF’s mitigation hierarchy.

The following sections present the identified risks and mitigation measures, the implementation schedule for the mitigation measures, an estimate of associated cost and plans for monitoring and evaluation. All of this information has been extracted from the Environmental and Social Action Plan included in section 4.3 of the main report.

(3) Identified risks and mitigation measures

The identified risks are presented in the order applied in the limited Environmental and Social Analysis, following the numbering presented in the Environmental and Social Action Plan (section 4.3).

²² Especially section IV Guiding Principles, paragraph (r) on biodiversity, stating that “All GCF-financed activities will be designed and implemented in a manner that will protect and conserve biodiversity and critical habitats, ensure environmental flows of water, maintain the benefits of ecosystem services, and promote the sustainable use and management of living natural resources.”

Risk 2.1 The project may lead to potential adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services from mangrove reforestation.

Explanation: Mangrove reforestation (activities 1.1.1 and 2.2.1), depending on where and how exactly it is done, can cause harm to ecosystems. The analysis of reforestation potential was based on whether or not there has been mangrove vegetation previously and on vulnerability to climate change impacts. The developed maps identifying the locations with mangrove restoration potential identify an area available for mangrove reforestation that is larger than the actual area that will be restored because further refinement of boundaries of restoration areas will be done during project implementation.

Risk significance: Low

Mitigation measures (MM)
MM2.1a) Carry out an assessment on the environmental, social and economic viability of the restoration/reforestation activities to ensure that biodiversity and ecosystem functionality are at least maintained, environmentally appropriate, socially beneficial and economically viable.
MM2.1b) Analyze the current status and use of the areas identified as having potential for reforestation to ensure that <ul style="list-style-type: none"> ● No valuable ecosystem has established since the mangroves were first removed; ● The areas are not currently used for other purposes by local stakeholders; ● Reforestation in these areas will not require manipulation of water flows. ● Reforestation is technically feasible
MM2.1c) Use only native species in mangrove reforestation, as listed in the baseline study, and source seedlings locally;
MM2.1d) Include local and traditional knowledge on mangrove reforestation, e.g. by identifying species important to communities and identify guiding principles for reforestation that are tailored to the local context during mangrove reforestation trainings and AUSCEM exchanges;

(3) Implementation action plan

It should be noted that several of the mitigation measures will be undertaken as part of activities planned for project implementation and included in the main body of the proposal. Consequently, they do not require separate costing in the ESMP. Cost elements related to these mitigation measures are included in the table in section 4.3 and the budget section of the main ESMP document. A full-time restoration specialist will support the mangrove restoration activities, including planning activities that include assessing the environmental, social and economic viability of restoration activities at each site to be restored. In addition, professional services to support planning and preparation for restoration has been included in the budget (\$1,071,542 in total).

Mitigation measures (MM)	Responsible party/person	Schedule
MM2.1a) Carry out an assessment on the environmental, social and economic viability of the restoration/reforestation activities to ensure that biodiversity and ecosystem functionality are at least maintained, environmentally	Restoration Specialist Social Technicians per estuary	Year 1 of restoration at each site. Findings from other MMs under this risk can feed into the analysis.

appropriate, socially beneficial and economically viable.		
MM2.1b) Analyze the current status and use of the areas identified as having potential for reforestation to ensure that <ul style="list-style-type: none"> • No valuable ecosystem has established since the mangroves were first removed; • The areas are not currently used for other purposes by local stakeholders; • Reforestation in these areas will not require manipulation of water flows. • Reforestation is technically feasible 	Restoration Specialist Safeguards Manager and Gender Manager	Year 1 of restoration at each site
MM2.1c) Use only native species in mangrove reforestation, as listed in the baseline study, and source seedlings locally;	Restoration Specialist	Throughout implementation of reforestation activities
MM2.1d) Include local and traditional knowledge on mangrove reforestation, e.g. by identifying species important to communities and identify guiding principles for reforestation that are tailored to the local context during mangrove reforestation trainings and AUSCEM exchanges;	Restoration Specialist Social Technicians per estuary	Throughout implementation of reforestation activities

(4) Stakeholder Engagement: Outlines plan to engage in meaningful, effective and informed consultations with relevant stakeholders, including locally affected groups. Includes information on (a) means used to inform and involve affected people and description of effective processes for receiving and addressing stakeholder concerns and grievances regarding the project’s social and environmental performance.

(5) Monitoring and reporting:

The CI/GCF ESMF requests as a minimum indicator “Hectares of natural and/or critical natural habitats lost or degraded”. The indicator can be found in the action plan and in the below table. In addition, the following indicators will need to be monitored.

Mitigation measures (MM)	Indicator (I)	Target (T)
MM2.1a) Carry out an assessment on the environmental, social and economic viability of the restoration/reforestation activities to ensure that	I2.1.1 Existence of progress report about the assessment.	T2.1.1 Final assessment report confirms that restoration/reforestation activities will be environmentally, socially and economically viable.

<p>biodiversity and ecosystem functionality are at least maintained, environmentally appropriate, socially beneficial and economically viable.</p>		
<p>MM2.1b) Analyze the current status and use of the areas identified as having potential for reforestation to ensure that</p> <ul style="list-style-type: none"> ● No valuable ecosystem has established since the mangroves were first removed; ● The areas are not currently used for other purposes by local stakeholders; ● Reforestation in these areas will not require manipulation of water flows. ● Reforestation is technically feasible 	<p>I2.1.21) Number of maps produced that include information as requested in the target with information on the methodology applied to provide that information.</p>	<p>T2.1.2a) Maps with identified sites for reforestation exist for all four estuaries, confirming that reforestation in selected sites:</p> <ul style="list-style-type: none"> ● Does not lead to disturbance or destruction of valuable ecosystems that established themselves over a long period of time since mangroves were removed. ● Does not conflict with use for other purposes by local stakeholders; ● Will not require manipulation of water flows.
	<p>I2.1.2b) Number of grievances raised in the context of reforestation happening in sites where valuable ecosystems had already established again, reforestation conflicts with current use or water flows have been manipulated. I2.1.2c) Percentage of these grievances that have been resolved satisfactorily.</p>	<p>T2.1.2b) There are no/very few grievances raised in this context and the number decreases over time. T2.1.2c) 100% of grievances raised in this context are concluded satisfactorily.</p>
	<p>I2.1.2d) Hectares of natural and/or critical natural habitats lost or degraded</p>	<p>T2.1.2d) Zero hectares of natural and/or critical natural habitats are lost or degraded</p>
<p>MM2.1c) Use only native species in mangrove reforestation, as listed in the baseline study, and source seedlings locally;</p>	<p>I2.1.3 Percentage of seedlings that are of native species and have been sourced locally (to be calculated from catalogue/registry of purchases).</p>	<p>T2.1.3 All (100%) purchased/sources seedlings are of native species and have been sourced locally. Justification needs to be provided if purchases are not made locally.</p>
<p>MM2.1d) Include local and traditional knowledge on mangrove reforestation, e.g. by identifying species important to communities and identify guiding principles for</p>	<p>I2.1.4a) Number of databases maintained that record species and uses by local communities I2.1.4b) Number of restoration sites that have species planted</p>	<p>T2.1.4a) At least one database maintained that records species and use information derived from discussions with local communities</p>

<p>reforestation that are tailored to the local context during mangrove reforestation trainings and AUSCEM exchanges;</p>	<p>that have been identified by local communities and/or IPs as important to them (based on identification from discussions in trainings and AUSCEM exchanges).</p>	<p>T2.1.4b) All restoration sites include species identified as important to local communities and/or IPs.</p>
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Appendix 4: Process Framework for Restriction of Access to Natural Resources

None of the project components require land acquisition and no resettlement is planned as part of the project.

The present Process Framework for Restriction of Access to Natural Resources has been prepared as a precautionary measure in the case that project activities could lead to economic displacement. This could occur potentially where community associations put in place restrictions regarding mangrove management that restrict access to non-members of the community association.

The objective of this Process Framework for Restriction of Access to Natural Resources (from now on *Process Framework*) is to detail the **procedures** to be followed and the **actions** to be taken in order to minimize, mitigate and/or compensate the potential adverse socioeconomic and cultural impacts of restrictions of access to natural resources. It thus reflects the commitment made by Conservation International and the GCF to affected people and communities to meet obligations arising from such restrictions.

The present plan is required as the planned project includes activities to strengthen community management of mangroves that may result in restrictions of access to natural resources that could lead directly or indirectly to changes in, or even the loss of, traditional/subsistence livelihoods for a limited number of individuals and their families/households. The process framework was developed based on the following understanding:

- According to the CI-GCF ESMF, CI does not support activities that require involuntary resettlement or land acquisition, or the taking of shelter and other assets belonging to local communities or individuals. However, CI may support project-initiated voluntary economic displacement as an exceptional measure where consent of affected communities has been obtained. (CI-GEF ESMF, Appendix IV, paragraphs 1 and 3)
- According to the GCF's Environmental and Social Policy (GCF 2018), "GCF-financed activities will be designed and implemented in a way that avoids or minimizes the need for involuntary resettlement".

1. Project background

The planned project has three components :

Project Component 1: Mangrove areas under effective and climate-adapted management increased, including through community-based management (AUSCEMs) and protected areas implementing climate adaptation plans.

Project Component 2: The private sector becomes a transformational agent for change by reducing GHG emissions and providing financial support to conserve and restore mangroves that increase climate resilience for other coastal populations.

Project Component 3: Create the enabling conditions for sustaining reductions in mangrove deforestation and increased mangrove restoration by strengthening governance, climate change adaptation strategies, coastal management policies, and legal enforcement.

The project design presents several options and modalities for a paradigm shift in the management of coastal zones considering climate change. In addition to its adaptation benefits and socio-economic co-benefits, the project will also have a significant mitigation impact by not only stopping the conversion of

mangroves, salt marshes and coastal forests but also by expanding mangrove forests through restoration activities.

None of the project components require land acquisition and no resettlement is planned as part of the project. However, since there remains a risk that this project may lead to economic displacement under specific circumstances (see section 2), this plan has been prepared as a precautionary measure.

As part of the identification of potential risks of the project, two risks were identified that may entail adverse impacts for those stakeholders whose access to, and use of, natural resources may get restricted as a result of project implementation. These risks are:

Risk	Explanation
<p>R3.1 The project may lead to restricted access or use of resources that people were using (legally or illegally), which could, in the worst case, lead to economic displacement.</p>	<p>Overall, the project aims to improve the economic situation of the local communities. However the renewal, creation and expansion of community areas under AUSCEM agreements means that restrictions could potentially be imposed by community associations that could have a negative economic impact on some people (both AUSCEM members and non-members).</p>
<p>R4.1 The project may lead to potential adverse impacts to afro-descendent communities, Cholos Pescadores and local communities as a result of restricted access to resources they used previously (related to risk R3.1).</p>	<p>For the use of mangrove resources, a mangrove use and custody agreement (AUSCEM) is needed. However the renewal, creation and expansion of community areas under AUSCEM agreements means that restrictions could potentially be imposed by community associations that could have a negative economic impact on some people. The risk is the same as 3.1 above but mentioned separately because in the northern estuaries there are communities identifying as afro-descendent communities and there are individuals identifying as Cholos Pescadores in the southern estuaries of the project area.</p>

2. Legal Framework

The following table summarizes the policies, laws and regulations in place in Ecuador with respect to the topics of immediate relevance to the process framework, i.e. land and resource use rights, displacement, expropriation, Free, Prior and Informed Consent, protected areas and sustainable natural resource use.

Land and resource use rights	
<p>Constitution, Art. 57(4), (5) and (6)</p>	<p>Provides for recognition of indigenous peoples' ownership over their ancestral lands. The Constitution also speaks about their right "to participate in the use, usufruct, administration and conservation of natural <i>renewable</i> resources located on their lands."</p>
<p>Constitution, Art. 321</p>	<p>"Recognizes and guarantees the right to property in all of its forms, whether public, private, community, State, associative, cooperative or mixed-economy, and that it must fulfil its social and environmental role."</p>

<p>Organic Law on Rural Lands and Ancestral Territories 2016, Art. 23</p>	<p>Provides that the state “will recognize and guarantee in favor of communes, communities, peoples and Indigenous nationalities, Afro and Montubios, the right to conserve their community property and to maintain the possession of their ancestral and communal lands and territories to be awarded to them in perpetuity free of charge in accordance with the Constitution, covenants, conventions, declarations and other international instruments of collective rights”. Chapter V of this law further defines ancestral lands based on actual possession and possession since time immemorial and provides for the Agrarian Authority to delimit and title such lands in coordination with the peoples who request it; and when such lands are within protected areas, the Ministry of the Environment does the titling and delimiting in coordination with the Agrarian Authority.</p>
<p>El Código Orgánico de Organización Territorial, Autonomía y Descentralización (COOTAD) (The Organic Code for Territorial Organization, Autonomy and Decentralization (2010), Article 100</p>	<p>Clarifies that such territories of indigenous peoples, communities and nationalities, as well as of Afro-Ecuadorians and Montubios which are found within natural protected areas, continue to be occupied and administered by these communities in communal form, with policies, plans and conservation and protection programs in accordance with their knowledge and ancestral practices that are in conformity with the conservation policies and plans of the State’s System of National Protected Areas. The article further requires that the State adopt the necessary mechanisms to facilitate recognition and legalization of these ancestral territories.</p>
<p>MAE Decreto Ministerial No. 265 (Ministerial Decree No. 265)</p>	<p>Regulates the allocation of lands for individual and collective persons in State Forest Patrimony and Protective Forests. The Decree establishes a specific titling procedure for indigenous peoples and other collectives. Whereas MAG addresses land tenure security (titles) to individuals and collectives outside of these protected areas, this decree places the authority within the MAATE when dealing with protected forest areas and as such, applies in the context of REDD+ programming. Titling processes for indigenous peoples and other collectives is free.</p>
<p>Ley de Gestión Ambiental, Art. 13</p>	<p>The Provincial Councils and the municipalities can dictate environmental policies, respecting the Constitution and the national regulations regarding the heritage of natural protected areas to determine the uses of the land, being obliged to consult the representatives of the indigenous peoples, Afro-Ecuadorians and local communities for the delimitation, management and administration of the protected areas.</p>
<p>Displacement</p>	
<p>Constitution, Art. 42</p>	<p>Provides that “All arbitrary displacement is forbidden”.</p>
<p>Constitution, Art. 57(11)</p>	<p>Prohibits the displacement from their ancestral lands of Indigenous communities, peoples and nations, the Afro-</p>

	Ecuadorian people, the back-country people (Montubios) of the inland coastal region, and communes.
ICCPR and other treaties	Prohibit forced evictions.
UNDRIP, Art. 10	Provides that indigenous peoples should not be forcibly removed from their lands or Territories without their FPIC and a prior agreement on just and fair compensation and, where possible, with the option of return.
Expropriation	
Código Orgánico de Organización Territorial, Autonomía y Descentralización (Organic Code on Territorial Organization, Autonomy and Decentralization)	Section 7 provides that “In order to execute social development plans, to promote programs of urbanization and housing of social interest, manage sustainable environment and collective well-being, the regional, provincial, municipal government, for reasons of public utility or social interest, may declare the expropriation of property, just prior compensation and payment in accordance with the Law.”
Ley Orgánica de Tierras Rurales y Territorios Ancestrales (2016) (Organic Law on Rural Lands and Ancestral Territories), Art. 32	Establishes that the Autoridad Agraria Nacional (National Agrarian Authority) has the authority “[t]o affect, to declare of public utility or of social interest; or expropriate rural land of private domain that do not comply with social function or environmental function, or constituting latifundio as provided for in this Law.” There appears to be different forms of expropriation, the “for public utility” type and agrarian expropriations for specific listed circumstances –not necessarily public utility. There is no reference to expropriations specifically of forest lands. Where processes are described in this law, the Agrarian Development Law and the Organic Code on Territorial Organization, Autonomy and Decentralization, the expropriation is based on law, provides for a valuation for due compensation, and appears to provide for a right of appeal
Ley de Desarrollo Agrario (Codification to the law of Agrarian development, Arts. 36 and 37	Establishing the creation of the National Institute of Agrarian Development (INDA) and authorizing it to declare the expropriation of lands (tierras rústicas) in specific circumstances. Also provides a procedure in its chapter V.
Free, Prior and Informed Consent	
Constitution, Art. 57(7)	Provides that “If consent of the consulted community is not obtained, steps provided for by the Constitution and the law shall be taken.”
UNDRIP, Art. 10	Provides that indigenous peoples should not be forcibly removed from their lands or Territories without their FPIC and a prior agreement on just and fair compensation and, where possible, with the option of return.”
Other international conventions and treaties	The right to consultation and consent is affirmed by various international treaties to which Ecuador is a party and for which it

	has duties and responsibilities to fulfil, including ICCPR, ICESCR, ICERD, the American Convention on Human Rights and ILO 169.
Protected areas	
The Constitution, Art. 405	“The national system of protected areas shall guarantee the conservation of biodiversity and the maintenance of ecological functions. The system shall be comprised of state, decentralized autonomous, community and private subsystems, and it shall be directed and regulated by the State. The State shall allocate the financial resources needed to ensure the system’s financial sustainability and shall foster the participation of the communities, peoples, and nations who have their ancestral dwelling places in the protected areas in their administration and management. Foreign natural persons or legal entities will not be able to acquire any land deeds or concessions in areas of national security or protected areas, in accordance with the law.”
The Constitution, Art. 405	Activities for the extraction of non-renewable natural resources are forbidden in protected areas and in areas declared intangible assets, including forestry production. Exceptionally, these resources can be tapped at the substantiated request of the President of the Republic and after a declaration of national interest issued by the National Assembly, which can, if it deems it advisable, convene a referendum.
Código Orgánico Ambiental, Libro Segundo del Patrimonio Natural, Article 99	It will be in the public interest to preserve, protect and restore the moors, moretales and mangrove ecosystem. It is forbidden to damage them, cut them down and change their land use, in accordance with the law. The communes, communities, peoples, nationalities and colectivos will participate in the care of these ecosystems and shall inform the competent authority of any violation or destruction of them.
Código Orgánico Ambiental, Libro Segundo del Patrimonio Natural, Article 103	The mangrove ecosystem is a state asset that is outside of trade, is not subject to possession or any other means of appropriation, and on it the domain or any other property right may be acquired by prescription; and only may be exploited sustainably by means of a concession granted or renewed by the Ministry of Fisheries. The communes, communities, peoples and ancestral nationalities may request "Sustainable Use and Mangrove Custody Agreement" for their livelihood, use and exclusive marketing of fish, mollusks and crustaceans, among other species, which develop in this habitat. ...
Sustainable natural resource use	

Código Orgánico Integral Penal (2014) (Comprehensive Organic Criminal Code) (COIP), Art. 93.	Provides that the “management of the National Forest Heritage will be carried out within the framework of the following fundamental provisions: ...6. Sustainable forest management. The National Forest Regime will promote sustainable forest management as a strategy to guarantee the rational use of the natural forest, excluding illegal activities such as extraction, degradation and deforestation.”
Código Orgánico Integral Penal (2014) (Comprehensive Organic Criminal Code) (COIP), Chapter V “Management and Conservation of Natural Forests”, Art. 9	Provides for 9 “[g]eneral provisions for sustainable forest management.”
Acuerdo Ministerial No. 129 (RO No. 283, 21 septiembre 2010) and Acuerdo Ministerial No. 144 (9 agosto 2011).	Provide procedures for the approval and concession of Sustainable Use and Mangrove Custody Agreements in favor of ancestral communities and traditional users.

3. Participatory implementation

As part of AUSCEM implementation supported by the project, identification is needed of where access to natural resources is currently happening illegally and/or unsustainably. For each AUSCEM, clarification is needed on the extent and where restrictions on resource use are needed to achieve the sustainable provision of natural resources from the mangrove ecosystems over time. The process of clarifying the location and magnitude of the issue will also allow identification of the stakeholders that would be affected by stricter application of the law for access and use of these resources.

The mitigation measures that refer to this first step of identifying the magnitude of the issue and the stakeholders affected, their indicators and targets are the following:

Mitigation Measure (MM)	Indicator (I)	Target (T)
Risk 3.1: The project may lead to restricted access or use of resources that people were using prior to project implementation, which could potentially lead to economic displacement		
MM3.1a) Identify all stakeholders affected by such restrictions, with special attention to members of afro-descendent communities and Cholos Pescadores;	I3.1.1 Number of topical stakeholder maps that have been produced to identify affected stakeholders, including the actual number of affected stakeholders and their belonging to any of the particularly vulnerable groups.	T3.1.1 Topical stakeholder maps have been produced for all AUSCEMs within which such restrictions may apply, including a specification of the number of people affected and their belonging to any of the particularly vulnerable groups.
Risk 4.1: The project may lead to restricted access or use of resources that people were using prior to project implementation, which could lead to economic displacement		
MM4.1a) Identify all stakeholders affected by such restrictions, with special attention to members of afro-descendent communities and Cholos Pescadores (= identical to MM3.1a);	I4.1.1 Number of topical stakeholder maps that have been produced to identify affected stakeholders, including the actual number of affected stakeholders and their belonging to any of the particularly vulnerable groups.	T4.1.1 Topical stakeholder maps have been produced for all AUSCEMs within which such restrictions may apply, including a specification of the number of people affected and their belonging to any of the particularly vulnerable groups.

As part of the AUSCEM renewal or creation process, once the stakeholders are identified, a participatory social, biological and ecological assessment will be conducted in a form appropriate for the Indigenous Peoples and local communities to inform decision-making regarding the following:

- The restrictions that will apply in the future
- Mutually acceptable levels of resource use (if applicable)
- Management arrangements, and
- Measures to address impacts on Indigenous Peoples and local communities.

Such participatory social, biological and ecological assessment would also create an understanding of

- a) The cultural, social, economic, and geographic context affected stakeholders are facing;
- b) The types, patterns and extent of (illegal) natural resource use (and use by men and women);
- c) Customary natural resource use rights;
- d) Local and indigenous knowledge of biodiversity and natural resource use;
- e) Potential existing tensions between affected stakeholders and other natural resource users in the area.

The mitigation measures that refer to this step, their indicators and targets are the following (extract from chapter 4.3 of the ESMP):

Mitigation Measure (MM)	Indicator (I)	Target (T)
Risk 3.1: The project may lead to restricted access or use of resources that people were using prior to project implementation, which could potentially lead to economic displacement		
MM3.1c) Consult with any affected stakeholders, applying a culturally appropriate and gender-sensitive approach, to develop a socioeconomic assessment and analysis showing quantifiable impact of restrictions on their livelihoods that can be used to inform and negotiate and identify solution options for inclusion in the refined Process Framework and the Plan for Afro-descendent communities and Cholos Pescadores;	I3.1.3 Number of socio-economic assessments that include solution options identified in a participatory manner for each of the AUSCEMs and that have been incorporated in the refined Process Framework.	T3.1.3 Solution options that were identified in stakeholder consultations in AUSCEM areas have been incorporated into the refined Process Framework.
Risk 4.1: The project may lead to potential adverse impacts to afro-descendent communities, Cholos Pescadores and local communities as a result of restricted access to resources they used previously (same as risk R3.1).		
All mitigation measures MM3.1a to 3.1h apply to IPs as well as all communities		
MM4.1a Include Afro-descendent communities and Cholos Pescadores in the decisions on the implementation of the project.	I4.1.1 Number and percentage of IP groups represented on the Estuary Advisory Committees	T4.1.1 Afro-descendent and Cholos Pescadores communities are represented on each of the Estuary Advisory Committees for the estuaries where they are present.

All of the above information could inform a refined Process Framework but also a more detailed Restriction of Access to Natural Resources Plan (see CI GCF ESMF), should it be decided that such a plan needs to be developed. This plan should also describe the roles and responsibilities of stakeholders and the methods of participation and decision-making applied.

4. Eligibility criteria

According to the CI-GCF ESMF, affected stakeholders should participate during project implementation in establishing criteria for eligibility for assistance to mitigate adverse impacts and at least restore livelihoods. The following *preliminary criteria* can be used as a basis to further work from, together with affected stakeholders, to ensure that their needs are met.

Suggested preliminary eligibility criteria

The process framework is applicable to

1. Those individuals who have no legal right to access and/or use the resources within the AUSCEM areas that are included in the project, and
2. Whose households depend on access to and/or use of the resources within AUSCEMs for subsistence at the time of the start of the AUSCEM restrictions, and
3. Who will be adversely impacted by or will not be able to remain where they have their housing at the time of the start of the AUSCEM restrictions as a result of the resource access and use restrictions that apply and that are enforced by the AUSCEM.

The suggested preliminary criteria 2 and 3 above include as an important detail a suggestion for a cut-off date, here “at the time of the start of the project”. This is to ensure that other stakeholders will not feel encouraged to start illegal activities upon learning about the efforts made by the project to assist affected stakeholders and provide a certain level of compensation. However, this cut-off date must be communicated at the earliest possible point in time, so that all stakeholders are aware of the regulation.

If there are affected stakeholders meeting the above criteria then it should be recognized that whole households are affected and thus several household members should be included the process since may have different perspectives. For example, it may be that mostly men are identified as those entering an AUSCEM area and extracting natural resources (e.g. because more men than women are involved in collection of shellfish), but it is likely that the use, trade, or consumption of these resources is maintaining a household nearby or elsewhere. As a consequence, the situation of all members of the household, including women, children (e.g. access to education), elderly or sick family members (access to health care), should be taken into account.

5. Measures to assist affected persons

The mitigation measures included in earlier chapters already referred to the identification of affected stakeholders, highlighted the importance to consider such affected stakeholders as affected households and involve all of them in in-depth consultation to further refine the process framework.

Mitigation measure (MM)	Indicator (I)	Target (T)
Risk 3.1: The project may lead to restricted access or use of resources that people were using prior to project implementation, which could lead to economic displacement		
MM3.1b) Consult with stakeholders on the need/measures for conservation and identify those measures that can lead to restrictions/economic displacement	I3.1.2 Revised Process Framework that incorporates conservation measures with restrictions/economic displacement voluntarily agreed upon with stakeholders, and compensation arrangements (if any)	T3.1.2 One Revised Process Framework that incorporates conservation measures with restrictions/economic displacement voluntarily agreed upon with stakeholders, and compensation arrangements (if any)
MM3.1d) Explore opportunities to maintain engagement of affected stakeholders in project activity 1.1, and include identified opportunities in the Process Framework and the Plan for Afro-descendent communities and Cholos Pescadores;	I3.1.4 Percentage of affected stakeholders voluntarily involved with bio-enterprises that were established as part of the project or through another voluntary agreement.	T3.1.4 100% of affected stakeholders are voluntarily involved with the project through bio-enterprises that were established as part of the project or through another voluntary agreement.
MM3.1e) Where economic displacement is inevitable, keep stakeholders engaged throughout the process of further defining and implementing the Process Framework (see Appendix 4), including a process to seek FPIC	I3.1.5 Percentage of AUSCEM where economic resettlement is necessary that issue annual reports confirming continued engagement of affected stakeholders as detailed in the Process Framework.	T3.1.5 All final reports from implementation of the Process Framework in the AUSCEM where economic displacement happened include a summary of how affected stakeholders were engaged throughout the process.

and identify resettlement sites and modalities, in case resettlement is inevitable;		
MM3.1f) Seek Free, Prior and Informed Consent from affected stakeholders, following an FPIC procedure that has been previously agreed in a participatory manner and in line with CI's Guidelines for Applying Free, Prior and Informed Consent;	I3.1.6 Number of estuaries in which FPIC has been sought from affected stakeholders in line with CI's FPIC Procedure (documentation should be provided)	T3.1.6 FPIC has been sought from all affected stakeholders in all four estuaries.
MM3.1g) Implement a Process Framework that has been agreed upon by local communities to which it applies, including the Afro-descendant communities and Cholos Pescadores	I3.1.7 Percentage of AUSCEM where restrictions lead to adverse impacts on local stakeholders that submit annual reports on progress with implementation of the Process Framework and the Plan for Afro-descendant communities and Cholos Pescadores.	T3.1.7 All (100%) of AUSCEM where restrictions lead to adverse impacts on local stakeholders issue annual progress reports on the implementation of the Process Framework and the Plan for Afro-descendant communities and Cholos Pescadores.
MM3.1h) Implement the project-specific Grievance Redress Mechanism and trace complaints in the context of economic displacement to ensure satisfactory follow up and conclusion of complaints.	I3.1.8a) Number of complaints raised through the GRM in the context of economic displacement. I3.1.8b) Percentage of complaints from I3.1.8a) for each AUSCEM that were concluded satisfactorily.	T3.1.8a) There are no complaints in the context of economic displacement or the number is very low and decreasing over time. T3.1.8b) All (100%) of complaints are concluded satisfactorily.
Risk 4.1: The project may lead to restricted access or use of resources that people were using prior to project implementation, which could lead to economic displacement		
All mitigation measures MM3.1a to 3.1h apply to IPs as well as all communities		
MM4.1a Include Afro-descendant communities and Cholos Pescadores in the decisions on the implementation of the project.	I4.1.1 Number and percentage of IP groups represented on the Estuary Advisory Committees	T4.1.1 Afro-descendant and Cholos Pescadores communities are represented on each of the Estuary Advisory Committees for the estuaries where they are present.

In implementing the above measures, the objective is to at least restore, if not improve the livelihoods of affected stakeholders. There may be cases where affected stakeholders “may agree to restrictions without identifying one-for-one mitigation measures as they may see the long-term benefits of improved natural resource management and conservation”

Possible measures to offset losses may include:

- a) Special measures for recognition and support of customary rights to land and natural resources;
- b) Transparent, equitable, and fair ways of more sustainable sharing of the resources;
- c) Access to alternative resources or functional substitutes;
- d) Alternative livelihood and income-generating activities;
- e) Health and education benefits;
- f) Obtaining employment, for example as park rangers or eco-tourist guides; and
- g) Technical assistance to improve land and natural resource use, and marketing of sustainable products and commodities.

6. Conflict resolution and complaint mechanism

A project-specific Grievance Redress Mechanism has been designed to register, address, and monitor project-related grievances (see section 7 in main part of the ESMP). As part of this mechanism, a complaint typology will be established, which will allow to not only monitor the total number of grievances over time, but also to distinguish between broad categories of grievances. These categories include “economic displacement” and “restricted access to and use of resources”. This way, not only will complaints in the context of these two topics be addressed individually, but it will also be possible to monitor the complaint category over time and adjust the present plan as needed.

As described in section 7 of the main part of the ESMP, where the project-specific Grievance Redress Mechanism does not result in a satisfactory conclusion of the grievance, affected individuals and households can refer to CI's Ethics Hotline or GCF's Independent Redress Mechanism.

7. Institutional arrangements for implementation

Staff responsibilities for the implementation of the mitigation measures are included in Section 4.3 of the main document.

8. Monitoring and evaluation

The mitigation measures introduced in earlier chapters of this process framework already include the respective indicators and targets. Some indicators are only relevant at an early phase of project implementation, such as the ones on identifying affected stakeholders. Others, however, will need regular follow-up over the course of the entire project, such as the ones on grievances received on select topics. For those, it has been decided that an adequate and feasible monitoring interval is six months so that progress can be reported in the form of biannual ESMP reports.

In addition, the CI-GCF ESMF requests the following five minimum indicators for Process Frameworks:

- i. Number of persons whose access to and use of natural resources have been voluntarily restricted
- ii. Number of persons whose access to and use of natural resources have been involuntarily restricted
- iii. Percentage of persons who gave their consent for voluntary restrictions
- iv. Percentage of persons who have received compensation for voluntary restrictions
- v. Percentage of persons who have received compensation for involuntary restrictions

Since FPIC is a requirement as part of the implementation of the Process Framework, the targets for indicators i. and iii. should be 100% and the target for indicators ii. and v. should be 0. The target for indicator iv. depends on further detail regarding the need for and modalities of compensation.

Local communities will be involved with monitoring activities, e.g. through the management plans of the AUSCEMS.

9. Cost of implementation

The costs of implementation of the ESMP are covered in section 4.3 of the main document.

Appendix 5: Plan for Afro-descendent Communities and Cholos Pescadores

1. Executive Summary

The project aims to reduce flood risks through community-based management and climate resilient economic development, reduce GHG emissions and increase climate resilience by improving production methods and supporting increases in areas of conserved and restored mangroves and reduce mangrove deforestation and promote restoration through implementation of climate change adaptation strategies, coastal management policies and legal enforcement.

The project design presents several options and modalities for a paradigm shift in the management of coastal zones considering climate change. In this sense, the communities and vulnerable groups in the project area are identified as Afro-descendent Communities and Cholos Pescadores.

The four provinces Guayas, El Oro, Esmeraldas and Manabí jointly include 14 cantons, 37 parishes, and 150 census tracts (i.e. the smallest unit in which census numbers are gathered). The total population in the four estuaries along the coastline in 2010 (last national census) amounted to 26,759 (INEC 2010). Thereof, more than 12,500 inhabit the Estuary of Río Guayas, followed by 7,400 in the Muisne-Cojimíes Estuary, 3,461 in the Archipelago de Jambelí and 3,261 in the Estuary Cayapas-Mataje.

Ecuador's coast is home to some of the country's poorest and most vulnerable communities for whom mangrove conservation and restoration provides the only economically and technically feasible approach to protection from climate change-related flooding and storm impacts. Currently about 45% of the people in and around the mangrove areas live in extreme poverty. Apart from the provisioning ecosystem services provided by the mangrove ecosystems, there are also regulating, supporting and cultural ecosystem services provided by the mangroves; as well as, from shrimp cultivation, the catching of different types of shellfish (concha prieta, concha negra (*Anadara tuberculosa*) and concha macho, mica (*Anadara similis*) is a widespread activity of the coastal communities.

The envisioned project is embedded in and must align with Ecuador's national law, international conventions and treaties, as well as existing national plans and strategies. To ensure that, respective institutional arrangements need to be in place. In addition, the project needs to adhere to the applicable social and environmental safeguards. Since the entire project will be developed with the Afro-descendant and Cholos Pescadores communities, the entire set of laws identified in the ESMP (see Section 3) applies or affects these communities in one way or another; this plan details those laws directly related to indigenous peoples' rights and the project's impact on resource use.

The Plan identifies 1 project activity that could have a direct adverse effects on Afro-descendants and Cholos Pescadores. These effects are related to risks in ESS4: Indigenous Peoples and ESS3: Resettlement and Physical and Economic Displacement. For each risk, the plan presents the corresponding mitigation measures including the implementation timeline.

In addition, the Plan presents the different activities conducted as part of the participation, consultation and FPIC processes. The main concerns raised by the key actors resulted during this process were related to mangrove deforestation, how the shrimp farmers will be partners of the project and how Socio Manglar is going to be financed. Considering these results, the plan presents the set of activities and measures considered in the project to ensure the continuation of livelihood activities key to the survival of these communities and their traditional and cultural practices as well as to enable Indigenous Peoples to take advantage of opportunities brought about by the project.

Finally, the plan presents the Grievance Redress mechanism that applies, the monitoring, reporting and evaluation activities related to this plan and the budget needed to implement this plan.

2. The Project

In Ecuador, mangroves represent 52% of the 3630 km long national coastline. The same coastline harbors some of the country's poorest and most vulnerable communities. To them, mangroves provide critical, low-cost sources of income from shrimp, crab and other fisheries, tourism and other local industries. At the same time, the mangroves provide essential natural infrastructure, shaping the resilience and adaptive capacity of the coastal populations to the impacts of climate change.

The concept that mangroves protect coastal communities from coastal hazards is well known in tropical coastal ecology and increasingly by coastal managers (e.g. UNEP-WCMC 2006). Various modelling and mathematical studies, together with in-situ observations, have shown that mangrove forests can attenuate wave energy (e.g. Zhang *et al.* 2012, Pinsky *et al.* 2013), control storm related erosion and reduce storm flooding. These studies indicate that the magnitude of this mangrove protection strongly depends on the characteristics of the mangrove forest. Coastal forest belts, if well designed and managed, have the potential to act as bio-shields for the protection of people, communities and economic sectors against the above-mentioned climate-related coastal hazards (e.g. Das and Vincent 2009). Conservation and restoration of mangroves also provides a very low-cost approach (Blankespoor *et al.* 2016) for addressing climate change impacts.

For the communities along Ecuador's coastline, mangrove conservation and restoration provides the only economically and technically feasible approach to protect themselves from climate change related flooding and storm impacts. The most recent climate change projections indicate that climate change will create significant changes in local environmental conditions along Ecuador's coast, including increases in sea level, El Niño-Southern Oscillation events, intensity and variability of precipitation, flooding, and atmospheric temperatures.

The government of Ecuador has therefore prioritized risk reduction of coastal communities and the provision of ecosystem services by mangrove forests in its National Climate Change Strategy 2012-2025, its National Climate Change Plan 2015-2018 and other national frameworks. Conservation International has been requested by the Government of Ecuador to develop a small- to medium size project for proposal to the Green Climate Fund (GCF) to build resilience and adaptive capacity coordinated across the coastal sectors most vulnerable to climate change, particularly including coastal communities and the fisheries/shrimp sectors. The project is entitled "Transformative Public and Private Partnerships for Climate Change Adaptation and Mitigation through the Protection of Mangroves and Wetlands along Ecuador's Coast".

The planned project has three main outcomes:

Project Component 1: Mangrove areas under effective and climate-adapted management increased, including through community-based management (AUSCEMs) and protected areas implementing climate adaptation plans.

Project Component 2: The private sector becomes a transformational agent for change by reducing GHG emissions and providing financial support to conserve and restore mangroves that increase climate resilience for other coastal populations.

Project Component 3: Create the enabling conditions for sustaining reductions in mangrove deforestation and increased mangrove restoration by strengthening governance, climate change adaptation strategies, coastal management policies, and legal enforcement.

The project design presents several options and modalities for a paradigm shift in the management of coastal zones considering climate change. In addition to its adaptation benefits, the project will also have a significant mitigation impact by not only stopping the conversion of mangroves, salt marshes and coastal forests but also by expanding mangrove forests through restoration activities.

3. Afro-descendent communities and Cholos Pescadores

The baseline information presented below was obtained from documentary review as well as primary data collection through the consultation process as part of the participatory environmental and social risks and impacts assessment process.

i. Description of the communities and vulnerable groups

Ecuador's national law does not specifically define the term "Indigenous Peoples", however, Ecuador has ratified ILO 169 and UNDRIP, which include definitions. The term "local communities" is also not explicitly defined, but various Ecuadorian policies, laws and regulations, including the Constitution, refer not only to indigenous peoples, but Afro-Ecuadorian people, the back-country people (Montubios) of the inland coastal region, and communes of Ecuador.

Ecuador is home to 14 indigenous peoples' groups, 19 villages of Kichwa nationality, one afro-descendent community distributed over Ecuador's coastal, mountain and Amazon region and one community composed of people of mainly white-mestizo origin, which includes the Cholos, Montubios, and Chagras, among others (Ministerio de Cultura y Patrimonio 2014). Within Ecuador's coastal provinces, members of the Afro-descendent community can be found, as well as people self-identifying as Montubios and Cholos. However, Montubios are mainly to be found in the inland coastal region and therefore not within the project area.

The four provinces Guayas, El Oro, Esmeraldas and Manabí jointly include 14 cantons, 37 parishes, and 150 census tracts (i.e. the smallest unit in which census numbers are gathered). The total population in the four estuaries along the coastline in 2010 (last national census) amounted to 26,759 (INEC 2010). Thereof, more than 12,500 inhabit the Estuary of Río Guayas, followed by 7,400 in the Muisne-Cojimíes Estuary, 3,461 in the Archipelago de Jambelí and 3,261 in the Estuary Cayapas-Mataje.

Afro-descendent communities in the four provinces totaled 428,422 inhabitants. Afro-descendent individuals and communities make up most of the project beneficiaries in the two northern estuaries within the project area but are mostly absent from the two southern estuaries. On the other hand, the composition of the population according to ethnic condition and gender shows certain particularities. At the national level, Afro-Ecuadorians have a rate of 106.7 men for every 100 women; in this case, the highest proportion of men over women occurs systematically in all age groups²³. The "Cholos Pescadores", are a socio-ethnic group living along the coast in the provinces of Guayas, Santa Elena and Manabí, and therefore do reside in the project area. They descended from the indigenous groups of the coast, which disappeared as a result of the colonial influence, due to epidemic diseases and other causes. Just like their pre-Colombian ancestors, and as reflected in their name, the primary economic activity of the Cholos Pescadores is fishing, which they do with great success, using mostly traditional fishing tools and methods. The Ecuadorian National Institute for Statistics and Census (INEC) in their 2010 census did not include a number for how many Cholos Pescadores are present in the coastal provinces. This is because they are not mentioned separately in Ecuador's Constitution. In the most recent census (2022), the Cholos

²³ CEPAL. "Población indígena y afroecuatoriana en Ecuador: Diagnóstico sociodemográfico a partir del censo de 2001". 2015.

Pescadores were also not included as a separate ethnic group²⁴. Since the Cholos do fall under the GCF definition of Indigenous Peoples²⁵, just like afro-descendent communities, we consider that the GCF's Indigenous Peoples Policy applies to both of them.

Because of the above, although it is known that Cholos Pescadores are present in the project area (e.g. in the Gulf of Guayaquil and around Muisne), it is unfortunately impossible to say how many there are. Regarding the Afro-Ecuadorian population, some more information is available, if scattered. For example, Afro-Ecuadorian people are present in the area around Muisne and the population in and around the 44,000 km² Cayapas-Mantaje Mangrove Ecological Reserve is to a large extent Afro-Ecuadorian (Hamilton 2011), consisting of 44 communities (Ministerio del Ambiente de Ecuador 2014).

ii. Livelihoods

The mangrove ecosystems along Ecuador's coast falls into two different ecoregions, the humid forests of the Chocó (Mangroves of the Chocó) and the mangroves of the South American Pacific (equatorial zone, Cornejo 2014). In the last four decades, deforestation of mangroves in Ecuador has been dramatic; main reasons for losing mangrove forest cover within the protected areas along Ecuador's coastline between 2014 and 2018 include the expansion of the shrimp industry, followed by conversion into areas without vegetation cover and agricultural and livestock areas.

Ecuador's coast is home to some of the country's poorest and most vulnerable communities for whom mangrove conservation and restoration provides the only economically and technically feasible approach to protection from climate change-related flooding and storm impacts. Currently about 45% of the people in and around the mangrove areas live in extreme poverty. The illiteracy rate is high, reaching about 27% in the Muisne-Cojimíes Estuary, 26% in the Cayapas-Mataje Estuary, 23% in the River Guayas Estuary and 9% in the Archipelago de Jambelí.

Apart from the provisioning ecosystem services provided by the mangrove ecosystems, there are also regulating, supporting and cultural ecosystem services provided by the mangroves. Stakeholder workshops in the Guayas River Estuary and in Esmeraldas revealed that a large share of the population perceives these different ecosystem services as important.

Apart from shrimp cultivation, the catching of different types of shellfish (concha prieta, concha negra (*Anadara tuberculosa*) and concha macho, mica (*Anadara similis*) is a widespread activity of the coastal communities. Due to a high national and still increasing demand for shellfish, these activities provide income to a substantial number of people along the coast, e.g. to about 2,000 people in the province of

²⁴ As of October 2023, only the high level results of the census have been published and therefore more up-to-date population estimates are not yet available.

²⁵ The GCF in its Indigenous Peoples' Policy, paragraph 14, defines that: In this Policy, the term "indigenous peoples" is used in a generic sense to refer to a distinct social and cultural group possessing the following characteristics in varying degrees: a) Self-identification as members of a distinct indigenous social and cultural group and recognition of this identity by others; b) Collective attachment to geographically distinct habitats, ancestral territories, or areas of seasonal use or occupation as well as to the natural resources in these areas; c) Customary cultural, economic, social, or political systems that are distinct or separate from those of the mainstream society or culture; and d) A distinct language or dialect, often different from the official language or languages of the country or region in which they reside. This includes a language or dialect that has existed but does not exist now due to impacts that have made it difficult for a community or group to maintain a distinct language or dialect. Paragraphs 15 and 16 further state that GCF respects self-identification as indigenous or tribal as a fundamental criterion and recognizes that such groups can be named differently, including "Afro-descendent communities of South America and the Caribbean".

Guayas (Gobierno Provincial del Guayas 2018). Intensive shrimp cultivation, however, can negatively affect the availability of shellfish, especially where heavy machinery is used for the maintenance and expansion of shrimp pools.

Tilapia fish cultivation has also become increasingly important as a source of income, especially since the disease that befell shrimp in 1995 caused the abandonment of large areas previously used for shrimp cultivation that then facilitated the introduction of tilapia cultivation. Apart from the national market, tilapia also gets sold on the international market, with China, the United States, Indonesia and Brazil being the countries with the highest consumption levels. (Gobierno Provincial del Guayas 2018)

4. Substantive Rights and Legal Framework

The envisioned project is embedded in and must align with Ecuador's national law, international conventions and treaties, as well as existing national plans and strategies. To ensure that, respective institutional arrangements need to be in place. In addition, the project needs to adhere to the applicable social and environmental safeguards.

Regarding the hierarchical order of application of regulations, Article 424 of the Constitution provides that the "The Constitution and international human rights treaties ratified by the State that recognize rights that are more favorable than those enshrined in the Constitution shall prevail over any other legal regulatory system or action by public power". Article 425 (Official Register No. 449, 20 October 2018) further defines that the Constitution represents the highest applicable law, followed by international treaties and conventions (apart from those on human rights, see Article 424), organic laws, ordinary laws and regulations; agreements and resolutions, and other acts and decisions of the public authorities.

Regarding international treaties and conventions of relevance in the context of the project and applicable safeguards, Ecuador is a signatory to a number of Multilateral Environmental Agreements²⁶, international Human Rights Treaties²⁷, instruments in place under the Inter-American Commission on Human Rights²⁸ and Conventions of the International Labor Organization (ILO)²⁹.

The Project does not involve activities that are contingent on the recognition of the juridical personality of the affected Indigenous Peoples. Since the Cholos do fall under the GCF definition of Indigenous Peoples³⁰, just like afro-descendent communities, we consider that the GCF's Indigenous Peoples Policy applies to both of them. The national law does not define expressly who are indigenous peoples, but

²⁶ <https://www.informea.org/en/countries/EC/parties>

²⁷ <http://hrlibrary.umn.edu/research/ratification-ecuador.html>

²⁸ http://www.oas.org/en/iachr/mandate/basic_documents.asp

²⁹ https://www.ilo.org/dyn/normlex/en/f?p=NORMLEXPUB:11200:0::NO::P11200_COUNTRY_ID:102616

³⁰ The GCF in its Indigenous Peoples' Policy, paragraph 14, defines that: In this Policy, the term "indigenous peoples" is used in a generic sense to refer to a distinct social and cultural group possessing the following characteristics in varying degrees: a) Self-identification as members of a distinct indigenous social and cultural group and recognition of this identity by others; b) Collective attachment to geographically distinct habitats, ancestral territories, or areas of seasonal use or occupation as well as to the natural resources in these areas; c) Customary cultural, economic, social, or political systems that are distinct or separate from those of the mainstream society or culture; and d) A distinct language or dialect, often different from the official language or languages of the country or region in which they reside. This includes a language or dialect that has existed but does not exist now due to impacts that have made it difficult for a community or group to maintain a distinct language or dialect. Paragraphs 15 and 16 further state that GCF respects self-identification as indigenous or tribal as a fundamental criterion and recognizes that such groups can be named differently, including "Afro-descendent communities of South America and the Caribbean".

Ecuador’s ratification of ILO 169 suffices to provide a definition (see Art. 1 of ILO 169). Local communities are also not expressly defined, but **various PLRs, including the Constitution, refer not only to indigenous peoples, but Afro-Ecuadorian people, the back-country people (Montubios) of the inland coastal region, and communes of Ecuador.** The GCF’s broad definition of Indigenous Peoples (see section 2.3 in the main body of the ESMP) includes, at the very least, the Afro-Ecuadorian communities and Cholos Pescadores, if not all local communities along Ecuador’s coastline, which means that GCF’s Indigenous Peoples policy applies.

Since the entire project will be developed with the Afro-descendant and Cholos Pescadores communities, the entire set of laws identified in the ESMP (see Section 3) applies or affects these communities in one way or another. However, this section details only those laws directly related to indigenous peoples’ rights and the project’s impact on resource use.

Table XX: Summary of Ecuador’s legal framework directly related to Indigenous Peoples Rights

ESS 3: Resettlement and Physical and Economic Displacement	
Land and resource use rights	
Constitution, Art. 57(4), (5) and (6)	Provides for recognition of indigenous peoples’ ownership over their ancestral lands. The Constitution also speaks about their right “to participate in the use, usufruct, administration and conservation of natural <i>renewable</i> resources located on their lands.”
Constitution, Art. 321	“Recognizes and guarantees the right to property in all of its forms, whether public, private, community, State, associative, cooperative or mixed-economy, and that it must fulfil its social and environmental role.”
Organic Law on Rural Lands and Ancestral Territories 2016, Art. 23	Provides that the state “will recognize and guarantee in favor of communes, communities, peoples and Indigenous nationalities, Afro and Montubios, the right to conserve their community property and to maintain the possession of their ancestral and communal lands and territories to be awarded to them in perpetuity free of charge in accordance with the Constitution, covenants, conventions, declarations and other international instruments of collective rights”. Chapter V of this law further defines ancestral lands based on actual possession and possession since time immemorial and provides for the Agrarian Authority to delimit and title such lands in coordination with the peoples who request it; and when such lands are within protected areas, the Ministry of the Environment does the titling and delimiting in coordination with the Agrarian Authority.
El Código Orgánico de Organización Territorial, Autonomía y Descentralización (COOTAD) (The Organic Code for Territorial Organization, Autonomy and	Clarifies that such territories of indigenous peoples, communities and nationalities, as well as of Afro-Ecuadorians and Montubios which are found within natural protected areas, continue to be occupied and administered by these communities in communal form, with policies, plans and conservation and protection programs in accordance with their knowledge and ancestral practices that are in conformity with the conservation policies and plans of the State’s System of National Protected Areas. The

Decentralization (2010), Article 100	article further requires that the State adopt the necessary mechanisms to facilitate recognition and legalization of these ancestral territories.
MAE Decreto Ministerial No. 265 (Ministerial Decree No. 265)	Regulates the allocation of lands for individual and collective persons in State Forest Patrimony and Protective Forests. The Decree establishes a specific titling procedure for indigenous peoples and other collectives. Whereas MAG addresses land tenure security (titles) to individuals and collectives outside of these protected areas, this decree places the authority within the MAATE when dealing with protected forest areas and as such, applies in the context of REDD+ programming. Titling processes for indigenous peoples and other collectives is free.
Ley de Gestión Ambiental, Art. 13	The Provincial Councils and the municipalities can dictate environmental policies, respecting the Constitution and the national regulations regarding the heritage of natural protected areas in order to determine the uses of the land, being obliged to consult the representatives of the indigenous peoples, Afro-Ecuadorians and local communities for the delimitation, management and administration of the protected areas.
Displacement	
Constitution, Art. 42	Provides that “All arbitrary displacement is forbidden”.
Constitution, Art. 57(11)	Prohibits the displacement from their ancestral lands of Indigenous communities, peoples and nations, the Afro-Ecuadorian people, the back-country people (Montubios) of the inland coastal region, and communes.
ICCPR and other treaties	Prohibit forced evictions.
UNDRIP, Art. 10	Provides that indigenous peoples should not be forcibly removed from their lands or Territories without their FPIC and a prior agreement on just and fair compensation and, where possible, with the option of return
Expropriation	
Código Orgánico de Organización Territorial, Autonomía y Descentralización (Organic Code on Territorial Organization, Autonomy and Decentralization)	Section 7 provides that “In order to execute social development plans, to promote programs of urbanization and housing of social interest, manage sustainable environment and collective well-being, the regional, provincial, municipal government, for reasons of public utility or social interest, may declare the expropriation of property, just prior compensation and payment in accordance with the Law.”
Ley Orgánica de Tierras Rurales y Territorios Ancestrales (2016) (Organic Law on Rural Lands and Ancestral Territories), Art. 32	Establishes that the Autoridad Agraria Nacional (National Agrarian Authority) has the authority “[t]o affect, to declare of public utility or of social interest; or expropriate rural land of private domain that do not comply with social function or environmental function, or constituting latifundio as provided for

	in this Law.” There appears to be different forms of expropriation, the “for public utility” type and agrarian expropriations for specific listed circumstances –not necessarily public utility. There is no reference to expropriations specifically of forest lands. Where processes are described in this law, the Agrarian Development Law and the Organic Code on Territorial Organization, Autonomy and Decentralization, the expropriation is based on law, provides for a valuation for due compensation, and appears to provide for a right of appeal
Ley de Desarrollo Agrario (Codification to the law of Agrarian development, Arts. 36 and 37	Establishing the creation of the National Institute of Agrarian Development (INDA) and authorizing it to declare the expropriation of lands (tierras rústicas) in specific circumstances. Also provides a procedure in its chapter V.
Free, Prior and Informed Consent	
Constitution, Art. 57(7)	Provides that “If consent of the consulted community is not obtained, steps provided for by the Constitution and the law shall be taken.”
UNDRIP, Art. 10	Provides that indigenous peoples should not be forcibly removed from their lands or Territories without their FPIC and a prior agreement on just and fair compensation and, where possible, with the option of return.”
Other international conventions and treaties	The right to consultation and consent is affirmed by various international treaties to which Ecuador is a party and for which it has duties and responsibilities to fulfil, including ICCPR, ICESCR, ICERD, the American Convention on Human Rights and ILO 169.
ESS 4: Indigenous Peoples	
Definition	
The national law does not define expressly who are Indigenous peoples, but Ecuador’s ratification of ILO 169 suffices to provide a definition (see Art. 1 of ILO 169). Local communities are also not expressly defined, but various PLRs, including the Constitution, refer not only to indigenous peoples, but Afro-Ecuadorian people, the back-country people (Montubios) of the inland coastal region, and communes of Ecuador. The GCF’s broad definition of Indigenous Peoples (see section 2.3) includes, at the very least, the Afro-Ecuadorian communities and Cholos Pescadores, if not all local communities along Ecuador’s coastline, which means that GCF’s Indigenous Peoples policy applies.	
Collective rights	
Article 57 of the Constitution provides that for ancestral, indigenous, Afro-Ecuadorian and coastal back-country (Montubios) peoples, in conformity with the Constitution and human rights agreements, conventions, declarations and other international instruments, the following collective rights are recognized and guaranteed:	
1. To freely uphold, develop and strengthen their identity, feeling of belonging, ancestral traditions and forms of social organization.	

2. To not be the target of racism or any form of discrimination based on their origin or ethnic or cultural identity.
3. To recognition, reparation and compensation for community groups affected by racism, xenophobia and other related forms of intolerance and discrimination.
4. To keep ownership, without subject to a statute of limitations, of their community lands, which shall be unalienable, immune from seizure and indivisible. These lands shall be exempt from paying fees or taxes.
5. To keep ownership of ancestral lands and territories and to obtain free awarding of these lands.
6. To participate in the use, usufruct, administration and conservation of natural renewable resources located on their lands.
7. To free prior informed consultation, within a reasonable period of time, on the plans and programs for prospecting, producing and marketing non-renewable resources located on their lands and which could have an environmental or cultural impact on them; to participate in the profits earned from these projects and to receive compensation for social, cultural and environmental damages caused to them. The consultation that must be conducted by the competent authorities shall be mandatory and in due time. If consent of the consulted community is not obtained, steps provided for by the Constitution and the law shall be taken.
8. To keep and promote their practices of managing biodiversity and their natural environment. The State shall establish and implement programs with the participation of the community to ensure the conservation and sustainable use of biodiversity.
9. To keep and develop their own forms of peaceful coexistence and social organization and creating and exercising authority, in their legally recognized territories and ancestrally owned community lands.
10. To create, develop, apply and practice their own legal system or common law, which cannot infringe constitutional rights, especially those of women, children and adolescents.
11. To not be displaced from their ancestral lands.
12. To uphold, protect and develop collective knowledge; their science, technologies and ancestral wisdom; the genetic resources that contain biological diversity and agricultural biodiversity; their medicine and traditional medical practices, with the inclusion of the right to restore, promote, and protect ritual and holy places, as well as plants, animals, minerals and ecosystems in their territories; and knowledge about the resources and properties of fauna and flora. All forms of appropriation of their knowledge, innovations, and practices are forbidden.
13. To uphold, restore, protect, develop and preserve their cultural and historical heritage as an indivisible part of Ecuador's heritage. The State shall provide resources for this purpose.
14. To develop, strengthen, and upgrade the intercultural bilingual education system, on the basis of criteria of quality, from early stimulation to higher levels of education, in conformity with cultural diversity, for the care and preservation of identities, in keeping with their own teaching and learning methodologies. A teaching career marked by dignity shall also be guaranteed. Administration of this system shall be collective and participatory, with rotation in time and space, based on community monitoring and accountability.

15. To build and uphold organizations that represent them, in a context of pluralism and cultural, political, and organizational diversity. The State shall recognize and promote all forms of expression and organization.
16. To participate by means of their representatives in the official organizations established by law to draw up public policies concerning them, as well as design and decide their priorities in the plans and projects of the State.
17. To be consulted before the adoption of a legislative measure that might affect any of their collective rights.
18. To uphold and develop contacts, ties and cooperation with other peoples, especially those that are divided by international borders.
19. To promote the use of garments, symbols and emblems that identify them.
20. To restrict military activities in their territories, in accordance with the law.
21. That the dignity and diversity of their cultures, traditions, histories, and ambitions be reflected in public education and in the media; the creation of their own media in their languages and access to the others without any discrimination. The territories of the peoples living in voluntary isolation are an irreducible and intangible ancestral possession and all forms of extractive activities shall be forbidden there. The State shall adopt measures to guarantee their lives, enforce respect for self-determination and the will to remain in isolation and to ensure observance of their rights. The violation of these rights shall constitute a crime of ethnocide, which shall be classified as such by law. The State shall guarantee the enforcement of these collective rights without any discrimination, in conditions of equality and equity between men and women.

La Norma Técnica para el Control y Seguimiento de Planes de Inversión de Socios Colectivos del Proyecto Socio Bosque, Resolución N° 281 (The Technical Standard for the Control and Monitoring of Investment Plans of Collective Partners of the Socio Bosque Project, Resolution No. 281)

Establishes that "at all times the Ministry of the Environment (MAATE) will observe and guarantee the rights established in Article 57 of the Constitution of the Republic of Ecuador and current International Treaties recognized in favor of indigenous communities, peoples and nationalities."

Traditional knowledge

Código Orgánico de la Economía Social del Conocimiento y la Innovación (Organic Code of the Social Economy of Knowledge and Innovation), Art. 5

Provides the "National System of Science, Technology, Innovation and Ancestral Knowledge. It comprises the coordinated and correlated set of norms, policies, instruments, processes, institutions, entities and individuals that participate in the social economy of knowledge, creativity and innovation, to generate science, technology, innovation, as well as rescue and enhance traditional knowledge as fundamental elements to generate value and wealth for society."

Estrategia Nacional de Cambios Climaticos (National

Calls for the saving and valuing of traditional knowledge

Strategy on Climate Change), 2.3	
Política y Estrategia Nacional de Biodiversidad de Ecuador (2015-2030) (National Policy and Strategy on Biodiversity)	Includes a national goal: “Result 18: Ecuador has established a regime of protection, preservation and promotion of traditional knowledge and expressions of cultural traditions relevant to the conservation and sustainable use of biodiversity.”
Agenda Nacional para la Igualdad de Nacionalidades y Pueblos 2013 - 2017 – ANINP (National Agenda for the Equality of Nationalities and Peoples)	Declares its intention to “promote the research of knowledge and ancestral knowledge, in the area of biodiversity, ecosystems, lands, water and nature care forms, for their recovery, recognition and practice.”
Right to self-determination	
Constitution, Arts. 1, 4, 5, 9, and 15-17	Recognizes key components of the rights to self-determination, among others, the rights of indigenous peoples and local communities to their “ancestral traditions and forms of social organization”, the ownership of their ancestral lands, their right to be consulted and provide consent, the exercise of authority within their lands, “to build and uphold organizations that represent them”, to participate through their designated representatives in the development of public policies and legislative measures that may affect them.
Ley Orgánica de Participación Ciudadana (2011) (Organic Law on Citizen Participation), Article 29	Provides that the forms of organization of the indigenous peoples and communities and of the Afro-Ecuadorian and Montubios are to be respected and strengthened, as is respect for the exercise and representativeness of its authorities, with gender equity, developed in accordance with their own procedures and internal rules, provided they are not contrary to the Constitution and the law.
Ley Orgánica de Participación Ciudadana (2011) (Organic Law on Citizen Participation), Art. 30	Provides “In the case of communes, communities, indigenous peoples and nationalities, peoples Afro and Montubio, their own organizational forms will be respected and strengthened, the exercise and representativeness of its authorities, with gender equity, developed in accordance with their own internal procedures and rules, provided that they are not contrary to the Constitution and the law.”
Respect for culture, customs and traditions	
Código Orgánico de Organización Territorial, Autonomía y Descentralización (COOTAD) (The Organic Code for Territorial Organization, Autonomy and	Clarifies that the ancestral territories of indigenous peoples, communities and nationalities, as well as of Afro-Ecuadorians and Montubios which are found within natural protected areas, continue to be occupied and administered by these communities in communal form, with policies, plans and conservation and protection programs in accordance with their knowledge and ancestral practices in conformity with the conservation policies

Decentralization (2010) Article 100 related to ancestral territories	and plans of the State's System of National Protected Areas. The article further requires that the State adopts the necessary mechanisms to facilitate recognition and legalization of these ancestral territories.
Agenda Nacional para la Igualdad de Nacionalidades y Pueblos 2013 - 2017 – ANINP (National Agenda for the Equality of Nationalities and Peoples)	Declares its intention to “Promote the protection of nature, lands and ancestral territories to ensure the caring for the environment, self-sustenance and the cultural identity of Nationalities and Peoples, avoiding unnecessary contaminations and waste of their products.”
International conventions	ICCPR, Art.27, ICESCR, Art. 15(a), ICERD, Art. 5 affirm indigenous peoples and local community rights to culture (including their right to land) and respect for their customs and traditions.
Meaningful participation	
Constitution, Arts 61, 95 and 102 of the	Enshrine the right to participation in matters of public interest, for which the citizens, including those domiciled abroad, individually and collectively, will participate in decision-making, planning and management of public affairs, in the populace's control of state institutions, society, and their representatives, in a permanent process of constructing the power of the citizen
Constitution (Article 279)	Created in 2008 the National Decentralized Participatory Planning System (SNDPP). The basic units for participation in the system are communities, communes, hamlets, neighborhoods and urban parishes (Article 248). The system is governed by the Constitution, the General Public Planning and Finance Code (COPFP - 2010), the General Law on Citizen Participation (2010) and the General Code on Territorial Organization, Autonomies and Decentralization (COOTAD - 2010). Sectorial policy agendas focus national planning on each area of government intervention, and agendas for equality consolidate policy guidelines to include women, persons with disabilities, indigenous peoples and nationalities, children, elderly adults and persons in situations of mobility, among others.”
El Código Orgánico de Organización Territorial, Autonomía y Descentralización (COOTAD) (The Organic Code for Territorial Organization, Autonomy and Decentralization (2010), Article 304 (g)	Provides that the decentralized autonomous governments act per a system of citizen participation (regulated by law of each government) that, among other things, promotes the participation and involvement of the citizenry in the decisions that have to do with the development of their respective territories.
Constitution, Article 398	Provides that “All state decision or authorization that could affect the environment shall be consulted with the community, which

	shall be informed fully and on a timely basis. The consulting subject shall be the State. The law shall regulate prior consultation, public participation, time-limits, the subject consulted, and the appraisal and objection criteria used with regard to the activity that is being submitted to consultation. The State shall take into consideration the opinion of the community on the basis of the criteria provided for by law and international human rights instruments.”
Ley Orgánica de Participación Ciudadana (2011) (Organic Law on Citizen participation). Title VI	Provides for the establishment of several entities at the national and local levels empowered to help to design and opine on national development policies. These include Consejos Nacionales para la Igualdad (National Councils of Equality), and el Consejo Nacional de Planificación (the National Planning Council) which acts through its Technical Secretariate which convenes the Asamblea Ciudadana Plurinacional e Intercultural para el Buen Vivir (the Plurinational and Intercultural Citizen Assembly for Good Living), as a space for consultation and direct dialogue between the State and the citizens to carry out the process of formulation, approval and follow-up of the National Development Plan. There is also the Consejos Ciudadanos Sectoriales (Citizens Sectorial Councils), which serves as another consultation body in the formulation and implementation of sector policies of national scope.
Ley Orgánica de Participación Ciudadana (2011) (Organic Law on Citizen Participation), Art. 41	Provides that information on government programmes must be disseminated in Spanish and indigenous languages.
Código Orgánico Ambiental – COA, Art. 103	“The communes, communities, peoples and ancestral nationalities may request that they be granted custody and sustainable use of the mangrove ecosystem for their subsistence, exclusive use and commercialization of fish, mollusks and crustaceans, among other species, that develop in this habitat. The organization of popular and solidarity economy associations will be encouraged and prioritized. Use activities and other technical considerations related to the area will be defined by the National Environmental Authority.”
Benefit sharing	
Constitution, Art. 74	Provides that all “persons, communities, peoples, and nations shall have the right to benefit from the environment and the natural wealth enabling them to enjoy the good way of living.”
ESS 8: Cultural Heritage	
Constitution, Art. 57 (13)	Affirms the rights of indigenous peoples and local communities “To uphold, restore, protect, develop and preserve their cultural

	and historical heritage as an indivisible part of Ecuador’s heritage.”
International conventions and treaties	Ecuador is a signatory to the Convention Concerning the Protection of the World Cultural and Natural Heritage

The present project aims to work with coastal communities in order to increase their resilience towards climate change by improving the status of the mangrove ecosystems and moving towards improved conservation and more sustainable use of mangrove and ocean resources. Summaries of legal frameworks on mangrove conservation and management and the linkages with local livelihoods can be found in a number of other documents, including Savillán and Carvajal (2019) and the baseline study (CIIFEN 2019), which was conducted specifically for the present project.

In this sense, the project activities do not involve any process to establish legally recognized rights to lands or territories. No land acquisition or resettlement are planned as part of the project and the land tenure situation will not be changed. However, the activity of renewing and creating new community management areas could result in a change in access to land and/or resources to some individuals.

Related to resources that coastal communities traditionally used as economic activity, the project considers the recognition of the customs, traditions, norms, and values of the Afro-Ecuadorian communities and Cholos Pescadores in the intervention area. To mitigate the potential negative effects, the project has defined several mitigation measures that are identified in section 6 of this document, that were defined through a participatory process with the stakeholders.

5. Key findings and analysis of impacts, risks and opportunities

There is one activity that could have direct adverse effects on Afro-descendant communities and Cholos Pescadores if appropriate mitigation measures are not taken.

Table 1: Project activities and sub-activities

Activity	Description	Sub-activities
Activity 1.1.1 Strengthen and expand community-based mangrove conservation and management to reduce deforestation and increase mangrove restoration.		<p>Sub-Activity 1.1.1.1 Strengthening governance capacity and planning of existing AUSCEMs.</p> <p>Sub-Activity 1.1.1.2 Expand areas under active AUSCEMs.</p>

With regards to ESS 4: Indigenous Peoples, it is confirmed that no land acquisition or resettlement are planned as part of the project and the land tenure situation will not be changed. However, the activity of renewal and expansion of community management of mangroves and their resources could result in a change in access to land and/or resources, which could theoretically lead to economic displacement. Special attention therefore needs to be paid to the identified risk. Although the activity is designed to provide community members greater security over their access to mangrove resources, it could potentially result in short or long-term restrictions to some individuals or households.

Table 2: Risk related to ESS 3: Land acquisition and involuntary resettlement (for the rating of impact and probability, 1 means low and 5 high)

No.	Title	Impact	Probability
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R3.1	The project may lead to restricted access or use of resources that people were using illegally, which could, in the worst case, lead to economic displacement.	3	2
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Since the project in some activities primarily targets members of associations, there is a risk that the project may lead to inequitable or discriminatory adverse impacts of the project on non-members, particularly people living in poverty or marginalized or excluded individuals or groups. These groups could include members of afro-descendent communities and Cholos Pescadores. Risk RHR 1 (see section 4.3 in main body of proposal) is thus also included in the present plan.

Table 3: Risk related to ESS4: Indigenous Peoples (for the rating of impact and probability, 1 means low and 5 high)

No.	Title	Impact	Probability
R4.1	The project may lead to potential adverse impacts to afro-descendent communities, Cholos Pescadores and local communities as a result of restricted access to resources they used previously (related to risk R3.1).	3	2

This risk is the same as ESS3: Resettlement and Physical and Economic Displacement. All of the mitigation activities of ESS3 apply, but an additional mitigation measure is proposed to ensure that Afro-descendant and Cholos-Pescadores are represented in project decision making.

No.	Title	Impact	Probability
RHR1	The project may lead to inequitable or discriminatory adverse impacts of the project on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups.	3	2

6. Mitigation Measures

The identified risks are presented in the order applied in the limited Environmental and Social Analysis, following the numbering presented in the Environmental and Social Action Plan (section 4.3).

Risk 3.1 The project may lead to restricted access or use of resources that people were using prior to project implementation, which could lead to economic displacement.

Explanation: For the use of mangrove resources, a mangrove use and custody agreement is needed. However, some people currently access these resources without such an agreement. Depending on how they are using the resources this could endanger the sustainability of the mangrove resources. The project will result in clear rules about mangrove resources, agreed and put in place by community associations. However, this change could result in community enforcement of regulations that disproportionately affect some members of communities more than others and could lead to restrictions in access and economic displacement. Examples of how this could occur include individuals who do not want to be members of community associations and may therefore have less access rights or individuals who currently access resources from an area but do not live within the community that is granted rights under an AUSCEM agreement.

Response: A number of specific mitigation measures are suggested for the case where restrictions in use of and access to resources does not lead to economic displacement but still translate into adverse effects on local stakeholders.

Risk significance: Medium

Mitigation measures (MM)
MM3.1a) Identify all stakeholders affected by such restrictions, with special attention to members of afro-descendent communities and Cholos Pescadores (= identical to MM3.1a);
MM3.1b) Consult with stakeholders on the need/measures for conservation and identify those measures that can lead to restrictions/economic displacement
MM3.1c) Consult with any affected stakeholders, applying a culturally appropriate and gender-sensitive approach, to develop a socioeconomic assessment and analysis showing quantifiable impact of restrictions on their livelihoods that can be used to inform and negotiate and identify solution options for inclusion in the refined Process Framework and the Plan for Afro-descendent communities and Cholos Pescadores;
MM3.1d) Explore opportunities to maintain engagement of affected stakeholders in project activity 1.1, and include identified opportunities in the Process Framework and the Plan for Afro-descendent communities and Cholos Pescadores;
MM3.1e) Where economic displacement is inevitable, keep stakeholders engaged throughout the process of further defining and implementing the Process Framework (see Appendix 4), including a process to obtain FPIC
MM3.1f) seek Free, Prior and Informed Consent from affected stakeholders, following an FPIC procedure that has been previously agreed in a participatory manner and in line with CI's Guidelines for Applying Free, Prior and Informed Consent;
MM3.1g) Implement a Process Framework that has been agreed upon by local communities to which it applies, including the Afro-descendent communities and Cholos Pescadores;
MM3.1h) Implement the project-specific Grievance Redress Mechanism and trace complaints in the context of restricted access to and use of resources to ensure satisfactory follow up and conclusion of complaints.

Risk 4.1 The project may lead to potential adverse impacts to Afro-descendent communities, Cholos Pescadores and local communities as a result of restricted access to resources they used previously (the same as risk R3.1 but in cases where it affects Afro-descendent communities and/or Cholos Pescadores).

The risk and mitigation measures are the same as for R3.1 above. The only difference is that R3.1 applies to all communities whereas R4.1 applies when it affects Afro-descendent communities and Cholos Pescadores. All the R3.1 mitigation measures will apply for Afro-descendent communities and Cholos Pescadores. In addition, a mitigation measure is proposed to include these IP communities in the governance structure of the project.

MM4.1a Include Afro-descendent communities and Cholos Pescadores in the decisions on the implementation of the project.

Risk RHR1 The project may lead to inequitable or discriminatory adverse impacts of the project on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups.

Explanation: The project in some activities primarily targets members of associations, while non-members will not be the direct beneficiaries of the present project. Overall, they can still indirectly benefit from increased resilience or an improved conservation status of the ecosystem, and in some areas, work with them is envisaged, but in others they may feel disadvantaged as compared to associates. There is also a lack of clarity about the number of non-associates falling into the particularly vulnerable groups, as detailed in MMHR1a).

Response: The project design itself addresses this concern. Activities are foreseen to raise awareness among non-associates of the benefits of joining an association and thus becoming direct beneficiaries of the project.

Risk significance: Low/Medium

Mitigation measures (MM)
MMHR1a) Investigate and develop assessment report on the potential adverse impacts of the project on non-associates, with a special view on vulnerable groups, including women, youths, elderly fishermen, members of afro-descendent communities and Cholos Pescadores;
MMHR1b) Conduct awareness raising sessions to clarify the potential benefits of joining an association, especially in the context of the present project.
MMHR1c) Identify ways to ensure that the project will not cause harm to local people who are not willing to join an association and clearly communicate efforts made to ensure this with a report that is used to guide AUSCEM decisions on restrictions and its management plan.

7. Implementation action plan

Mitigation measures (MM)	Responsible party/person	Schedule
MM3.1a) Identify all stakeholders affected by such restrictions, with special attention to members of afro-descendent communities and Cholos Pescadores (= identical to MM5.1a);	Safeguards Manager and Gender Manager Social Technicians per estuary	Year 1
MM3.1b) Consult with stakeholders on the need/measures for conservation and identify those measures that can lead to restrictions/economic displacement	Safeguards Manager and Gender Manager Social Technicians per estuary	Within 6 months after completion of MM3.1a), can be combined with MM3.1b)
MM3.1c) Consult with any affected stakeholders, applying a culturally appropriate and gender-sensitive approach, to develop a socioeconomic assessment and analysis showing quantifiable impact of restrictions on their livelihoods that can be used to inform and negotiate and identify solution options for inclusion in the refined Process Framework and the Plan for Afro-descendent communities and Cholos Pescadores;	Safeguards Manager and Gender Manager Social Technicians per estuary	Within 6 months after completion of MM3.1a, can be combined with MM3.1b)
MM3.1d) Explore opportunities to maintain engagement of affected stakeholders in project activity 1.1, and include identified opportunities in the Process Framework and the Plan for Afro-descendent communities and Cholos Pescadores;	Safeguards Manager and Gender Manager	Within 6 months after completion of MM3.1a, can be combined with MM3.1b) and c)
MM3.1e) Where economic displacement is inevitable, keep stakeholders engaged throughout the process of further defining and implementing the Process	Sustainable Production Specialist	Within 6 months after completion of MM3.1a, can

Framework (see Appendix 4), including a process to obtain FPIC		be combined with MM3.1b) and c)
MM3.1f) Seek Free, Prior and Informed Consent from affected stakeholders, following an FPIC procedure that has been previously agreed in a participatory manner and in line with CI/GCF's ESMF guidelines for Applying Free, Prior and Informed Consent;	Safeguards Manager and Gender Manager Social Technicians per estuary	After completion of MM3.1a)
MM3.1g) Implement a Process Framework that has been agreed upon by local communities to which it applies, including the Afro-descendent communities and Cholos Pescadores	Safeguards Manager and Gender Manager Social Technicians per estuary	Following mitigation measures MM3.1a)-e)
MM3.1h) Implement the project-specific Grievance Redress Mechanism and trace complaints in the context of restricted access to and use of resources to ensure satisfactory follow up and conclusion of complaints.	Safeguards Manager and Gender Manager Social Technicians per estuary	Throughout implementation of the mitigation measures MM3.1 a)-f)
Mitigation measures (MM)	Responsible party/person	Schedule
MMHR1a) Investigate and develop assessment report on the potential adverse impacts of the project on non-associates, with a special view on vulnerable groups, including women, youths, elderly fishermen, members of afro-descendent communities and Cholos Pescadores;	Safeguards Manager and Gender Manager	Months 1-6
MMHR1b) Conduct awareness raising sessions to clarify on the potential benefits of joining an association, especially in the context of the present project.	Social Technicians per estuary	Months 1-6, can be combined with the analysis under MMHR1a)
MMHR1c) Identify ways to ensure that the project will not cause harm to local people who are not willing to join an association and clearly communicate efforts made to ensure this with a report that is used to guide AUSCEM decisions on restrictions and its management plan.	Safeguards Manager and Gender Manager Social Technicians per estuary	Months 1-6

8. Participation, Consultation, and FPIC Processes

While the presented mitigation measures already provide an overview of how stakeholders, and especially Afro-descendent Communities and Cholos Pescadores will be engaged throughout project implementation, the following summarizes how IP stakeholders were engaged in the preparation of the project. Related to this, it is explained how a limited FPIC process has been conducted during the COVID emergency (Appendix 137).

Stakeholder engagement during project preparation

Stakeholder engagement during project preparation is more fully described in Annex 7 of the Funding Proposal to GCF and is also summarized in section 5.1 of the main body of the ESMP.

Consultation held with local communities included representatives of Afro-Ecuadorian communities and Cholos Pescadores (fishermen in Guayas and Jambelí). By May 2022, 20 fisheries associations (with AUSCEMS), 3 local associations, 1 women's association had been consulted on the project design. By the end of May 2022, 18 letters of support had been received from local associations (examples included in appendix 5). Those letters represent 47760 hectares of mangroves (39% of the project area and 69% of the current active AUSCEMS) and are mainly representatives of Guayas and Jambeli estuaries. The list of the associations is presented in the report FPIC UNDER COVID-19 (Appendix 8).

No concerns were raised about impacts that the project could have on Afro-Ecuadorian or Cholos Pescadores livelihoods. This is probably because the overall aim of the project should benefit these groups by securing their rights over the resources they use. The comments received were more general about challenges that the project would need to address and have been used to refine the design of the project. The main comments registered in the context of Indigenous Peoples Rights were the following:

1. One of the concerns that was mentioned repeatedly was mangrove deforestation, mainly due to shrimp farming followed by the development of infrastructure. Component 3 includes activities related to enforce the control, surveillance, and penalties for mangrove deforestation.
2. Concern was raised on how the shrimp farmers will be partners of the project, as they have historically caused damage to the mangrove and ocean ecosystem. In some areas, especially in Jambeli estuary there are currently conflicts between fishermen and shrimp farmers for the access to the sea.
3. Questions were raised about financing of the Socio Manglar program. This is a concern because there are current AUSCEMs that cannot apply for the program because there is not enough funding. Component 2 has a goal related to finance Socio Manglar incentive with the support of several actors, especially private sector.
4. The use of antibiotics and other products in shrimp farms are affecting the mangroves and their resources. The project will work with shrimp farmers to improve their environmental practices.
5. There were questions related to the date this project will go into implementation phase. They want to be informed on the process.
6. Is the project going to manage the problem of the red tide³¹? This is a problem that is concerning local fishermen, but the project is not going to include it.
7. Is the project going to work with the problem that motor robbery causes in the Gulf of Guayaquil? The project will not work with this problem directly but training on mangrove regulations for law enforcement authorities and an increased focus on mangroves as part of local government planning should contribute to focusing on security concerns in the area.
8. Concern was also raised of changes in the Ministry of Environment and Water. At the time of the consultations there was a lack of clarity on who is going to oversee the AUSCEMS, but this is now resolved.
9. Questions were asked about communication channels the project is going to implement to keep communities informed of the project? The project has participatory bodies and a grievance mechanism. But communication is included in every component to enforce the work with stakeholders. Community meetings with AUSCEMs make up a large proportion of the component 1 activities and will be an important communication channel.

Specifically regarding AUSCEMs, more information was requested about the following:

- Is there going to be a mechanism like a competitive fund for the local associations? What is going to be its scope of working? What kind of ventures would be supported?
- Who are going to be the key beneficiaries of the Project? Only organizations with current AUSCEMS or others?
- On the mangrove areas to be restored, they recommended focusing on illegal shrimp areas and recently cleared areas from shrimp farmers.
- About the Socio Manglar Incentive, they recommended expanding the incentive to new AUSCEMS and requested further explanation on how the fund would be created and what resources would be used.
- There are some AUSCEMS with agreements that are about to end. So, they ask if the project can include technical assistance to access a renewal. The project includes these activities in component 1.

³¹ Red tide is the common name for the increment of protozoans and unicellular algae that produce harmful effects on people, fish, and other organisms.

These questions were answered in the meetings to the extent that the design of the project allowed at the time. The concerns raised have also been integrated into the final design of the project.

9. Grievance Redress

The project's Grievance Redress Mechanism is described in Section 7 of the main ESMP document and applies also to this plan.

10. Monitoring, Reporting, Evaluation

As described in Section 9 of the ESMP, the implementation of the ESMP needs to be monitored over time to allow for its adaptive management as needed. Indicators are included in the Environmental and Social Action Plan included in section 4.3, including those related to the IPP.

11. Institutional Arrangements

The institutional arrangements for carrying out the measures contained in this Plan, including participatory mechanisms of affected Indigenous Peoples, are defined based on the implementation arrangements to manage ESMP activities specified in section 3.2.

Specific responsibilities for implementation of the ESMP are clarified in the action plan in section 4.3 of the main ESMP document.

12. Budget and Financing

Budget needs for the mitigation measures included in the IP plan are presented in sections 4.3 and 11 of the main ESMP document.

Appendix 6: Stakeholder Engagement Plan

(see separate document submitted as the Funding Proposal's Annex 7; see also chapter 5 of this ESMP)

Appendix 7: Gender Action Plan

(see separate document submitted as the Funding Proposal's Annex 8)

Appendix 8: FPIC under COVID-19



FPIC UNDER COVID-19

September 17th, 2020

ABSTRACT



Revision



FPIC process under COVID-19 emergency

Transformative public-private partnerships for adaptation and mitigation of climate change through the protection of mangroves and other coastal wetlands.

Introduction

Since February 2020, coronavirus has rapidly moved to the 24 provinces in Ecuador. Between April and July Ecuador has had 84370 people infected and 5657 deaths³³. While COVID-19 is currently focused on Quito, Guayaquil, Manta and other cities, the virus is making its way into local communities as well.

The economic meltdown generated by the COVID-19 pandemic is widely felt in local populations living on coastal fisheries. There are several impacts:

- Fishing activities have decreased in frequency and catchment of fish.
- Sales and prices have fallen, mainly because restaurants have been hit by the emergency. Prices fell in the first stage of the quarantine from USD15 to USD5 the *atado* (12 crabs) and from USD20 to USD10 for the 100 units of black cockle (Mejillones, 2020).
- Other activities like tourism that complemented the family income are banned in most of the coastal area.

Indigenous Peoples and Local Communities (IPLCs) are particularly vulnerable to health impacts, including COVID-19, because of inadequate access to healthcare and underlying health conditions such as diabetes, heart and respiratory diseases (Degawan, 2020). This is also a reality that we can find in Ecuador. In Guayas province, the access to health services in rural areas is difficult, there are only 2 doctors per 10000 people, in contrast with the national rate that is 20.3 doctors per 10000 people (INEC, 2014.).

For the project *Transformative public-private partnerships for adaptation and mitigation of climate change through the protection of mangroves and other coastal wetlands*, local communities that are managing a mangrove custody and use agreement (AUSCEMS according to its initials in Spanish) are the key actors. By July 2020, there were 59 active AUSCEMS that covered 69317 hectares. 59,7% of this area face a high flood susceptibility and 35,6% a medium flood susceptibility (Ecodecision, 2020).

Without the current pandemic, it would have been part of the GCF full proposal preparation to conduct an FPIC process. We understand Free, Prior and Informed Consent (FPIC) as “A framework for ensuring that the rights of indigenous peoples are guaranteed in any decision that may affect their lands,

³³ Data for July 30th, 2020.

territories or livelihoods. Composed of four separate components: (i) Free—Without coercion, intimidation, manipulation, threat, or bribery. (ii) Prior—indicates that consent has been sought sufficiently in advance, before any project activities have been authorized or commenced, ..., (iii) 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 (iv) Consent—The right of indigenous peoples to give or withhold their consent to any decision that will impact their lands, territories, resources, and livelihoods.” (Buppert & McKeehan, 2013).

Consistent with the UN Declaration on the Rights of Indigenous Peoples and World Health Organization guidance, Conservation International currently recommends the following set of good practices (Degawan, 2020) to work with IPLCs during the COVID-19 emergency. These recommendations have been considered as the methodological framework for the FPIC process implemented for the project: *Transformative public-private partnerships for adaptation and mitigation of climate change through the protection of mangroves and other coastal wetlands*.

The 6 topics of recommendations for interactions with IPLCs are:

1. Intercultural Communications
2. Inclusiveness in Emergency Response
3. Intercultural Approaches to Health, Safety and Care
4. Technology and Transport
5. Respecting Indigenous Peoples Rights
6. Post-quarantine Stage

Safeguards and applicable FPIC process

This document is part of the Environmental and Social Management Plan (ESMP) that has been developed for the project *Transformative public-private partnerships for adaptation and mitigation of climate change through the protection of mangroves and other coastal wetlands*. The ESMP and its annexes includes detail on the analysis and the mitigation action plan as well as the stakeholder engagement, accountability and grievances, capacity building, information disclosure, gender, and monitoring and evaluation (Bertzky, 2020).

The Project Preparation Facility (PPF) Application that was submitted for the present project included results from an initial risk screening (Annex 1). This screening has been expanded in the ESMP document as part of the development of the full proposal.

CI's and GCF's FPIC procedures

The FPIC procedure included in this process considered the CI FPIC Guidelines and the Operational guidelines of the GCF IP policy.

CI FPIC Guidelines (Buppert & McKeehan, 2013) is a process developed in three phases (i) Gather information to understand the current local context, understand legal and customary rights and identify and respect traditional decision-making structures. (ii) Collaborate on design and implementation, when we develop a culturally sensitive approach, ensure full and effective participation, ensure information

exchange and reach consent on course of action. And (iii) Ensure accountability to incorporate FPIC into grievance mechanism and monitor and adapt commitments.

Also, for this process we have considered the operational guidelines of the IP policy (Green Climate Fund, 2019):

- (a) Consider formal and informal leaders and decision-making bodies of the affected communities;
- (b) FPIC should rely on identification, recognition and engagement of greater numbers or representativeness of stakeholder sub-groups;
- (c) Identify and assess the occurrence of conflicts within the affected communities and with other stakeholders;
- (d) The role, responsibilities, and participation of external stakeholders with vested interests in the outcome; and
- (e) The possibility of unacceptable practices (including bribery, corruption, harassment, violence, retaliation, and coercion) by any of the interested stakeholders both within and outside the affected communities of indigenous peoples.

Indigenous Peoples and local communities

In Ecuador there are around 21% of people that has self-determined as Indigenous, Afro Ecuadorian or Montubios. The Constitution of Ecuador includes the rights of indigenous peoples and local communities to their “ancestral traditions and forms of social organization”. This applies also to other self-determined groups as Afroecuadorian and Cholos from the coastal areas. These three groups are mainly representatives from the mangrove areas included in this project: Afro-Ecuadorian in the Cayapas-Mataje estuary and Cholos in Muisne-Cojimies, Guayas and Jambeli estuaries with less level of political representation (Table).

Table 1: Number of AUSCMS per estuary and self-determination

Estuary	Self-determination	# AUSCMS ³⁴
Cayapas-Mataje	Afroecuadorian	15 non active
Muisne-Cojimies	Cholos	6 active
Guayas	Cholos and mestizos	23 active 6 non active
Jambeli	Cholos and mestizos	24 active 12 non active

Source: (Ministerio de Ambiente, 2020)

Stakeholder engagement plan

³⁴ According to the RO 319 (August 26th, 2014) AUSCEMS are agreements signed for 10 years. After that time, the associations must present a file for the renovation of the agreements. The associations that have current signed agreements that have less than 10 years are active, the associations that have not file for the renovation of the agreement are considered non active.

The project design included a stakeholder engagement plan that described the strategy to include all stakeholders: government, non-government, universities, and local communities. During this process of engagement there have been 27 workshops and meetings and interviews, in four moments:

1. Stakeholder workshops held in 2016; 2 workshops with government, non-government, universities, and local communities
2. Stakeholder workshops held in 2019; 3 workshops with NGOs, GOB and universities and 4 workshops with local communities
3. Targeted interviews with key stakeholders conducted between April and May 2020.
4. Meetings and workshops included in this FPIC process from June to July 2020.

Current COVID-19 situation in Ecuador

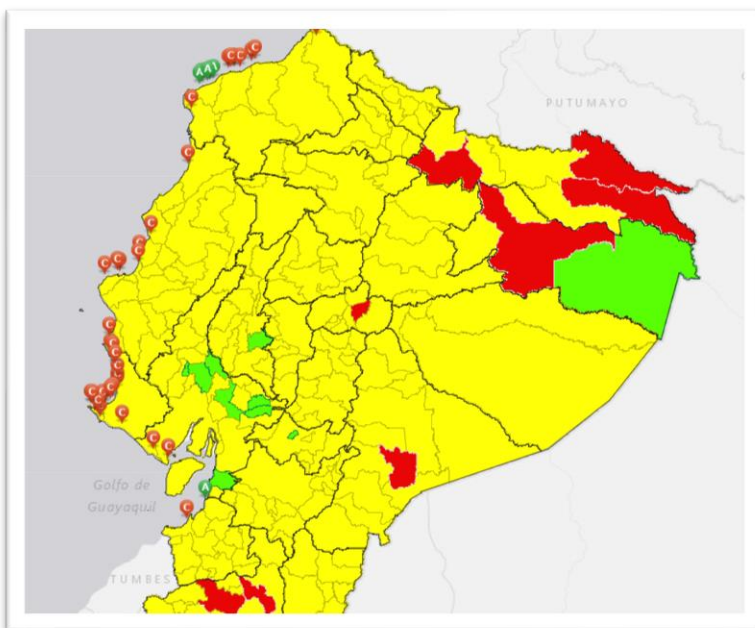
Intercultural Approaches to Health, Safety and Care

During this process we have worked with safety measures regulated by three institutions: The Government of Ecuador (GoE), the CI-GCF recommendations and the Center for Disease Control and Prevention (CDC).

The Government of Ecuador has included regulations related to the social distance, the use of masks and constant hand wash. Also, before June 2020, Ecuador was classified as red light and did not allow meetings with more than 6 people. After June 2020, that number increased to 25 people (Ministerio de Salud Pública, 2020).

In Figure 1: COVID-19 light at municipalities and beaches in Ecuador Figure 1 there is information of the light system, only one Municipality (Balao) was in green light at the coast and 4 beaches were open.

Figure 1: COVID-19 light at municipalities and beaches in Ecuador, July 30th 2020



In Table 2 the information of the allowed activities per light color are included. During the FPIC process described in this document all the areas reached were under yellow light. This situation allowed to develop meetings with no more than 25 people.

Table 2: Activities allowed per light color

Light	Activities
RED	<ul style="list-style-type: none"> • Curfew from 18h00 to 05h00 • Private vehicles road twice a week from Monday to Friday, according to license number. • No private vehicles allowed on weekends. • Taxicabs and other transports are allowed according to license odds and even numbers. Weekends all allowed to move. • Urban transportation is able to move according to each Municipality but with 30 % of capacity and with biosecurity standards. • Health service is allowed to any external consultancy and programmed surgeries. • Interprovincial transportation is not allowed. • Health and lawyers can road with credentials. • Free pass is required to any other economic sector that requires to move. • Public and private economic activities can be in person only for 30% of the staff. • Social gathering is not allowed. • Commercial activities are allowed at 30% of the capacity.
YELLOW	<ul style="list-style-type: none"> • Curfew from 23h00 to 05h00, except for Quito city that will be 21h00 to 05h00 • Private vehicles are allowed to road according to license odds and even numbers and also during weekends. • Taxicabs and other transports can move all days as well as any institutional transportation. • Urban buses can road with 50% of its capacity. • Interprovincial transportation can road with 50% of its capacity only among municipalities with the same light. • Waterborne transportation is allowed with 50% of the capacity. • Free pass is required for health services, productive chain, exports and food transportation. Not free pass is yet required for home delivery. • Malls and restaurants can work at 50% of the capacity, except for Quito city (which will apply 30%). • Public and private economic activities can be in person only for 50% of the staff, except for Quito city (which will apply 25%). • Wakes are allowed with 25 people max. • Social and work gatherings are allowed with no more than 25 people, with social distance (2 meters), not IC systems and with the implementation of biosecurity measures. For Quito city any gathering is not allowed.

	<ul style="list-style-type: none"> • Movies and theaters are allowed to work with 30% of the capacity, except for Quito city. • Parks and museums are open to public with 30% of capacity. • Training activities are allowed, also in pools and close spaces but following biosecurity measures. • The sale of liquor is prohibited from Friday to Sunday.
GREEN	<ul style="list-style-type: none"> • Curfew is removed • 70% of the private vehicles can move according to registration number and days. • Taxicabs and other transports can move all days • Institutional transportation can road all days applying biosecurity measures. • Urban transportation can road with 50% of the capacity. • Interprovincial transportation is allowed between municipalities with the same color. • Free pass is required only for food chain transportation, medicines, and exports. • Malls and restaurants are allowed to operate with 50% of the capacity. • Gyms can start operations according to guidelines of each municipality • Wakes are allowed with 25 people max. • Social and work gatherings are allowed with no more than 25 people, with social distance (2 meters), not IC systems and with the implementation of biosecurity measures.

Source: (Servicio Nacional de Gestión de Riesgos y Emergencias, 2020)

In addition to these recommendations, for this process we considered the ones from CDC webpage (Center for Disease Control and Prevention, 2020), especially the ones related to social distancing, protection and recommendations to keep distance at events and gatherings.

- Wear cloth face coverings when less than 6 feet apart from other people or indoors.
- Take precautions – like wearing a cloth face covering as much as possible when not eating and maintaining a proper social distance if you are dining with others who don’t live with you.
- Maintain a social distance of 6 feet or more in any entryway, hallway, or waiting area.
- When possible, sit outside at tables spaced at least 6 feet apart from other people.
- When possible, choose food and drink options that are not self-serve to limit the use of shared serving utensils, handles, buttons, or touchscreens.
- Wash your hands for at least 20 seconds when entering and exiting the restaurant. If soap and water are not readily available, use a hand sanitizer that contains at least 60% alcohol. Cover all surfaces of your hands and rub them together until they feel dry.

Inclusiveness in Emergency Response

Since March 2020, CI Ecuador developed an emergency response campaign, to fundraise and provide health and food resources for the associations that have been seriously affected by the quarantine.

It is important to highlight that one month before entering the quarantine those associations were facing the non-take season. With this internal fundraising effort (Annex 4), we were able to reach 1084 families from 17 associations. This campaign allowed us to keep the contact with associations during this difficult period.

Adjusted FPIC procedures implemented considering COVID-19 conditions

We present here the three steps we developed for the FPIC process during the COVID-19 emergency. The engagement process with IPLCs has been constant during the last years, but we take seriously not to create high expectations of a future intervention.

Step 1: Initial contact

In this initial contact with the leaders we presented the project and the need to establish communication to gather their opinion on the project and discuss with them how they wanted to be consulted. For example, what is the best virtual platform, best place, day, hour, number of people. During these conversations it was clear that zoom is a platform that fishermen are used to, and we discussed how they were going to connect: cell phone or computer.

The main objective in this step was: (Buppert & McKeehan, 2013)

- Understand the current local context
- Understand legal and customary rights
- Identify and respect traditional decision-making structures

Step 2: Workshops with representatives

This step was focused on presenting/socializing to each local leadership the scope and objective of the Project to then seek consent with the whole association on the formal support for the Project. Before this virtual meeting CI sent all the Project information (presentations). We supported two types of meetings: virtual and in person.

Virtual Meetings

We supported the development of 15 virtual meetings in locations where they can have access to cell phones or internet connection. The meetings were developed for 2 hours with time for a formal presentation and questions or recommendations from the participants.

Intercultural Communications

To develop an FPIC process during the COVID-19 emergency has been a big challenge, especially to respect customary practices while enforcing the need to quarantine and implement other safety measures, but also concerning the need to reach out to as many stakeholders as possible. The main concern was to develop a communication that respects local views and the emergency, and at the same time leads to a holistic picture of the landscape of stakeholder views with regards to the project.

In Ecuador there are 15,7 million cell phone lines, 24,5% of those lines are in Guayas province, 89,6% is the national density of active lines. Also, 10.34% have access to internet, Pichincha and Guayas provinces have the highest subscription percentages with 31.55% and 27.05% respectively (Agencia de Regulación y Control de las Telecomunicaciones., 2017.)

Also, 51.7% of the people have access to mobile internet, but these percentages have increased during the quarantine (Agencia de Regulación y Control de las Telecomunicaciones., 2017.).

This situation has allowed us to develop a good communication with leaders from the local associations. As per their request they preferred to use zoom as the channel for the virtual meetings, because in most cases they were already familiar with this platform. For some cases we financed the cell phone time for the people involved in the calls. In annex 3 we include photos of the meetings.

There are some communities that have computer centers. This was a policy to reduce digital illiteracy. This was the case of Cerrito de los Morreños, Puerto El Morro, 6 de Julio, among others, that have this service in their district.

Technology and Transport

In this process we prioritized the meetings in the communities, so people do not have to mobilize. The meetings were held in field sport places or in the associations gathering houses.

For the communities that are located far away from the connection areas, meetings were held on the day they travel to surrounding markets to sell their products.

Workshop in Public Institute for Aquaculture and Fisheries Research (IPIAP)

On 15 June 2020, CI supported a workshop in the meeting room of the IPIAP in Guayaquil City. This meeting involved 8 local associations from islands inside the Guayas estuary. The meeting was necessary as the internet connection in those areas is very unreliable. 12 men and one woman representing 8 artisanal fishermen organizations joined the meeting.

The following safety measures were implemented in the meeting: temperature check in the entrance before the meeting, obligatory use of masks and social distancing.

Step 3: Local Assemblies

After the virtual meeting, usually with the main representatives of the associations, we promoted the discussion inside the local associations following the local governance structure. The representatives presented the project inside the associations in regular meetings and received the comments for support for the project. This support was confirmed in form of an act or letter of the organization.

The associations have to follow a governance structure according to the AUSCEM agreement. In most of the cases there is (Superintendencia de Economía Popular y Solidaria, 2012):³⁵

- **A government body** that consists of all the members of the association. Legally they have to meet once a year but usually they meet once a month;

³⁵ Decree No. 1061, RO 648 February 27th, 2012. Articles 18 to 23 of the Ministerial Decree of the Superintendence for Popular and Solidarity Economy.

- **A board or management body** that is elected by the government body and has between 3 and 5 members. They meet when there are important issues for the association;
- **A supervisory council;**
- The Management; and
- Special commissions.

The main objective of step 2 and 3 was:

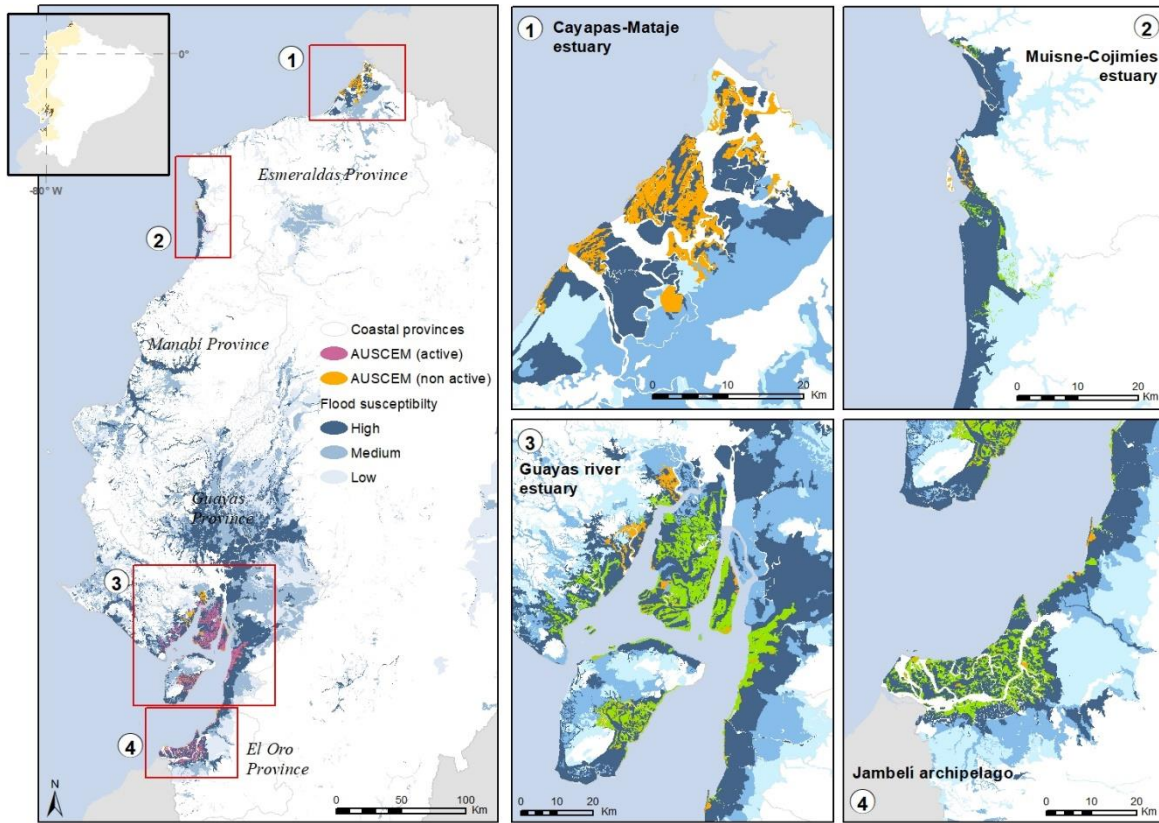
- To develop a culturally sensitive approach
- To promote far-reaching engagement and effective participation to the extent possible under the emergency situation
- To ensure information exchange
- To reach consent on course of action (Buppert & McKeenan, 2013)

Main findings and conclusions

By July 2020, we have been able to reach 20 fisheries associations (with AUSCEMS), 3 local associations, 1 women's association and 2 local governments. By the end of July 2020, we have received 18 letters of support from local associations (a couple of examples included in annex 5). Those letters represent 47760 hectares of mangroves (39% of the project area and 69% of the current active AUSCEMS) and are mainly representatives of Guayas and Jambeli estuaries. The list of the associations is presented in Annex 2.

It is important to highlight that we have included in this list the associations that have currently active agreements with the government. In Figure 2 we include the areas of AUSCEMS per estuary by different level of flood susceptibility that are active.

Figure 2: Type of AUSCEMs per flood susceptibility



Source: (Secretaría Nacional de Gestión de Riesgos., 2018), (Ministerio de Ambiente, 2020)

In Ecuador there are currently 59 AUSCEMs that are active. Of those 59% are located in areas with high flood susceptibility and 35% in medium. Therefore, is important to work with these associations. The other areas that have high level of flood susceptibility are under marine protected areas that are included in the project. In Table 3 this information is included.

Table 3 Mangrove areas per flood susceptibility

TYPE OF AREAS	TOTAL	FLOOD SUSCEPTIBILITY (HA)					
		HIGH	%	MEDIUM	%	LOW	%
Active AUSCEMs (Ha) – Until June 2020	69317,1	41.402,7	59,7	24.654,4	35,6	585,6	0,8
Other mangrove areas (Ha)	83159,3	54.499,6	65,5	16.317,5	19,6	3.362,5	4,0

Source: (Secretaría Nacional de Gestión de Riesgos., 2018), (Ministerio de Ambiente, 2020)

Main concerns as the result of the FPIC process

During the weeks that this process took place, the main comments that were registered in the context of Indigenous Peoples Rights were the following:

10. One of the concerns that was mentioned repeatedly was the mangrove deforestation, mainly due to shrimp farming followed by the development of infrastructure. (11 de Enero, 19 de Octubre, Cerrito de los Morreños). Component 3 includes activities related to enforce the control, surveillance, and penalties for mangrove deforestation.
11. There is a concern on how the shrimp farmers will be partners of the project as they have historically deforested. In some areas, especially in Jambeli estuary there are currently conflicts between fishermen and shrimp farmers for the access to the sea. This is a social concern that the project must consider for its strategy. (19 de Octubre). It's important to design transparent participation bodies where the role of all the stakeholders is clear.
12. How Socio Manglar is going to be financed? This is a concern because there are current AUSCEMS that cannot apply for the program because there is not enough funding. (11 de Enero). Component 2 has a goal related to finance Socio Manglar incentive with the support of several actors, especially private sector
13. The use of antibiotics and other products in shrimp farms are affecting the mangroves and their resources. (Mar de Galilea, 11 de Enero). The project will work with shrimp farmers to improve their environmental practices.
14. There were questions related to the date this project will go into implementation phase. They want to be informed on the process. (Mar de Galilea)
15. Is the project going to manage the problem of the red tide³⁶? This is a problem that is concerning local fishermen, but the project is not going to include. (Cerritos de los Morreños)
16. Is the project going to work with the problem that the motors robbery causes in the Gulf of Guayaquil? The project will no work with this problem directly but increasing the presence of the government (Army, Fishing authorities) will be better for the security in the area.
17. Concern on the last changes in the Ministry of Environment and Water. There is not clarity who is going to oversee the AUSCEMS. (Cerritos de los Morreños).
18. What communication channels the project is going to implement to keep them informed of the project? (Cerritos de los Morreños). The project has participatory bodies and a grievance mechanism. But communication is included in every component to enforce the work with stakeholders.

In this sense, they requested more information about:

- Is there going to be a mechanism like a competitive fund for the local associations? What is going to be its scope of working? What kind of ventures would be supported?
- Who are going to be the key beneficiaries of the Project? Only organizations with current AUSCEMS or others?
- On the mangrove areas to be restored, they recommended focusing on illegal shrimp areas and recently cleared areas from shrimp farmers. Restoration areas will be defined after a depth analysis of several ecological and social factors.
- About the Socio Manglar Incentive, they recommended expanding the incentive to new AUSCEMS and requested further explanation on how the fund would be created and what resources would be used.

³⁶ Red tide is the common name for the increment of protozoans and unicellular algae that produce harmful effects on people, fish, and other organisms.

- There are some AUSCEMS with agreements that are about to end. So, they ask if the project can include technical assistance to access a renewal. The project is including these activities in component 1.

These questions were answered in the meeting in the extent that the design of the project allowed us to do. But we have highlighted these questions to include them in the post-quarantine stage of the engagement process.

Until July 30, 2020 we have received 18 letters from the associations. In Annex 4 we have included some letter or minutes of the Assembly Meetings that includes the discussions and the decisions.

Post-quarantine stage

Even as Ecuador starts to relax measures to prevent the spread of COVID-19 and opens businesses and industries, safety concerns may continue to affect the seafood artisanal sector. Fishing boats, markets and other parts of the value chain do not easily allow for physical distancing, so this activity will be still a potential vector of COVID-19 to remote communities. Also, following the recommendations that are included in Table 2, meetings can only include 25 people in green light, so the project will still have to comprehensively analyze the possible safety implications. The below list shows the main activities that we have to pursue to have a good and complete FPIC process.

1. One of the main activities that needs to be strengthened in the post-quarantine stage is a more pro-active inclusion of women and other vulnerable groups. Although some women were included in the meetings, for this group it was particular difficult to attend meetings because of the quarantine restrictions on the extra amount of work women are facing (Paskin, 2020).
2. Also, we have to re-engage with the AUSCEMS and promote meetings with all the members of the associations. The present limited FPIC process has been developed mainly with the representatives so making an effort to include all the members is important.
3. In order to ensure accountability it will be important to incorporate FPIC into the grievance mechanism and monitor and adapt commitments (Buppert & McKeehan, 2013).

The massive impact the COVID-19 outbreak has in Guayaquil and surroundings has been important economically and socially. Its impact is still hard to grasp or even predict, yet we know that COVID-19 will affect project preparation and project implementation greatly.

Some questions are still pending:

- How does it affect project consultations?
- Will the government be able to play a significant role as previously envisaged?
- What is the impact of an economic depression on the government/the shrimp sector/community involvement in the project?
- Does the economic and financial analysis still hold?
- A Harvard publication estimates that for 1.5 to 2 years COVID-19 will resurge in Ecuador. Most probably until a vaccine is invented and available in the quantities needed. The expected resurgence will be accompanied by restrictions in movement, lock downs, curfews and protocols for gatherings and meetings; How to address this issue in the project document and workplan?

- The government of Ecuador is not only facing one of the worst COVID-19 outbreaks - especially in the project area of Guayaquil, it is also facing tumbling oil prices putting the country in a massive economic depression. As a result, ministries are already repurposing funds and reorganizing to go to minimum capacity. We need to address expectation from the government counterparts in the project document.
- The government may like to see the relationship between climate change and pandemics addressed in this proposal. Do we (and how) accommodate that?

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Annexes

Annex 1: Initial Screening

Safeguard Triggered	Yes	No	Disclosure
Environmental and Social Impact Assessment	X		ESMP
Justification: A fit-for-purpose, limited environmental and social assessment is proposed to evaluate the vulnerability of the proposed population and project locations, as well as the impact of some of the proposed activities.			
Protection of Natural Habitats	X		ESMP
Justification: Although this project aims to improve priority ecosystem services and is not expected to create significant destruction or degradation of critical natural habitats, the proposed project activities will take place in 9 different protected areas. It is also uncertain at this time if the reforestation and revegetation activities will require manipulated water flows. This will be determined as part of the ESIA.			
Involuntary Resettlement	X		ESMP
Justification: Although it is expected that no involuntary resettlement will be part of this project, it is possible that some project activities impose restrictions to the access, use and control of natural resources on which people depend for their livelihoods.			
Indigenous Peoples	X		ESMP
Justification: The project may potentially include beneficiaries that are Afro-descendent communities and communities that self-identify as Montubios. The application of the Indigenous Peoples Policy (IPP) will be verified and documented as part of the social assessment.			
Pest Management		X	
Justification: Pesticides and integrated management has not been identified for use in this project.			
Physical Cultural Resources		X	
Justification: No physical cultural resources have been identified in the planned project area.			
Labour and Working Conditions	X		ESMP
Justification: As a publicly funded GCF project, proposed activities will promote decent work, fair treatment, non-discrimination and equal opportunity for workers. CI safeguards and protects children with whom we come into contact through our work and has a strict anti-trafficking policy.			
Community Health, Safety and Security	X		ESMP
Justification: The project aims to improve priority ecosystem services and social conditions. A project-level and entity-level grievance mechanism will be provided to affected communities.			

Other relevant policies and best practices:

Triggered	Yes	No	Disclosure
Stakeholder Engagement	X		ESMP
Justification: The project will involve a wide range of stakeholders, including both women and men, whose appropriate engagement is crucial for the success of the project. Therefore, the project will be carried out in a participative, inclusive and systematic way, involving as many stakeholders as possible during the project development and implementation.			
Gender Equality and Social Inclusion	X		GA & AP

Justification: As a publicly-funded GCF project, proposed activities will promote gender equality and social inclusion by addressing the needs of men and women in gender-related activities implemented as part of the project with performance indicators and sex-disaggregated targets.			
Accountability and Grievance Mechanism		X	ESMP
Justification: As a publicly funded GCF project, participants will be able to submit complaints or raise grievances with the Executing Entity and the Accredited Entity.			

Annex 2: List of the Associations participating in this process

NUM	PROVINCE	AUSCEMS	HECTARES
1	GUAYAS	ASOCIACIÓN DE USUARIOS DE MANGLAR "CERRITOS DE LOS MORREÑOS"	10.869,5
2	GUAYAS	ASOCIACIÓN DE USUARIOS ANCESTRALES DE PESCA ARTESANAL "CAMPO ALEGRE"	6.521,0
3	GUAYAS	ASOCIACIÓN DE PESCADORES ARTESANALES DE ESPECIES BIOACUÁTICAS Y AFINES "ISLA ESCALANTE" - APAREBAFIE	4.087,5
4	EL_ORO	COOPERATIVA DE PRODUCCIÓN PESQUERA ARTESANAL "PUERTO HUALTACO-HUAQUILLAS"	3.326,5
5	GUAYAS	ASOCIACIÓN DE CANGREJEROS Y PESCADORES DE BALAO	3.206,3
6	GUAYAS	ASOCIACIÓN DE PESCADORES ARTESANALES, CANGREJEROS Y AFINES "SABANA GRANDE NUEVA ESPERANZA"	2.851,2
7	EL_ORO	ASOCIACIÓN DE MARISCADORES AUTÓNOMOS Y ANEXOS "11 DE ENERO"	2.604,4
8	GUAYAS	ASOCIACIÓN DE PESCADORES ARTESANALES FORJADORES DEL FUTURO	1.834,0
9	EL_ORO	ASOCIACIÓN DE MARISCADORES AUTÓNOMOS "19 DE OCTUBRE"	1.435,0
10	EL_ORO	ASOCIACIÓN DE MARISCADORES AUTÓNOMOS Y AFINES "LOS ISLEÑOS"	1.265,2
11	GUAYAS	ASOCIACIÓN DE PESCADORES ARTESANALES MARINE	1.137,3
12	GUAYAS	COOPERATIVA DE PESCADORES ARTESANALES MANGLARES PORTEÑO	807,5
13	EL_ORO	ASOCIACIÓN DE PRODUCCIÓN PESQUERA ARTESANAL Y AFINES "SAN ANTONIO"	741,0
14	EL_ORO	CENTRO DE DESARROLLO COMUNITARIO "ISLA PONGALILLO"	690,5
15	EL_ORO	ASOCIACIÓN DE PESCADORES ARTESANALES "MAR DE GALILEA"	492,0
16	EL_ORO	ASOCIACIÓN DE PESCADORES ARTESANALES, MARISCADORES Y AFINES "COSTA RICA"	424,5
17	EL_ORO	ASOCIACIÓN DE RECOLECTORES DE MARISCOS Y AFINES "24 DE OCTUBRE" - ARMA	315,5
18	GUAYAS	ASOCIACIÓN DE PESCADORES "PARAÍSO DEL CANGREJO"	5.151,4
		Total	47.760

Other local organizations

PROVINCE	ORGANIZATION	
GUAYAS	ASOPROMORRO - Asociación de Producción Pesquera Puerto El Morro	
GUAYAS	GAD PUNA	
GUAYAS	PRECOMUNA ANCESTRAL CERRITO DE LOS MORREÑOS	
GUAYAS	APAMUPEM - Asociación de Producción Artesanal y Afines Mujeres Puerto El Morro	
GUAYAS	GAD Balao	
EL ORO	UOPPAO - Red de Organizaciones de Producción Pesquera Artesanales de El Oro	

Annex 3: Photos of webinar and workshop

Removed from publicly disclosed version of the ESMP to protect personally identifiable information.

Annex 4: Internal Fundraising campaign

Removed from publicly disclosed version of the ESMP to protect personally identifiable information.

Annex 5: Letters and minutes from AUSCEMS

Removed from publicly disclosed version of the ESMP to protect personally identifiable information.

Appendix 9: Examples of information on Accountability and Complaints mechanisms applied in other initiatives at CI Ecuador

Proyecto Actualización del Plan de Manejo Cotacachi Cayapas

POLÍTICAS DE SALVAGUARDIAS

Son procedimientos para prevenir daños ambientales y sociales durante la ejecución del Proyecto Actualización del Plan de Manejo Cotacachi Cayapas.

POLITICA SOBRE PUEBLOS INDIGENAS

Garantizamos el respeto a la cultura, tradiciones, y modos de vida de los pueblos indígenas. Para la toma de decisiones se aplicará consulta previa libre e informada.

POLITICA DE REASENTAMIENTO INVOLUNTARIO

Durante la ejecución del proyecto se garantizará el respeto al derecho de tierras pertenecientes a las comunidades y familias así como sus actividades productivas.

EJEMPLOS

- Calidad del trabajo (recompra de actividades, viajes, alojamiento).
- Comprometimiento del equipo de trabajo en relación con las personas, comunidades de campesinos, pequeños productores, microempresas, socios locales, jóvenes de la zona.

¿TIENES QUEJAS RESPECTO AL PROYECTO?

Este mecanismo de quejas se aplica únicamente a las actividades y personal del proyecto, no a las actividades y personal del MAE.

¿CÓMO SE ENVÍA UNA QUEJA?

1. Enviar un oficio o correo electrónico dirigido a la Reserva Ecológica Cotacachi Cayapas (RECC).
2. Las quejas serán tratadas por un Comité Evaluador.
3. El Comité enviará una respuesta en un plazo de 8-16 días laborables.
4. De ser necesario el Comité designará un responsable para dar seguimiento a la queja.
5. Si el involucrado no está de acuerdo con la respuesta, contactar a las siguientes oficinas:

RECC

Reserva Ecológica Cotacachi-Cayapas

Calle 1 de Mayo, s/n, P.O. Box 15390, Cotacachi, Cotacachi, Ecuador

CI-Ecuador

Calle 10 de Agosto, s/n, P.O. Box 15390, Cotacachi, Cotacachi, Ecuador

FEIA

Federación Ecuatoriana de Instituciones Agrarias

Calle 10 de Agosto, s/n, P.O. Box 15390, Cotacachi, Cotacachi, Ecuador

CEEP

Comité Evaluador del Proyecto

Calle 10 de Agosto, s/n, P.O. Box 15390, Cotacachi, Cotacachi, Ecuador

MECANISMO DE QUEJAS

Proyecto Red de Áreas Marinas y Costeras Protegidas

El Proyecto Red de Áreas Marinas y Costeras Protegidas (Proyecto Red de AMCP) busca mejorar sustentablemente la conservación y el uso sostenible de la biodiversidad marina y costera mediante una red eficaz de áreas marinas y costeras protegidas en el Ecuador Continental.

A fin de asegurar una implementación basada en el respeto a los beneficios de todos e involucrar a todos, se ha dispuesto este mecanismo para presentar posibles quejas durante la ejecución del proyecto, para las comunidades y actores locales en las zonas de intervención.

¿QUE TIPO DE RECLAMOS?

El mecanismo de quejas aplica exclusivamente a las actividades del proyecto que causan impactos directos o indirectos en las comunidades de las zonas de intervención del equipo del proyecto.

¿QUIEN PUEDE PRESENTAR UN RECLAMO?

Cualquier persona natural o jurídica que sea afectada por las actividades del proyecto.

¿QUEN TRAMITA LAS QUEJAS?

Las quejas serán tratadas por el Comité Evaluador del Proyecto, el cual está conformado por representantes de las comunidades de las zonas de intervención del equipo del proyecto.

¿CÓMO SE PROCESA LA QUEJA?

1. El evaluador acepta queja verbal o escrita, registra y transcribe en forma y verifica si la queja está dentro del proyecto.
2. Se verifica si la queja está dentro del proyecto.
3. Se verifica si la queja está dentro del proyecto.
4. Se verifica si la queja está dentro del proyecto.
5. Se verifica si la queja está dentro del proyecto.
6. Se verifica si la queja está dentro del proyecto.
7. Se verifica si la queja está dentro del proyecto.
8. Se verifica si la queja está dentro del proyecto.
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17. Se verifica si la queja está dentro del proyecto.
18. Se verifica si la queja está dentro del proyecto.
19. Se verifica si la queja está dentro del proyecto.
20. Se verifica si la queja está dentro del proyecto.

EXCLUSIONES: (quejas que no proceden)

- Reclamos no relacionados con el proyecto.
- Cuando se dirige a persona que no forma parte e equipo del proyecto.
- Si han pasado dos o más años desde la fecha de cierre del proyecto.
- Si el reclamo está relacionado con un proceso de adquisición de bienes y servicios, incluidos los servicios de consultoría.

INFORMACIÓN DE CONTACTO:

Manfred Altamirano, Gerente del Proyecto Red de AMCP.

Tel: (02) 576700 ext: 8760

Dirección: Av. Francisco de Orellana y Justo Cordero, Edificio Gobierno Zonal de Guayaquil, Piso 11 Guayaquil, Ecuador.

Correo: quejas@ci-conservacion.org



CONSERVACIÓN INTERNACIONAL Ecuador

Amazonía Escucha

¿Tienes algo que decirnos?

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- 1 Contáctanos** y solicita el formulario Amazonía Escucha
- 2 Completa** el formulario con tu solicitud.
- 3 Envíanos** el formulario lleno.

Ejemplos de posibles reclamos:
Falta de acceso a información sobre proyectos, daños a la naturaleza, acoso, violencia de género, etc.

Recuerda que este mecanismo es relacionado únicamente al trabajo de CI-Ecuador con tu comunidad u organización.

Recibirás una respuesta confirmando recepción de tu solicitud en un plazo de 3 días laborables.

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📍 Oficinas CI-Ecuador en Puyo (Hostería El Pigual)

Appendix 10: Procedure and screening form for complying with environmental and social safeguard requirements within the community grant component of the project and for mangrove restoration activities.

Procedure for community small grants

This procedure complements the project's ESMP and provides additional clarity and procedural steps for screening, assessing, and monitoring compliance of community grants (subprojects) for environmental and social risk.

1. Announcement and Outreach:

- Announce the availability of grants through appropriate channels that are suitable to the subproject's stakeholders to ensure broad awareness of the opportunity and how to apply.
- Clearly define the eligibility criteria, which will include a list of example activities that are not eligible due to high environmental or social risk (see exclusion list in screening form below for examples).

2. Application Submission:

- Design an easy-to-use application form that is suitable to potential applicant's needs (e.g., taking language, literacy, technological accessibility into account) and that collects necessary information regarding the subproject or initiative, its objectives, expected outcomes, budget breakdown, and the impact on people & the environment.
- Specify the documents required to support the application, such as subproject proposal, budgets, and resumes of key personnel.

3. Screening:

- CI-Ecuador will review each application to ensure completeness and adherence to eligibility criteria.
- All applications that are complete and generally aligned with the project's goals will be screened by the project's safeguard specialist for environmental and social risk. The safeguard screening form provided below will be used to identify potential risks and assign a risk category (low, medium, high). The screening form covers the following areas: E&S impact, protection of biodiversity and habitats, resettlement and economic displacement, Indigenous peoples, resource efficiency & pollution prevention, cultural heritage, labor & working conditions, community health safety & security, and climate risks.
 1. Where a potential risk is identified, the safeguard specialist will work with the applicant to identify suitable mitigation measures, using the mitigation hierarchy.
 2. In cases where a risk is deemed to be significant and cannot be properly mitigated, leading to an overall risk rating of A/high risk, the application will not move forward.

3. For B/medium risk proposals, the safeguard specialist will work with the applicant to ensure adequate activity budget, staffing, and monitoring are included in the proposal to sufficiently avoid or mitigate against identified risks.
4. Evaluation Committee:
 - Risk rating and important E&S risk concerns will be presented to the grant-making committee as part of the overall application package and be used as part of the decision-making criteria.
5. Subproject start-up:
 - For B/medium risk subprojects, the safeguard specialist will liaise with the implementor to ensure that safeguard-related requirements are understood and integrated into the subproject workplan.
6. Monitoring and Evaluation:
 - E&S risks will be monitored by the safeguard specialist. At a minimum, all subprojects will include the following indicators, with others added depending on specific safeguard risks:
 1. Number of grievances received and the percentage adequately resolved;
 2. Number of men & women engaged in grant activities.

Procedure for Mangrove Restoration Activities

In the case of mangrove restoration activities, project staff responsible for mangrove restoration will complete the screening form presented below and an additional screening form presented in Annex 12. See further details for the procedure for mangrove restoration activities in Annex 12.

Note that the screening form below refers to 'subprojects'. Both the community small grants and the mangrove restoration activities at a specific site are considered to be 'subprojects'.

Safeguard Screening Form

1. Total land area (ha) affected by the subproject (1 ha=1km² or 2.4 acres):
2. Number of people **indirectly** affected by the subproject:
3. Number of people **directly** affected by the subproject:
4. Number of villages/communities affected by the subproject:

EXCLUSION LIST

5. Please indicate if the subproject may contribute to any of the following:
 - a. Contravene major international and regional conventions on environmental issues
 - b. Contravene major international and regional conventions on human rights, including those specific to Indigenous Peoples, women, and children
 - c. Propose to create or facilitate *significant* degradation or conversion of natural habitat, including those that are legally protected, officially proposed for protection, identified as high conservation value, recognized as protected by Indigenous and local communities, or have significant negative socioeconomic and cultural impacts that cannot be cost-effectively avoided, minimized, mitigated and/or offset.
 - d. Involve adverse impacts on critical habitats (except for limited impacts that result from conservation actions), including establishment of forest plantations.
 - e. Carry out *unsustainable* harvesting of natural resources (animals, plants, timber, etc.) or unsustainable fishing methods.
 - f. Propose the introduction of exotic species that can potentially become invasive and harmful (unless there is a mitigation plan to prevent this from happening.)
 - g. Involve forced evictions of people, resettlement, land acquisition, or the taking of shelter and other assets through coercion and/or undue influence
 - h. Propose activities that result in the exploitation of, and access to, outsiders to the lands and territories of Indigenous Peoples in voluntary isolation and initial contact
 - i. Propose the use and/or procurement of materials deemed illegal under national laws or regulations, or international conventions and agreements.
 - j. Propose the use and/or procurement of pesticides and hazardous materials that are unlawful under national or international laws, the generation of wastes and effluents, and emissions of short-and long-lived climate pollutants.
 - k. Involve the removal, alteration, or disturbance of any non-replicable or critical cultural heritage, or the use of intangible cultural heritage without the Free, Prior and Informed Consent of the communities to whom it belongs.
 - l. Include the use of forced labor or child labor. Child labor includes both labor below the minimum age of employment and any other work that may be hazardous, may interfere with the child's education, or may be harmful to the child's health or to the child's physical, mental, spiritual, moral, or social development.
 - m. Involve trafficking of persons, procuring commercial sex acts, or the use of other forms of forced labor as described in [CI's Anti-Trafficking in Persons policy](#).³⁷
 - n. Involve the oversight or direct support of construction of roads, bridges, breakwaters, large dams, or other major infrastructure, as noted in [CI's Construction Policy](#).³⁸
 - o. Produce and distribute racist or discriminatory media.

³⁷ <https://www.conservation.org/about/our-policies/anti-trafficking-in-persons>

³⁸

https://conservation.sharepoint.com/sites/intranet/Policy_Manuals_Toolkits/Operations_Manual2/Pages/Construction-Policy.aspx

- p. Produce, trade, or finance weapons and munitions or military activities. Note that this does not apply to field knives, bush knives, machetes and other essential field or safety gear provided to rangers (including community rangers). Equipment needed for research or translocation of wildlife is also permitted.

No to all of the above

Yes, or Maybe to at least one of the above

If you selected yes, the subproject is not eligible to move forward.

Safeguard 1: Environmental & Social Impact Assessment

1. Does the subproject area have **global biodiversity significance**? Examples include:

- Biodiversity Hotspots: <https://www.cepf.net/our-work/biodiversity-hotspots>
- Key Biodiversity Areas: <https://www.iucn.org/resources/conservation-tool/key-biodiversity-areas>
- Irrecoverable carbon sites: <https://tinyurl.com/2t7aj2cw>
- Ramsar sites: <https://rsis.ramsar.org/>
- IUCN Red Listed species: <https://www.iucnredlist.org/search>

Yes, or Maybe

No

2. How does the **deforestation rate** within the subproject site(s) or landscape compare relative to surrounding areas?

Higher

Same

Lower

N/A (no forest)

2a. Please provide the source for assessing deforestation rate:

3. What is the **estimated poverty rate** in the subproject site(s) or landscape? This is defined as % living below the national poverty line.

Recommended source: World Bank <https://pip.worldbank.org/home> or national statistics institution

4. Which of the following services do communities generally have access to (check all that apply):

Electricity

Health care

Primary education

Secondary Education

Water and Sanitation

- Emergency preparedness & response
- Don't know

5. What are the primary 2-3 types of **resource use/livelihoods** found within the subproject site(s) or landscape?

- Agriculture/pastoral/livestock
- Conservation, Logging/Forestry
- Fishing/marine harvest
- Mining, Hunting
- Harvest of non-timber forest products
- Other: ____

6. How do **ownership systems and resource rights** (both land and marine-based) operate within the subproject site(s) or landscape? (check all that apply)

- Private individual
- Collective/communal
- State/public land
- Informal/customary ownership
- Other: ____
- Don't know

7. In areas with **collective ownership or resource rights**, please describe the use and access allocation system, including matrilineal/patrilineal or patrilocal/matrilocal systems.

8. Are there specific **marginalized, disadvantaged, or vulnerable people or groups** within the subproject site(s)?

9. Is there a risk that those marginalized, disadvantaged or vulnerable groups do not know about their **legal rights** or lack the ability to exercise those rights (e.g., right to FPIC, non-discrimination, right to resources) within the context of the subproject?

10. Is the subproject located in a region/country where **rates of gender-based violence** (GBV) are high (more than 30%)?

Recommended source: <https://genderdata.worldbank.org>

- No
- Yes

11. Are there reports of significant human rights issues that could affect the subproject?

Recommended source: <https://www.state.gov/reports/2022-country-reports-on-human-rights-practices/>

- No
- Yes, or Maybe

12. Is there significant **migration** of people (more than 2.5% change annually)?

Recommended source: <https://www.migrationdataportal.org/>
<https://ejatlas.org/.org/dashboard/compare-indicators?c&i=9810&r&s&t=>

No

Yes, or Maybe

13. Will the subproject operate **in a conflict or post-conflict context**? Conflict could be political, physical/violence, crime, poaching, illegal logging, mining, threats, security incidents?

Recommended sources:

- Uppsala Conflict Data Program: <https://ucdp.uu.se/>
- Environmental Justice Atlas: <https://ejatlas.org/>

No

Yes, or Maybe

14. Please describe any **outstanding claims** to tenure rights, carbon rights, water rights and any recent conflicts relating to those in the subproject site(s).

15. In general, how is **land/marine and resource tenure inequality** in the subproject site(s):

High inequality (more than 50% of the community land or resource rights owned/controlled by a few people)

Medium inequality (more than 25% of land or resource rights owned/controlled by a few people)

Low inequality (relatively equal distribution of land or resource rights, e.g., collective tenure)

15a. What sources have you used to determine the previous question about land/marine and resource tenure inequality?

16. Please list any other current or future subprojects (led by the government, NGOs, CBOs, or companies) that could influence this subproject.

17. Within the subproject context (landscape, national) is there a functioning Accountability & Grievance Mechanism that has received any grievances potentially relevant to this subproject?

No

Yes, or Maybe

Don't Know

18. Is there any relevant additional information on the economic, social, political, and cultural context of the communities impacted by the subproject?

19. Will the subproject include any of the following (select any/all that apply):

Potentially lead to adverse impacts on human rights (civil, political, economic, social, or cultural) of the affected population and particularly of relevant marginalized, disadvantaged, or vulnerable groups?

Potentially exclude or have discriminatory impacts on any affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them or the distribution of subproject benefits?

Potentially cause restrictions in the availability of, quality of and/or access to resources or basic services, in particular for marginalized individuals or groups (e.g., persons with disabilities, Indigenous groups)?

Involve the construction, maintenance, and rehabilitation of small-scale infrastructure that would require a construction permit or further technical or safety assessments? (e.g., ranger station, hiking paths, nature center, processing facilities)

Rely on activities or subprojects not funded by the subproject but which are necessary for the subproject to be viable and may require further due diligence - known as 'associated facilities' (e.g., new access roads, new water infrastructure, food processing or supply operations, logging, or extractive concessions)

20. Have local communities or individuals raised human rights concerns regarding the subproject (for example during the stakeholder engagement process)? If yes, please explain:

21. Is there any relevant additional information on the economic, social, political and cultural context of the communities impacted by the subproject?

Safeguard 2: Protection of Natural Habitats and Biodiversity Conservation

Subprojects should sustainably manage and mitigate impacts on biodiversity and ecosystem services throughout the subproject's lifecycle. This section seeks to clarify whether the subproject may have negative impacts on natural habitats or biodiversity.

1. Within the subproject site(s) have there been major **environmental pollution threats** to biodiversity or **recent natural disasters** (last 5 years)?

Yes

No

Don't know

2. Will the subproject (select any/all that apply):

Involve changes to the use of lands and resources that may have negative impacts on habitats or ecosystems?

- Potentially negatively affect species identified as threatened or endangered at the local and/or global levels?
- Include activities in Critical Habitats that could have potential negative environmental impacts?
- Include activities in Natural or Modified Habitat that could have potential negative environmental impacts?
- Include restoration, reforestation, or rehabilitation activities?
- Involve forest plantation development
- Involve harvesting of natural forest (both industrial harvesting and Non-Timber Forest Products)
- Seek to increase market access, procurement, and harvest of natural resources?
- Introduce or expand tourism activities, including increasing recreational use and/or associated infrastructure?
- Involve the transfer, handling, or use of genetically modified organisms/living modified organisms that result from modern biotechnology and that may have an adverse effect on biodiversity?
- Introduce or use potentially invasive or harmful alien species?
- Involve the production and /or harvesting of livestock or aquatic species?
- Include green-gray infrastructure activities?

3. If you selected any of the above, please provide details here. For example, which activities could have a negative impact, what types of assessments or mitigation/monitoring measures are in place to ensure sustainable harvest, etc.

Safeguard 3: Resettlement, Physical and Economic Displacement

Resettlement is subproject-related land acquisition or restrictions on land or ocean/water use that may cause **physical displacement** (relocation, loss of land/water access, or loss of shelter), **economic displacement** (loss of land/water access, assets, or access to assets, including those that lead to loss of income sources or other means of livelihood), or both. This section seeks to clarify whether subproject activities might lead to resettlement, physical displacement, or economic displacement.

Note that this safeguard applies to people with formal legal rights to land or assets; people without formal legal rights, but with a claim to land or assets that is recognized or recognizable under national law; and people who have no recognizable legal right or claim to the land or assets they occupy or use, but who are occupying or using the land prior to a subproject-specific cut-off date.

1. Will the subproject (select any/all that apply):
 - Potentially involve resettling people or communities and/or acquiring their land (e.g., for the creation or strengthening of protected areas or reducing threat of wildlife related incidents for communities living near reserves).
 - Potentially involve restricting peoples' access to land, water, or natural resources temporarily or permanently, where they have recognized rights or claim such rights (legally or customarily) leading to livelihood impacts? Such activities might include conservation

agreements, new or expanded protected areas, improved management effectiveness, or carbon crediting subprojects.

Potentially contribute to economic displacement of Indigenous Peoples from adverse impacts on lands, marine areas or natural resources under their traditional or customary use.

Potentially negatively affect resource tenure agreements or community-based property rights.

2. If you selected any of the above, please provide details here. For example, what types of restrictions, what groups will be affected, potential impacts on livelihoods, how impacts will be quantified and compensated, whether a process been started to obtain consent from groups that are likely to be negatively affected by restrictions, or whether there have been prior agreements, etc.

Safeguard 4: Indigenous Peoples

Subprojects must foster full respect for the human rights, dignity, aspirations, identity, culture, and natural resource-based livelihoods of Indigenous Peoples (IPs). CI assumes a broad definition of IPs, which includes “Indigenous peoples and local communities”, “local communities”, “sub-Saharan African historically underserved traditional local communities”, “Indigenous ethnic minorities”, “Afro-descendent communities of South America and the Caribbean”, “ethnic groups”, “aboriginals”, “hill tribes”, “vulnerable and marginalized groups”, “minority nationalities”, “scheduled tribes”, “first nations”, “tribal groups”, “pastoralists”, “hunter-gatherers”, “nomadic groups” or “forest dwellers”. Regardless of which terminology is used, safeguard requirements apply to all such groups.

1. Will the subproject operate in lands, marine areas, or territories traditionally owned, customarily used, or occupied by Indigenous Peoples (as defined above)?
 - No: Move on to next section (Safeguard 5)
 - Yes: move to next question
2. How has (or will) the subproject Team request(ed) the consent of affected Indigenous Peoples to participate in the subproject?
3. How will the subproject seek, and document, the Free, Prior, and Informed Consent (FPIC) of the Indigenous Peoples in support of the subproject?
4. How will the subproject integrate indigenous knowledge, legal systems, traditional governance, and decision-making structure into the subproject?
5. Will the subproject do any of the following related to Indigenous Peoples:
 - Potentially impact (positively or negatively) land, marine areas, and natural resources that are under traditional ownership or customary use?
 - Potentially contribute to economic displacement of Indigenous peoples from adverse impacts on lands, marine areas or natural resources under their traditional or customary use.

- Commercially develop natural resources that are under traditional ownership or customary use.
- Cause any loss of control over data or knowledge possessed by IPs about their lands, waters or resources.

6. If you selected any in the previous question, please provide details here.

Safeguard 5: Resource Efficiency and Pollution Prevention

Economic activity often generates pollution to air, water, and land, and consumes finite resources that may threaten people, ecosystem services, and the environment at the local, regional, and global levels. This section seeks to ensure that subprojects minimize pollution and waste and utilize resources efficiently.

1. Will the subproject (choose any/all that apply):

- Potentially result in the release of pollutants (e.g., GHGs, waste, pesticides) that could have negative impacts? (e.g., a subproject that increases wealth may result in increased waste generation)
- Procure or apply pesticides and pest management measures (that are not natural).
- Use large amounts of energy, water, and other resources and inputs?
- Involve significant extraction, diversion or containment of surface or ground water?

2. If you selected any of the previous options, please provide details here. For example, what type of pollution or waste may be released, during which activities, and what mitigation measures are in place.

Safeguard 6: Cultural Heritage

Cultural heritage refers to the collective legacy of **tangible and intangible** elements passed down through generations, encompassing historical sites, artifacts, traditions, and expressions that hold cultural, historical, and social significance. This section seeks to ensure that subprojects protect and respect both tangible and intangible cultural heritage.

1. Will the subproject (choose any/all that apply):

- Implement activities that may affect cultural heritage (both tangible and/or intangible), such as archaeological, paleontological, historical, architectural, and sacred sites?
- Potentially use cultural heritage or knowledge for commercial purposes?
- Involve activities such as documenting or researching cultural heritage of communities?
- Be located in, or in the near vicinity of, a recognized cultural heritage site?

Be targeting a cultural keystone species of an affected community or culture? (a species that is significant to a particular culture or a people such as those used in ceremonies, diet, medicines, or histories of a community)

Be specifically designed to support the conservation, management, or use of cultural heritage?

2. If you selected any in the previous question, please provide details here:

Safeguard 7: Labor and Working Conditions

Subprojects should ensure the health and safety of subproject-related workers, the right of workers to associate and bargain collectively, have formal contracts and to enjoy a workplace free from discrimination. Subprojects should ensure the protection of workers from risks or potential adverse impacts, and not support any activities using child or forced labor. For the purposes of this safeguard, a subproject worker can include direct workers, contracted workers, community workers, and primary supply workers (as described below).

1. Is the subproject situated in an area /context where workers' rights may not be respected? (e.g., where forced labor or child labor is observed; lack of protections for vulnerable /migrant workers; where incidence of worker harassment, intimidation and exploitation can be expected).

Suggested resources:

- International Labor Organization: <https://ilostat.ilo.org/>
- ITUC Global Rights Index: <https://survey.ituc-csi.org/ITUC-Global-Rights-Index.html?lang=en>

Rights will likely be respected

Rights may not be respected

Please provide additional information (and source) about why worker rights might not be respected:

2. Is there a risk that the subproject would potentially involve or lead to working conditions that do not meet national or international labor laws and regulations? For example:

- discriminatory working conditions,
- lack of equal opportunity,
- lack of clear and understandable documentation of employment terms and conditions, including rights under national law to hours of work, wages, overtime, compensation and benefits,
- failure to prevent harassment or exploitation,
- inadequate or unfair pay, benefits including social insurance
- Inadequate periods of rest, holiday and sick time, and family leave,
- failure to ensure freedom of association (labor unions)

Yes, or Maybe

No

Don't Know

3. Will the subproject (choose any/all that apply):

- Employ **Direct Workers** (other than CI or government) such as workers in NGO delivery partner organizations?
- Employ **Contract Workers** (e.g., consultants or contractors who perform work related to core subproject functions)
- Employ **Community Workers** (e.g., community members providing part-time or voluntary labor to the subproject. May be paid, unpaid, or receive other benefits)
- Engage **Primary Supply Workers** (e.g., supplier who provides essential good or materials to the subproject for its core functions on an ongoing basis, such as (**upstream**) seed and seedling nurseries for reforestation subprojects; Brazil nut, cacao or coffee producers for a processing facility; data enumerators for a baseline survey and (**downstream**); tree resin distillers; any fruit, fiber or food intermediary)
- Potentially engage acceptable **youth labor**, between the ages 15-18, doing work that is not dangerous, and does not compete with compulsory school requirements.
- Use labor subcontractors (intermediaries that recruit and facilitate hiring of contract or day laborers on behalf of the employer)
- Partner with or financially support **government agencies** that must comply with national labor law
- Include **legally transferred government workers**? (e.g., no longer directly working for the government)
- Include activities that might be higher risk for **sexual exploitation, abuse or harassment (SEAH)** of workers (e.g., overnight work travel, an influx of workers to a community)
- Directly employ or financially or technically support **high-risk workers**, such as rangers, eco-guards, or community patrols?
- Pose potential risks to rangers, eco-guards, community patrols, or security personnel, in the course of performing their job duties? (e.g., risks from poachers, wildlife, community members, etc.)
- Require **worker housing** accommodations?
- Involve Subproject Team reliance on **roadways that are unsafe** or unknown?
- Expose workers to potential risks and vulnerabilities related to **occupational health and safety** (e.g., scuba diving, forest or coral restoration, driving a boat)
- Expose workers to potential **health risks** such as endemic communicable diseases, venomous bites, non-communicable diseases or infections?

Involve **construction** or machine operation that pose health and safety risks to workers (e.g., through the generation of dust, noise, waste, burning or discharge of airborne pollutants)?

4. If you selected any in of the previous questions, please provide details here.
5. Have there been any recent labor incidents in the subproject site(s) such as strikes, protests, accidents, pandemic outbreak, that might affect the subproject or potential workers?
 - Yes
 - No
 - Don't know

Safeguard 8: Community Health, Safety and Security

The health, safety, and security risks and impacts on subproject-affected communities are the responsibility of subprojects to avoid or mitigate in subproject design & delivery. This section seeks to identify potential health, safety, and security risks to the community.

1. Have there been any community-based health and safety accidents or incidents in the subproject site(s) or landscape over the past 5 years, including incidents reported in CI's safety and security system?
2. Will the subproject (choose any/all that apply):
 - Include activities that involve **construction** (e.g., buildings, roads, earthworks) or activities that pose potential health and safety risks to local communities, for example through the generation of dust, water contamination, pollution, waste disposal, traffic, or noise?
 - Include use of physical, chemical or biological **hazards** that could pose potential health and safety risks to people?
 - Potentially result in increased health risks for communities such as from **diseases** or communicable infections. (e.g., COVID)
 - Rely on **roadways** that may be unsafe (due to drivers, road conditions)?
 - Require an influx of **outside workers** to the subproject area?
 - Provide **housing for workers** in communities?
 - Include activities that could potentially promote or exacerbate **gender-based violence**? For example, activities such as income generation, changes in gender norms, elevating women in leadership positions, etc.
 - Potentially pose risks of **sexual exploitation, abuse and harassment** (SEAH) perpetrated by subproject workers on community members? For example, a subproject worker might take advantage of their position to request sexual favors of a community member.

Potentially escalate person or communal **conflict** or the risks of **violence** among subproject communities or individuals, or from organized crime groups.

Potentially increase the risk of **injury, loss of life, or loss of assets** triggered by an increase in human-wildlife conflicts that may stem from subproject activities.

3. If you selected any of the previous options, please provide details here. For example, which activities might result in community health, safety & security impacts, what groups will be impacted and how, existing mitigation measures, etc.)

4. Will the subproject involve support to rangers, eco-guards or community patrols (with or without law enforcement, armed or unarmed)?

No

Yes, or Maybe

5. Will the subproject involve participants in informant networks or reporting activity to law enforcement?

No

Yes, or Maybe

6. Have there been any formal complaints, investigations or media reports relating to ranger/patrol law enforcement activities in the subproject area?

No

Yes

Don't know/not applicable

7. Have there been any conflicts between conservation authorities and local people in the last 5 years? If so, please explain:

Safeguard 10/Climate Risk and Related Disasters

Subproject activities should ensure that they are not at risk of failure due to current and future climate change impacts, that they do not exacerbate climate vulnerability in the long-term, and that they support adaptation responses to reduce climate change risks. CI has developed a Climate Risk Screening Tool to help identify climate-related risks for a particular subproject area.

1. Will the subproject include activities that strengthen the adaptive capacities (e.g., technical, institutional, financial, social or environmental factors) that improve people's preparedness and long-term resilience to climate-related risks? If yes, please explain below.

2. Will the subproject be based on findings of an existing or planned climate change vulnerability/risk assessment (beyond this screening tool)?

Yes

No

Child Protection & Safeguarding

In certain situations, or subprojects, team members may have contact with children. Following CI's policy on [Child Protection & Safeguarding](#), appropriate mitigation measures should be put in place to address any potential risks to children's welfare.

1. Will the subproject include activities that focus specifically on children (less than 18 years of age)?
For example, environmental education in or out of school.

Yes, or Maybe: Go to Question 2.

No: Go to next section

2. Please provide details of the activities and how child protection & safeguarding measures will be incorporated.

Appendix 11: Project Security Profile and Strategy

Early in 2024, between January 8-9, Ecuador witnessed widespread violence, marked by organized gang activities, prison breaks, vehicle explosions, intimidation, and the attack on a TV station. Although violence has decreased since January 10, the government's declaration of 'war' against drug gangs will maintain an increased presence of military and ongoing security operations against these groups. The criminal gangs, in turn, continue to retaliate to challenge the government's resolve, posing ongoing security threats in the months ahead. These developments have triggered significant short-term security adjustments in the country. Looking forward, the outlook remains uncertain, but the proposed increase in government spending on security signals a commitment to sustained operations against drug gangs. Moreover, there's growing concern over escalating conflicts between rival gangs, potentially leading to conditions that further complicate the operational environments, as observed in similar situations in other countries.

Conservation International's Ecuador program (CI Ecuador) has extensive institutional experience working with communities in the four areas targeted by the GCF project's proposed operations. Our team members possess extensive professional backgrounds at the national level, drawing upon over 26 years of experience. This extensive tenure has fostered deep trust with key stakeholders, including government officials, academia, the press, leaders of fishing organizations, and users of natural resources in marine and coastal areas. Our operational partnerships with local community members, organizations, government entities, and NGOs are vital, providing us with the assurance to navigate what appears to be an increasingly challenging coastal environment, particularly in the Esmeraldas and Guayaquil regions.

CI's global approach to Safety and Security:

Beyond a localized understanding of the nuanced security risk mapping, CI Ecuador benefits from Global and Regional Safety and Security support and expertise. Over the past six months, the Regional Director of Safety and Security, based in Colombia, visited Ecuador twice to reinforce internal security structures, provide training, and to assess risks. These efforts align with our commitment to rolling out a global safety and security strategy aimed at empowering staff and project teams with tools to enhance risk mitigation during our work. The following objectives guide these efforts:

1. **Prevention:** We aim to heighten awareness of the evolving security threats prevalent in the diverse and dynamic regions where we operate. By staying informed and vigilant, we can proactively address potential risks and create a safer working environment.
2. **Mitigation:** Leveraging our capacity to monitor and assess security threats enables our teams and partners to employ various strategies to mitigate specific risks effectively. Through careful planning and adaptability, we can reduce the impact of potential challenges.
3. **Response/Reaction:** We are dedicated to improving our teams' capacity to respond to security incidents swiftly and effectively. This involves not only addressing threats at the individual or team level but also orchestrating a comprehensive organizational response. Being well-prepared ensures a coordinated and efficient reaction to unforeseen circumstances.

By equipping and empowering each team member, we strengthen our collective ability to prevent, mitigate, and respond to security challenges, allowing the organization to remain focused on the wider organizational goals.

Country Level Operational initiatives:

With Ecuador facing an uncertain, but predictably insecure future several steps will be taken to support staff and partners working in high-risk areas. These initiatives include:

1. **Investing in Hostile Environment Awareness Training** – CI has already identified and used regionally based training facilitator to conducted bespoke training focused on the risks organized criminal groups pose communities and organizations working in the same geographical space.
2. **Robust satellite-based communications and tracking system** – This system, established globally, enables staff in any location to trigger an SOS or communicate in the event of an incident.
3. **Ensuring a clear understanding of the complexity of working in the same geographies as organized criminal groups based on regional best practices and experience.** This includes when, and when not to use visibility (logos), how vehicle selection can increase risk, methods of mitigating threats through increased awareness and understanding within the communities.
4. **Mapping high-risk areas to inform delivery decisions:** In the unlikely event that it becomes necessary, CI Ecuador can draw upon our experience from other countries on remote project delivery methods when direct access is impeded by hostilities. CI has previously conducted deliveries using remote touch monitoring and reduced direct oversight, leveraging technology and adapted strategies to ensure project continuity and effectiveness in challenging environments.
5. **Using country Threat and Vulnerability Assessment process:** This aids in identifying key threats and mitigation strategies, while also recognizing the need for *dynamic risk assessments* in specific higher-risk project locations. We remain confident that we will be able **identify threats** and **contextual changes** that might impact the risks associated with their activities as well as ensuring our teams and partners feel **empowered to act**, both in **mitigation** and **response**.
6. Based on the security context and information the CI-Ecuador staff will **utilize on the logistics of local partners and when appropriate the support of different authorities** in the territory such as police, Ecuadorian navy, park rangers of marine protected areas and by local partners.
7. As part of our strategy to engage partners and key stakeholders, we will **establish cooperation agreements** with organizations that already possess a relationship and understanding of the **dynamics of the sites, along with a historical social network and credibility**. These partnerships will provide momentum for the development of specific themes within each project executed along the Ecuadorian coast. This approach will not only enhance project delivery and impact but also contribute to the safety and security of all involved parties.

Therefore, despite anticipating heightened security friction in many coastal areas across Ecuador, we maintain confidence in our global security architecture, coupled with country-level understanding and critical relationships, to sustain our ability to achieve success in the years ahead.

Appendix 12: Site-based assessment of mangrove restoration areas

Site-based planning for mangrove areas to be restored will follow the guidelines in the Global Mangrove Alliance’s “Best Practice guidelines for mangrove restoration”.³⁹ The approach included in the guidelines for assessing the suitability of a site for mangrove restoration is summarized in the figure below.

Figure 3. Assessing site suitability for mangrove restoration



³⁹ <https://www.mangrovealliance.org/best-practice-guidelines-for-mangrove-restoration/>

The screening form provided in Appendix 10 will be completed for all areas where mangrove restoration activities are proposed. In addition, the following screening form⁴⁰ will be used to further assess environmental risks as part of the assessment process for restoration of mangrove sites.

The procedure for assessment of both screening forms will be as follows:

1. Field-based mangrove coordinators and/or the project's mangrove restoration specialist will complete the screening forms (Annex 10 and the one provided below) as part of the assessment of each site proposed for mangrove restoration.
2. Screening forms will be assessed by the project's environmental and social Safeguards Manager. Where a potential risk is identified, the Safeguards Manager will work with the Mangrove Restoration Specialist and mangrove coordinators to identify suitable alternative designs or mitigation measures. In cases where a risk is deemed significant and cannot be properly mitigated, the restoration activity at that site will not proceed.
3. If any restoration activity is deemed to justify a safeguard category B/medium risk but if the project team deems that adequate mitigation activities can be put in place then a limited ESIA can be produced (see Appendices 14 and 15). The Safeguards Manager will work with the rest of the project team to ensure that sufficient activity budget, staffing effort and monitoring are included for the restoration activity at that site to sufficiently avoid or mitigate against the identified risks.
4. E&S risks will be monitored by the Safeguards Manager in close collaboration with the project M&E Manager. All restoration activities will include the following safeguard indicators, with others added depending on specific safeguard risks:
 - Number of grievances received and the percentage adequately resolved;
 - Number of men and women engaged in grant activities.

Additional Screening Form for Mangrove Restoration Sites

(Instructions in italics). Screening forms must be submitted for approval by the project Safeguards Manager before any restoration activities can start at the site.

Site name:

Location:

⁴⁰ This form will be reviewed and may be added to/modified once the Safeguards Manager and Mangrove specialist are hired by the project. Training will be provided to staff who need to be involved in completing this form. The form will also be translated into Spanish.

Area for restoration (hectares):

Map of the proposed restoration site

Note that a map indicating areas proposed for restoration should be provided along with this form. At a minimum, this should include boundaries of the proposed restoration area, locations of tidal creeks and inflows/outflows that enter the area, locate significant natural features, illustrate land uses around the area to be restored and indicate access and any potential land ownership (details can be provided in the land tenure section, see below).

Expected restoration duration:

Brief description of restoration work to be undertaken:

Briefly describe the mangrove restoration project including the proposed activities, methods, and expected outcomes. Describe how the restoration will be done and who will do it. Where will mangrove seedlings be sourced from? Which species will be used and are these the same as species in surrounding forests?

Current habitat assessment:

Describe the current state of the mangrove habitat at the proposed site and any other vegetation habitat on the site. Provide a second map if this would provide useful information on vegetation types found on the site.

Identify any biodiversity and ecological features of significance in the area. Identify any sensitive habitats or species within the vicinity of the area proposed for restoration.

Potential Environmental Impacts:

Evaluate potential impacts of the restoration activities on the surrounding environment including issues related to soil erosion, water quality, flora and fauna, hydrology, sedimentation and shoreline stability.

Note that staff filling in the assessment should have undergone training on mangrove restoration organized by the project and should familiarize themselves with the document “Best Practice guidelines for mangrove restoration”⁴¹, which describes the types of environmental impacts that could be important on a mangrove restoration site. In particular, there are a number of further resources listed that may be appropriate for specific site being considered.

⁴¹ <https://www.mangrovealliance.org/best-practice-guidelines-for-mangrove-restoration/>

Staff are also recommended to familiarize themselves with the document “Ecological Mangrove Rehabilitation: A Field Manual for Practitioners” which describes a wide variety of hydrological and ecological issues to consider and provides practical guidelines for collecting the data needed to make an assessment of the suitability of area for mangrove restoration.

Propose mitigation measures to minimize negative impacts on biodiversity identified during the assessment:

*Discuss strategies to preserve and enhance biodiversity during and after restoration. **If significant environmental impacts are identified, then it is likely that the site is not suitable for restoration.***

Community and Stakeholder engagement:

*Identify stakeholders and local communities affected by the project. Assess potential social and cultural impacts of the restoration activities. Describe strategies for community engagement and participation in the restoration activity. Have community members and stakeholders been made aware of the project’s Grievance Redress Mechanism? If not, they should be made aware. **Note that any proposed restoration that would include physical and economic displacement of people must not proceed under the project.***

Community Health and Safety:

Identify risks to the community or other workers who will be carrying out restoration activities. Consider risks such as drowning hazards, dangerous animals, diseases and presence of pollutants such as pesticides. Also consider whether the restoration activities could put the communities at risk from organized crime groups (for example by attracting their attention if they are operating in the vicinity). Build in measures into the design of the restoration activities to avoid risks if possible. Propose measures that can be taken to reduce the remaining risks.

Land tenure:

*Describe the land tenure of the site proposed for restoration and any areas needed for access. Do all landowners and stakeholders who use the area agree that restoration activities should go ahead. **Note that if they do not agree then it is likely that the site is not suitable for restoration under the project.***

Regulatory compliance:

Describe any local or national environmental regulations that need to be complied with to undertake restoration activities. Describe any necessary permits or formal approvals that will be necessary for the restoration activities (for example these may be necessary in protected areas and on privately owned land even if there is agreement in principle with protected area managers or landowners).

Propose mitigation measures to minimize negative social impacts identified during the assessment:

Monitoring and evaluation:

Outline a monitoring and evaluation plan appropriate for the site, which can be used to assess the effectiveness of the restoration efforts. Include key indicators to measure the success of the project in terms of ecological restoration and community benefits. Note that this should feed into the project's overall Monitoring and Evaluation Plan. Define how data collection will occur for this specific site. Consider also how information from monitoring can be presented back to the communities involved. Note that at a minimum, information on the following safeguards indicators will be required:

- 1. Number of grievances received and the percentage adequately resolved;*
- 2. Number of women and men engaged in restoration activities.*

Environmental Screening Conclusion:

Provide a summary of the environmental screening process, highlighting any significant findings, potential risks and recommendations to address environmental concerns.

Approval (leave blank for project Safeguard Manager):

Signature:

I hereby certify that the environmental screening for the mangrove restoration project has been conducted in accordance with applicable regulations and standards.

Name:

Title:

Date:

Appendix 13: Community Health, Safety and Security Plan

Context

The project targets Ecuador’s coastal mangrove ecosystems and includes activities that will be conducted with, or by, community groups that have management rights over mangrove areas (AUSCEMs). During project design a safeguards screening was undertaken by the CI-GCF Agency that stated that the ESS8, Community Health, Safety and Security safeguard standard should be triggered and a Community Health, Safety and Security (CHSS) Plan is required for the project. This document is a first draft of the CHSS Plan, which should be refined during the first 6 months of the project. Background information on the project can be found in the main Environmental and Social Management Plan document of which this plan is an appendix and an integral part.

Project activities that might cause Community Health, Safety and Security risks

The project has three main components:

Project Component 1: Mangrove areas under effective and climate-adapted management increased, including through community-based management (AUSCEMs) and protected areas implementing climate adaptation plans.

Project Component 2: The private sector becomes a transformational agent for change by reducing GHG emissions and providing financial support to conserve and restore mangroves that increase climate resilience for other coastal populations.

Project Component 3: Create the enabling conditions for sustaining reductions in mangrove deforestation and increased mangrove restoration by strengthening governance, climate change adaptation strategies, coastal management policies, and legal enforcement.

Project activities that might affect the health and security of communities are in Component 1. The Component 1 activities that could affect community health, safety and security are presented in the table below.

Activity	Description	Sub-activities relevant to ESS8
Activity 1.1.1 Strengthen and expand community-based mangrove conservation and management to reduce deforestation and increase mangrove restoration.	Support community stewards (AUSCEMs) to better conserve mangroves and their vital ecosystems services for both climate change mitigation and adaptation. Support AUSCEMs to restore mangrove areas.	1.1.1.2 Expand areas under active AUSCEMs 1.1.1.4 Restoration of Mangrove Areas within AUSCEMs
Activity 1.2.1 Technical and business development support to mangrove-community associations,	Provide technical and business development support to at least 60 community associations linked to protection of mangroves to design and implement	1.2.1.1 Technical and business development assistance to mangrove community associations for development of

with an emphasis on women, youth and other vulnerable groups.	business plans and strategies, including strategies for improving governance and administration, access to finance and to markets for more resilient livelihood strategies. Activities to strengthen and diversify local livelihoods to create economic alternatives aligned with mangrove protection and more resilient to impacts of climate change.	enterprises and livelihood activities, with an emphasis on women, youth and other vulnerable groups.
Activity 1.2.2 Establish and consolidate financial mechanisms in support of mangrove community associations (micro- and small enterprises).	Use a grant mechanism to support small enterprises of community associations	1.2.2.1 Create and implement grant mechanism for financial and technical support to micro- and small enterprises of mangrove community associations.

Under activities 1.2.1 and 1.2.2, the types of small enterprises to be established are to be defined by communities themselves during project implementation. It is therefore not possible to clearly assess all potential impacts at this stage. Under activity 1.1.1, mangrove reforestation will be undertaken. The Activity 1.1.1. activities of expanding and supporting community management of mangroves and the mangrove restoration activities could bring community members into closer proximity of risk associated with the mangroves (e.g. dangerous wildlife, transportation risks, water-borne diseases). The significance of the risks is considered to be medium (see below). In addition, the security situation in Ecuador was poor at the beginning of 2024 and there is the potential that the presence of the project could raise risks from criminal gangs for communities where they operate (risk considered medium).

Following the precautionary principle, and in line with the CI GCF ESMF (as cited in the ESMP) and the GCF’s Environmental and Social Policy⁴², this CHSS Plan suggests a number of measures to ensure that potential impacts are avoided, or where this is impossible, mitigated and managed, in line with the GCF’s mitigation hierarchy.

The following sections present the identified risks and mitigation measures, the implementation schedule for the mitigation measures and plans for monitoring and evaluation. All of this information is also included in the Environmental and Social Action Plan included in section 4.3 of the main ESMP document.

Identified risks and mitigation measures

⁴² Especially section IV Guiding Principles, paragraph (r) on biodiversity, stating that “All GCF-financed activities will be designed and implemented in a manner that will protect and conserve biodiversity and critical habitats, ensure environmental flows of water, maintain the benefits of ecosystem services, and promote the sustainable use and management of living natural resources.”

The identified risks are presented in the order used in the limited Environmental and Social Analysis and follow the same numbering presented in the Environmental and Social Action Plan (section 4.3 of the ESMP).

Risk 8.1 Mangrove restoration/reforestation (Activity 1.1.1) and livelihood development may expose community members working on these subprojects to drowning hazards, poisonous animals, and disease vectors.

Explanation: Ecuadorian mangrove forests are home to some potentially dangerous animals such as crocodiles and caimans, venomous snakes (e.g. *Bothrops asper*), stingrays, and jellyfish. Some diseases are known to thrive also in mangrove areas such as malaria, dengue, leptospirosis, and cholera (vibriosis).

Risk significance: Medium

Mitigation measures (MM)
MM8.1a Project staff receive training on dealing with Community Health, Safety and Security risks, including completion of Community Health, Safety and Security risk assessments.
MM8.1b Complete Community Health, Safety and Security risk assessment for Activity 1.1.1 and restoration activities under 2.2.1 in each community.
MM8.1c Implement mitigation measures identified in the Community Health, Safety and Security risk assessment. This could include redesigning or avoiding some activities at the community level (e.g. deciding not to restore mangroves on certain areas due to safety concerns).
MM8.1d Provide First Aid Training for all project staff. Training courses to be provided by third party trainer in Ecuador (there are several)

Implementation action plan

Although the mangrove-dependent communities live with the identified risks every day, the project activities may increase the probability that community members will be exposed to them. Mitigation measures should include discussing and assessing health and safety risks with communities who will be involved in project activities and developing emergency prevention and response planning. A risk assessment tool is provided below that should be used to identify community health and security risks, to assess their severity and to identify and document mitigation measures for medium and high risks. This assessment should be undertaken in each community where Activity 1.1.1. activities (and restoration under 2.2.1) will occur and can also be adapted for use with other activities (for example livelihood support activities and small community grants planned under Activity 1.2.1 and 1.2.2. if health and security concerns are raised during the screening – see Appendix 10).

Mitigation measures (MM)	Responsible party/person	Schedule
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MM8.1a Project staff receive training on dealing with Community Health, Safety and Security risks, including completion of Community Health, Safety and Security risk assessments.	Safeguards Manager	Year 1
MM8.1b Complete Community Health, Safety and Security risk assessment for Activity 1.1.1 in each community.	Field based staff working with communities, Component 1 Manager, Safeguard Manager	Throughout the project – for the community it will depend on the years when work is scheduled. To be done at the start of engagement with the community
MM8.1c Implement mitigation measures identified in the Community Health, Safety and Security risk assessment. This could include redesigning or avoiding some activities at the community level (e.g. deciding not to restore mangroves on certain areas due to safety concerns).	Field based staff working with communities, Component 1 Manager, Safeguard Manager	Throughout the project – for the community it will depend on the years when work is scheduled. To be done at the start of engagement with the community.
MM8.1d Provide First Aid Training for all project staff. Training courses to be provided by third party trainer in Ecuador (there are several)	Safeguard Manager, Supported by Regional Director of Safety and Security	Year 1

Monitoring and reporting:

The following indicators will need to be monitored.

Mitigation measures (MM)	Indicator (I)	Target (T)
MM8.1a Project staff receive training on dealing with Community Health, Safety and Security risks, including completion of Community Health, Safety and Security risk assessments.	I8.1.1 Number of people trained on the project's Community Health, Safety and Security requirements	T81.1 All field-based and technical project staff receive training

MM8.1b Complete Community Health, Safety and Security risk assessment for Activity 1.1.1 (and restoration activities in 2.2.1) in each community.	I8.1.2 Number of communities where a Community Health, Safety and Security risk assessment has been completed.	T8.1.2 Community Health, Safety and Security risk assessments completed for all communities engaged in Activity 1.1.1 and restoration activities in 2.2.1.
MM8.1c Implement mitigation measures identified in the Community Health, Safety and Security risk assessment. This could include redesigning or avoiding some activities at the community level (e.g. deciding not to restore mangroves on certain areas due to safety concerns).	I8.1.3 Number of communities where the mitigation measures identified in the Community Health, Safety and Security risk assessment have been acted upon.	T8.1.3 All feasible mitigation measures have been acted upon.
MM8.1d Provide First Aid Training for all project staff. Training courses to be provided by third party trainer in Ecuador (there are several)	I8.1.4 Number (and proportion) of staff trained in First Aid	T81.4 All project staff trained in First Aid

Community Health, Safety & Security Risk Assessment Tool

The purpose of ESS 8: Community Health, Safety and Security is to ensure that risks or potential impacts to the health, safety and security of project-affected communities are identified, avoided and mitigated. The following Risk Assessment Tools will help to determine the risks associated with activities at the community level and to identify mitigation measures. A Risk Assessment for Activity 1.1.1. should be conducted in each community or community group (i.e. usually with the AUSCEM in this project) where the project works at the start of engagement with the community. The assessment tool may also be appropriate for other activities included in the project in some cases.

The project risk assessment tool follows a simple process:

- i. *Identify risks to the project-affected communities.* Understanding the local context of the project area(s) will help in identifying the threats to project-affected communities. The focus needs to be on risks that are due to the project activities rather than more general safety and security risks that the community may have.
- ii. *Assess likelihood and consequences of risks.* Likelihood of an incident can be assessed by: taking into account any *existing* controls that may be in place to address the identified health, safety and security risk; the frequency that the risk has materialized in the project region in the recent past; any forecasting of frequency that the risk would materialize in the future.

- iii. *Determine risk and risk ratings for each threat the project-affected communities face.* Assign the overall risk rating by taking the highest risk rating for any threat. Consider several criteria when classifying risk.
- Vulnerability** – referring to the number of people potentially affected, with attention to the special needs and exposure of disadvantaged or vulnerable groups or individuals, including in particular women and children;
- Severity** – referring to the level of impact on project-affected communities, such as relocation, severe injury or death.
- Interconnectivity** - Would any potential safety risks to local communities be exacerbated by other safety risks? For example, would heavy rain create a drowning hazard risk at a site proposed for mangrove restoration?
- iv. *Identify mitigation measures.* The project must design, implement and monitor appropriate measures to prevent or avoid any adverse impacts of the project activities on community health, safety and security, where feasible, or minimize or mitigate, where avoidance or prevention are not feasible. For each threat where the risk rating has been determined to be **Medium and above**, identify mitigation measures to reduce the risk. Some examples:
- a. Water-borne diseases such leptospirosis and cholera (vibriosis) can be present in mangrove areas. Mitigation measures can include setting up of hand washing stations in project sites and informing communities of the risks from these diseases.
 - b. For security risks, has an adequate social or conflict analysis been conducted and socialized?
 - c. Is exposure to pesticides from upstream shrimp farms or agriculture a risk at a restoration site. If so the site, or part of it, may not be appropriate for community restoration activities.
 - d. If a particular site proposed for mangrove restoration poses a drowning hazard then it may not be an appropriate choice for restoration activities.
 - e. If heavy rain or wind would create medium risks at a mangrove restoration site then ensuring that the community had access to accurate weather forecasts to safely plan work could be an appropriate mitigation measure.
- v. Apart from identifying mitigation measures, the project staff must ensure that these measures are implemented. They should be integrated into the planned work with the community and budget should be assigned if necessary, including for training. Responsibilities for the mitigation measures should be assigned and monitoring protocols developed.
- vi. Complete the CHSS risk assessment (Table A) and mitigation measures (Table B) with Tables C and D as guidance.

Table A. Community Health, Safety and Security Risk Assessment Tool

Identify Health, Safety and Security Threats	Likelihood	Severity	Risk score	Risk rating (Low, Medium, High)
Does the activity involve construction, operation or decommissioning that could pose a risk to local communities?				
Would the activity create nuisances to community health and safety e.g. through the generation of dust, vibration, shadow, burning of				

discharge of wastes, traffic noise, influx of people?				
Does the activity pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, and biological hazards during project construction, operation, or decommissioning?				
Does the activity engage contractors that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to lack of adequate training or accountability)				
Could the activity's use of contractors increase the risk of SEAH within the community?				
Does the activity pose potential risks to community rangers in the course of their field activities?				
Would the activity result in potential increased health risks (e.g. water borne diseases, vector-borne diseases or communicable infections such as HIV/AIDS or coronavirus)?				
Would the activity lead to increased susceptibility of the community to natural disasters such as earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?				
Does the activity risk escalating personal or community conflict and violence? For example, activities that increase economic opportunities could create resource competition or strengthen the rights of selective groups within a community.				
Could the activity increase threats of crime and/or security against the community?				
Others: <i>please add and describe as necessary</i>				

Table B. Risk Assessment Matrix (RAM) Options

Risk Assessment Matrix (RAM)		Probability Rating				
		1	2	3	4	5
Severity Rating		Near impossible	Unlikely	Noticeable Chance	Likely	Almost certain
1	No injury/ Near miss	1	2	3	4	5
2	Slight Injury/Illness (needing First Aid)	2	4	6	8	10
3	Minor injury/Illness (Medical Treatment needed)	3	6	9	12	15
4	Major Injury/Illness (Lost time/Illness, temporary disability)	4	8	12	16	20
5	Fatality or Permanent Disability	5	10	15	20	25

Low risk scores of 1-4: Can the risk be further reduced?
 Medium risk scores of 5-12: Reduce in so far as is reasonably practicable
 High risk scores of 15 and above: Unacceptable, the risk must be reduced for the activity to proceed

Table C. Template for recording Health, Safety and Security Risk Mitigation Measures

Identify Health, Safety and Security Threat	Risk rating (Low, Medium, High)	Risk Mitigation Measures
<i>Please list all of the medium and High risks</i>	<i>Take from the Risk Assessment Matrix analysis</i>	<i>Describe the proposed mitigation measures, including familiarity of the Project Team with the proposed measure or other factors that will influence the effectiveness.</i>

Risk 8.2 Violence towards communities by organized crime groups.

Explanation: In early 2024, the country witnessed widespread violence due to organized gang activities, prison breaks and intimidation. Although the violence has decreased, the government’s ‘war’ against drug gangs will maintain an increased presence of military and ongoing security operations against these groups.

Risk significance: Medium

Mitigation measures (MM)
MM8.2a Train project staff in Hostile Environment Awareness Training for field-based staff to ensure that staff are aware of the risks that organized criminal groups pose to communities and organizations working in the same geographical space (see Appendix 11)
MM8.2b Ongoing safety and security support through regular visits and meetings with CI’s Regional Safety and Security Director

Implementation action plan

Although not a risk created by the project, the violent security context could make working with local communities risky if drug gangs decide to target local communities due to project activities. The types of activities supported by the project (e.g. tree planting) seem unlikely to attract the attention of gangs since they generally won’t be providing items of high value to the communities. An exception could be the community small grants and the risk that these could attract attention of gangs should be considered in the safeguard screening and application process for these subprojects. The main response to this risk is to equip all field and technical staff with knowledge of the risks and the capacity to anticipate and to respond to security incidents swiftly and effectively. The most important factor is to retain a localized and

nanced understanding of security risks and to adapt project activities accordingly (for example suspending activities in certain areas if necessary). The main way to achieve this for the project is to ensure training of staff in Hostile Environment Awareness Training and provide ongoing support on security issues (see Security plan, Appendix 11, for further details).

Mitigation measures (MM)	Responsible party/person	Schedule
MM8.2a Train project staff in Hostile Environment Awareness Training for field-based staff to ensure that staff are of the risks that organized criminal groups pose to communities and organizations working in the same geographical space (see Appendix 11)	Safeguards manager, Regional Director of Safety and Security, third party trainer.	Year 1
MM8.2b Ongoing safety and security support through regular visits and meetings with CI's Regional Safety and Security Director	Project Director, Safeguards manager, Regional Director of Safety and Security	Ongoing, with formal meetings to assess safety and security issues every 6 months

Monitoring and reporting:

The following indicators will need to be monitored.

Mitigation measures (MM)	Indicator (I)	Target (T)
MM8.2a Train project staff in Hostile Environment Awareness Training for field-based staff to ensure that staff are of the risks that organized criminal groups pose to communities and organizations working in the same geographical space (see Appendix 11)	I8.2.1. Key staff receive Hostile Awareness Training	T8.2.1 20 key staff trained in Hostile Environment Awareness Training
MM8.2b Ongoing safety and security support through regular visits and meetings with CI's Regional Safety and Security Director	I8.2.2 Number of formal meetings to assess safety and security issues	T8.2.2 Formal meetings to assess safety and security issues every 6 months

Appendix 14: Methodology for conducting limited ESIA's

Introduction

This Appendix provides guidance to the project implementing team for conducting limited ESIA's in the case that screening of community grant requests (using screening tool in Appendix 10) or site-level screening of mangrove restoration (using Appendices 10 and 12) determine that a limited ESIA is necessary. Appendix II of the CI-GCF Agency's ESMF⁴³ provides a general methodology for developing ESIA's and should be consulted. Additional resources can also be found on CI's internal sharepoint site in the "Program Management and Safeguards" section (see CI Navigator/Tools). Additional guidance can be provided by the CI-GCF Agency Safeguards Senior Director and/or the CI Safeguards team.

In general, if a requested community grant or site-based mangrove restoration activity (a "subproject" for the purposes of this ESMP) is triggering a Category B safeguard classification during screening then the project team should consider whether the grant or activity should go ahead. It will likely be better to redesign the "subproject" to avoid the social or environmental risks that have been identified during the screening process.

If the project team judges that it is important to carry out the "subproject", then the CI-GCF Agency will require a limited ESIA and ESMP of the proposed subproject to help ensure environmental and social soundness and sustainability. Note that in addition to preparing the ESIA and ESMP for each category B subproject, there will be a lengthy review process with the GCF Secretariat and a period of disclosure (see below).

An ESIA identifies and assesses the potential impacts of a proposed subproject on physical, biological, socio-economic and cultural heritage, including potential impacts on human health, safety and security; evaluates alternatives; and proposes appropriate avoidance, minimization, mitigation, or offset alternatives, as well as management and monitoring measures.

Not all subprojects may require ESIA's. Each subproject should be screened (using Appendix 10 for community small grants and 10 and 12 for mangrove restoration) as early as possible to determine whether an ESIA is warranted. If so, safeguard screening will also help determine the extent and type of ESIA required so that appropriate studies are undertaken proportional to potential risks and to direct impact as well as indirect, cumulative, and associated impacts as relevant. There are several types of ESIA, but the guidance in this appendix is focused on the "limited" ESIA process. The ESIA will be "limited" in the sense that it is targeted on a very specific subproject which is part of the larger project. Also a "limited" ESIA does not require as much background and baseline data as a full ESIA. A full ESIA for high risk projects would usually require a detailed scoping study and extensive stakeholder consultation.

The ESIA must also comply with national requirements. However, where there are differences between the CI-GCF Agency and national requirements, the project must follow the more stringent requirements/standards.

Note that project staff must ensure that they obtain, or contractually ensure that the Final Beneficiary(ies) of any subproject shall obtain, all land and/or rights in respect to land that are required to carry out the subproject and shall promptly furnish to the AE, upon its request, evidence satisfactory to the AE that

⁴³ https://www.conservation.org/docs/default-source/gcf/ci_gef_gcf-esmf-version-7.pdf?sfvrsn=a788de43_4

such land and rights in respect of the land are available for the purposes of the subproject. This applies to all subprojects, irrespective of the ES risk category.

In relation to each Category B subproject, the ESIA and ESMP and, as appropriate, any other associated information including those relevant to indigenous peoples required to be disclosed pursuant to the GCF Information Disclosure Policy and the GCF Revised Environmental and Social Policy (each, the “Subproject Disclosure Package”) must be disclosed publicly. The Project staff must ensure disclosure of each subproject Disclosure Package, for a period of at least thirty (30) calendar days for Category B prior to its approval of the relevant Category B subproject, in English and Spanish, on its website and in locations convenient to the affected peoples, and submit the Subproject Disclosure Package to the Green Climate Fund (via the AE) for subsequent distribution to the GCF Board and the GCF’s active observers and for publishing on the GCF website. Prior to the finalization of each Subproject Disclosure Package, deliver such documentation for the review and comment by the Green Climate Fund and take into account such comments in the finalization of the Sub-Project Disclosure Packages.

ESIA Process Overview

An ESIA process (see Figure 14.1):

- a) Begins with safeguard screening at the earliest stage of the subproject cycle and continues in an iterative manner throughout the cycle as plans are developed and implemented;
- b) Looks at all relevant levels of biodiversity, habitat, and community information;
- c) Addresses both direct, indirect, and cumulative impacts by considering ecological, social and economic changes; and
- d) Analyzes and responds to the interaction between environmental and social issues.

For effective protection of the natural, human and social environment, the CI-GCF Agency will require an ESIA report based on the template provided in Appendix 15. The template is intended for either full or limited ESIA and therefore can be simplified depending on context and need.

The CI-GCF Agency recognizes that stakeholder consultation and public disclosure are instrumental in achieving a balanced ESIA and stipulates that the project Executing Entity:

- a) Makes a draft ESIA report available to all stakeholders for comment before the final decision about the proposed subproject; and
- b) Structures consultations and takes subsequent actions in ways that will further the objectives of promoting and achieving gender equality.

ESIA stages include:

- a) **Safeguard Screening:** The Project staff will use the Subproject *Safeguard Screening Form* (see *Appendices 10 and 12*) to determine whether a limited ESIA, or no ESIA is needed for the proposed subproject as well as if special further studies are required;

The project's Safeguard Specialist will screen the subproject and screening outcomes may result in a subproject being designated as Category A, B or C (category A subprojects will not be eligible for further consideration). If the screening results in environmental and/or social issues that result in a Category B designation then the project team should consider if they want to proceed with the subproject. If they do, then proceed to step b:

b) **Impact analysis:** The project staff undertake an impact analysis identifying the types of impacts likely to occur as a result of the proposed subproject, and which should be covered by the limited ESIA. For a limited ESIA the impact analysis does not need to include stakeholder engagement to help identify issues, but it may be useful to do so, particularly if social issues are identified. Based on the results of the impact analysis, the Project staff will develop the limited ESIA (potentially with an ESMP) based on the template provided in Appendix 15;

c) **Implementation of the limited ESIA:** Overall subproject assessment and any specialist studies, as identified during the impact analysis, are to be conducted. Special studies are guided by the safeguard issues raised during the impact analysis and/or stakeholder consultations if undertaken. They deal with the concerns of stakeholders in these areas. For adverse impacts, alternatives are identified to establish the most environmentally sound and benign option(s) for achieving subproject objectives;

d) **Draft Report:** The project field team (field technicians, including social technicians in each estuary and the Component 1 Manager) presents the ESIA findings as an ESIA document/report. This discusses mitigation and impact management (measures to avoid, minimize, mitigate, or offset adverse impacts), monitoring and reporting. Where appropriate, draft mitigation plans are incorporated into a draft ESMP. The ESMP describes appropriate, feasible and cost-effective measures to avoid, reduce or mitigate potential negative impacts and enhance positive impacts to acceptable levels, where these are relevant within the project. For adverse impacts, alternatives should be identified to establish the most environmentally and socially sound and benign option(s) for achieving project goals. The document/report must be clear, impartial, publicly available, and address stakeholder concerns;

e) **Review and Final Report:** It is the responsibility of the project Safeguard Manager to review and approve the final ESIA report to ensure that it addresses the concerns identified during screening;

f) **Decision-making:** Final decision on whether to support a proposed subproject will be made by the Project Director based on the recommendations of the Safeguard Manager. The project team does reserve the right to not pursue a subproject if the ESIA indicates that the proposed minimizing or mitigating measures are too costly/risky; and

g) **Monitoring, reporting, and enforcement:** The project Safeguard Manager will monitor whether the project field team ensures compliance with the mitigation measures as incorporated in project design and monitored by the indicators of the subproject-level ESIA.

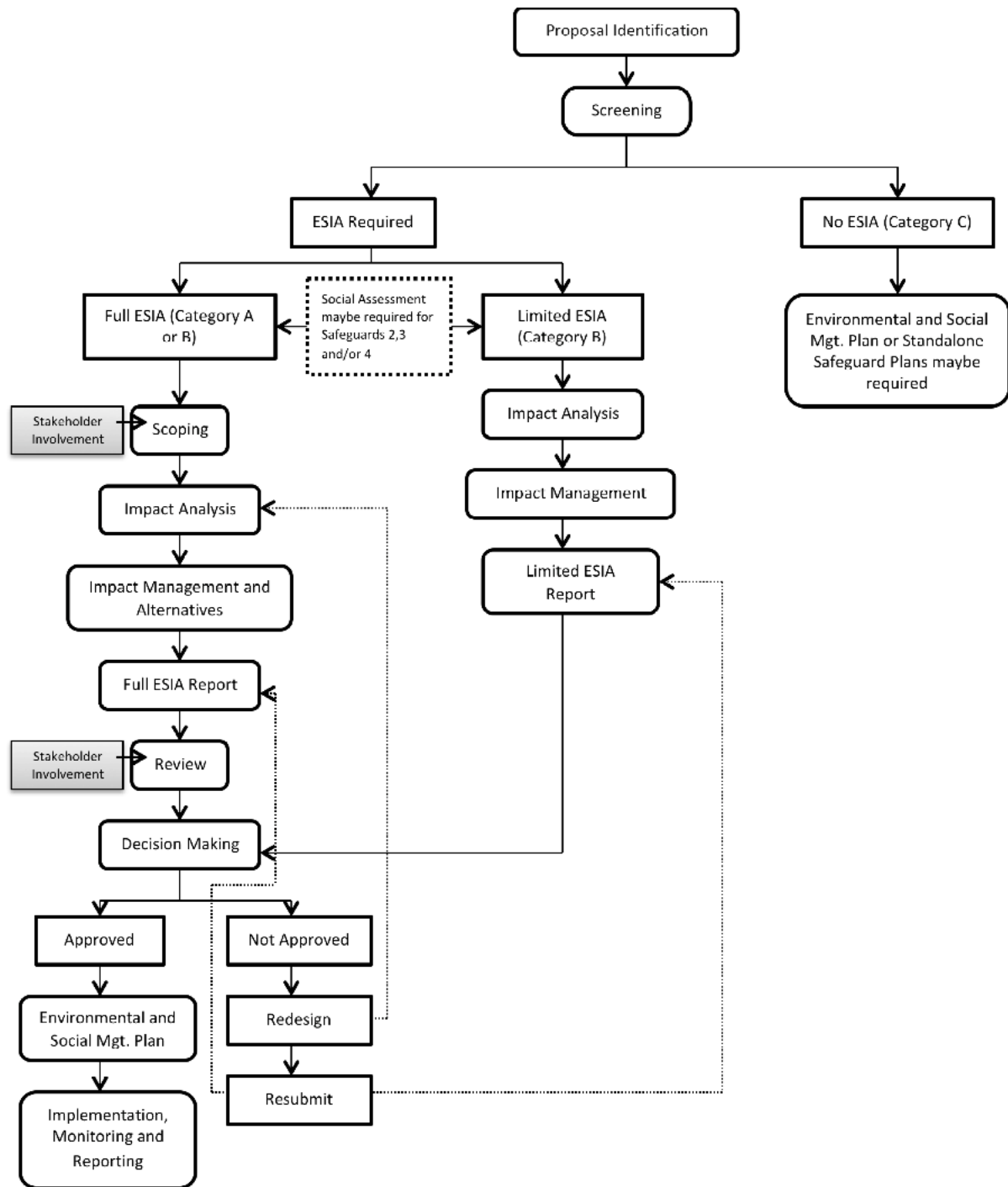


Figure 14.1: The General ESIA Process; this appendix provides guidance for developing a limited ESIA.

Appendix 15: Template for Environmental and Social Impact Assessment (ESIA) & Environmental and Social Management Plan (ESMP)

For use with high and medium-risk projects (can be adapted for a limited ESIA and can be further refined and customized by the project Safeguard Manager at project inception)

1. An ESIA/ESMP is always required of proposed projects that are rated high risk (Category A) and medium risk (Category B) to help ensure their environmental and social soundness and sustainability. The level of detail and scope of the ESIA will correspond to the level of risk of the project; generally, a full ESIA is required for Category A, while a limited ESIA is required for Category B projects. The project's safeguards screening form will have indicated what category project (and type of ESIA) is required.

Features of a full ESIA/ESMP	Features of a limited ESIA/ESMP
<ul style="list-style-type: none"> • Often gathers first-person data from project stakeholders • More in-depth research than limited • Often carried out by a safeguard specialist consultant • May expand on this template 	<ul style="list-style-type: none"> • Relies primarily on secondary data/information • In some cases, the Safeguard Screening Form can serve as the ESIA • Typically, focuses on a few specific environmental or social impacts identified in screening • Often carried out by project staff

2. The ESIA identifies, assesses, and prioritizes the potential impacts of a proposed project while the corresponding ESMP identifies appropriate measures to avoid, minimize, mitigate, or offset impacts identified in the ESIA, as well as management and monitoring protocols.
3. This template is general and specific content should be modified as necessary to address the identified and relevant risks and to ensure proportionate levels of detail (i.e., more detail for high-risk projects). In other words, **the ESIA/ESMP only needs to contain those sections that are applicable to the project activities and with a level of detail that is appropriate for describing the relevant environmental and social risks.**

SECTION I: Project Information

PROJECT TITLE:			
CI PROJECT ID:		PROJECT DURATION:	___ months
PROJECT TEAM:			
PROJECT ANTICIPATED START DATE:	<i>mm/yyyy</i>	PROJECT END DATE:	<i>mm/yyyy</i>
ESIA/ESMP PREPARED BY:			
DATE OF (RE)SUBMISSION TO CI:			
ESIA/ESMP APPROVED BY:	<i>(To be completed by designated Safeguards Specialist)</i>		
DATE OF PDM/ESA APPROVAL:	<i>(To be completed by designated Safeguards Specialist)</i>		
PERSON(S) RESPONSIBLE FOR IMPLEMENTING AND MONITORING THE ESMP:	<i>Provide name and designation of that person</i>		
HOW/WHERE WILL THE APPROVED ESIA and ESMP BE DISCLOSED⁴⁴:	<i>E.g., via the project's website, at the inception meeting with stakeholders, printed and posted on notice board in community center, etc.</i>		
WHEN WILL THE APPROVED ESIA and ESMP BE DISCLOSED?	<i>E.g., at the start of the implementation phase, before the end of the first quarter during implementation phase, etc.</i>		
Project Safeguard Risk Category: <input type="checkbox"/> medium risk (GCF Category B) <input type="checkbox"/> high risk (GCF Category A)			
Summary of Safeguards Triggered:			
Planned Safeguard Assessments, Plans, Procedures or Tools:			

SECTION II: Project Summary

Provide a short description of the project using the best available information for the project site, include at a minimum the following information:

- a) Location and geographic extent of the project area(s), preferably with a map
- b) Project entities (project lead & partners) and their roles in the project
- c) Summary of the project (objectives, expected results/outcomes, main activities, budget, etc.)
- d) Summary of the E&S risk screening, categorization, ESSs triggered and any scoping.

⁴⁴ Approved Safeguard plans are to be disclosed to stakeholders in a manner and form that they will understand and that is culturally appropriate. This may require translation of the document.

SECTION III: Environmental & Social Impact Assessment

The following is a recommended list of contents for a full and limited ESIA. For further details on how to conduct an ESIA, see the CI-GCF ESMF Appendix II.

1. **Executive summary:** Concisely discusses limitations, most significant findings, and recommendations.
2. **Project description:** Concisely describes the proposed project and its geographic, ecological, social, and temporal context, including any offsite investments that may be required. Describe relevant national level environmental and social context. Indicates the need for any process framework or resettlement plan or Indigenous Peoples development plan (normally includes a map showing the project site and the project's area of influence).
3. **ESIA methodology:** Includes overview of methodology to carry out the ESIA, baseline, selection of study area, and impact assessment.
4. **Analysis of policy, legal, and administrative framework (for a limited ESIA this may not be relevant and/or should focus on local issues):** Describe the international/national policy, legal, and administrative framework within which the ESIA is carried out. Specify any national approval process/requirement for ESIA's. Include a gap analysis with respect to the CI GCF Agency environmental and social safeguards, indicating clearly which safeguard standards will be used, as well as an assessed capacity of any project delivery partners. This includes reviewing national EIA requirements.
5. **Stakeholder identification and analysis:** Clarify how different stakeholders should be involved in the ESIA process. By using the SEP template⁴⁵ or equivalent format for organizing this information, list all stakeholders and identify their (i) interests and expectations from the project, (ii) how they might influence the project positively or negatively, (iii) an estimation of how their livelihoods could be impacted by the project, and (iv) how they should be involved in the ESIA based on the above analysis.
6. **Baseline data:** The main purpose of this section is to provide an understanding of the current environmental and social conditions that form the baseline against which project impacts can be predicted and measured during implementation. Assesses the dimensions of the study area and describe relevant physical, hydrological, climate, biological, socioeconomic, and cultural conditions, including any changes anticipated before the project commences. Land and resource tenure should be described. Also consider current and proposed development activities within the project area but not directly connected to the project. Data should be relevant to decisions about project location, design, operation, or mitigation measures. The section includes reference to the accuracy, reliability, and sources of the data. For complex projects, unless a socio-economic survey of the affected population has been completed recently, the Project Team is highly encouraged to conduct a robust survey of relevant baseline conditions.
7. **Evaluation of environmental and social impacts:** This section is the most important of the ESIA. Predict and assess the project's likely positive and negative impacts and their distribution on

⁴⁵ See CISS Stakeholder engagement template [here](#).

affected peoples, in quantitative terms to the extent possible (probability of occurrence and severity of impact). Consider the context risks which may influence the project. The assessment should explore opportunities for environmental and social enhancement, including gender considerations. Identify and estimate the extent and quality of available data, key data gaps, and uncertainties associated with predictions. Specify topics that do not require further attention.

When analyzing the risks, both direct and indirect impacts should be taken into consideration, including those that might materialize through interaction with other developments, impacts occurring at the project site or within the wider area of influence, and impacts triggered over time. Impacts from associated facilities and cumulative effects of multiple interventions should also be considered. See ESMF Appendix I for further guidance on the specific type of impact assessment that is most suitable for the project or context and when to hire an expert in these ESIA methodologies.

Analyze project impacts using a range of methods from simple qualitative analysis to detailed quantitative surveys or modelling. The data collection methods and analytical tools used, and the depth of analysis should be commensurate with the type, the geographic and temporal scope and significance of the impacts. The report should describe the methods chosen for data collection and analysis and the rationale for the choice of method; it should further describe the quality of available data and, where applicable, explain key data gaps and uncertainties associated with predictions.

Employ participatory research, engagement, and assessment tools wherever sensible to increase stakeholder's understanding of the project, provide opportunity for raising issues and enable participation of affected groups in the identification of mitigation measures.

See Policy 1 (Section E) and ESS 1 Requirements for CI's methodology for assessing the significance of environmental social impacts/risks. A suggestion for organizing this comprehensive information is to follow the format of the 10 ESSs (see CI-GCF Agency ESMF).

8. **Analysis of alternatives:** Systematically compares feasible alternatives to the proposed project site, technology, design, and operation—including the "business as usual" situation—in terms of their potential environmental impacts; the feasibility of mitigating these impacts; their capital and recurrent costs; their suitability under local conditions; and their institutional, training, and monitoring requirements. For each of the alternatives, this analysis quantifies the environmental and social impacts to the extent possible and attaches economic values where feasible. It states the basis for selecting the particular project design proposed and justifies recommended emission levels and approaches to pollution prevention and abatement.
9. **E&S Risk Matrix.** Based on the ESIA research, begin to fill in the first three columns in **Table 1:** (1) type of risk, (2) project activities where this might arise, and (3) a best estimate of level of risk. The ESMP guidance that follows focuses on design of mitigation actions, roles and responsibilities, budget and monitoring and evaluation of safeguard performance.

SECTION IV: Environmental & Social Management Plan

10. **The ESMP is a strategy for managing the risks and mitigating impacts described in the ESIA.** The ESMP describes appropriate, feasible and cost-effective measures to avoid, reduce or mitigate potential negative impacts and enhance positive impacts to acceptable levels, where these are relevant within the project. For adverse impacts, alternatives should be identified to establish the most environmentally and socially sound and benign option(s) for achieving project goals.
11. **E&S Risk Matrix.** For those risks identified as medium or high, indicate in **Table 1** what measures the project will take to avoid, minimize/reduce, restore, or offset any negative impacts.
 - a. There are instances where a mitigation measure is already conceptualized as an activity in the project's main implementation plan. It is still advisable to also include this activity in Table 1 along with all other mitigation measures in order to provide an overall picture of the project's mitigation strategy and to be able to check the list of mitigation measures against the identified impacts.
 - b. The implementation schedule for mitigation measures should indicate phasing and coordination with overall project implementation plans.
 - c. A detailed budget will include any capital (equipment) and recurrent cost estimates and sources of funds for implementing the measures identified.
 - d. Finally, indicate what level of residual impact may be present, after mitigation measures.

Table: Project E&S risk analysis and mitigation plan

Text in **red** provides examples only to illustrate possible topics and should be edited to suit project contexts.

ESIA			ESMP			
Type of social or environmental risk	List specific outcome or activity within the Results Framework where this risk is present.	Level of risk (Low, Medium, High)	Possible planned risk mitigation measure or action (for medium and high risks) <i>Please specify in detail those measures that will be supported in the project.</i>	Schedule of implementation <i>(In which years or quarters will these measures be implemented?)</i>	Est. budget to mitigate risk	Residual impact ⁴⁶ (High, Some, None)
Weak Governance For example, threats to rights, poor recognition of land rights or exclusion of people, including Indigenous Peoples, due to weak protections or enforcement of rule of law			<ul style="list-style-type: none"> • <i>Conflict/social assessment as part of SEP</i> • <i>Targeted engagement strategy for key government counterparts as part of the stakeholder engagement plan.</i> • <i>Indigenous Peoples Plan</i> • <i>Disclosure and communication about project objectives, detailed in SEP</i> • <i>Grievance mechanism</i> 			
Threats to public health and safety For example, health, safety, and security risks for community partners and for CI staff related to how COVID-19 infections limit the ability to conduct field work.			<ul style="list-style-type: none"> • <i>Safety and security protocol is defined with partner inputs and followed, codified in a CHSS and/or L&WC plan</i> • <i>Reporting on safety and security plan</i> • <i>Health Impact Assessment as part of CHSS plan</i> • <i>Grievance mechanism & incident reporting protocol</i> • <i>Conflict assessment as part of ESIA/ESMP</i> 			

⁴⁶ Residual impact refers to the level of impact that remains after planned mitigation is completed, with the expectation that likelihood of effectiveness of mitigation measures may often be less than 100%. Even when fully effective, a project’s mitigation actions may not eliminate all risk leaving ‘residual’ impacts.

<p>Resource conflicts For example, conflict risks related to use of lands/marine areas or resources, or land tenure, boundary demarcation-related conflicts</p>			<ul style="list-style-type: none"> • <i>Stakeholder engagement plan</i> • <i>Process Framework, Resettlement Action Plan</i> • <i>Gender assessment and action plan</i> • <i>FPIC assessment, training</i> • <i>Conflict assessment as part of ESIA/ESMP</i> • <i>Negotiation training as part of ESMP</i> • <i>Accountability and grievance mechanism</i> 			
<p>Biodiversity and Natural Habitat risks Risks to protected areas, endangered species, or ecosystems; Pollution, waste, chemical, pesticide risks from agricultural or agro-processing activities.</p>			<ul style="list-style-type: none"> • <i>Ecosystem services assessment as part of ESIA/ESMP or EIA/EMP</i> • <i>Biodiversity assessment and management plan as part of ESIA/ESMP or BIA/BMP</i> • <i>Protections for areas of high ecological value as part of ESMP and/or BMP</i> • <i>Pesticide management plan within ESMP and/or stand-alone PMP</i> • <i>Carbon Validation and Verification Assessment within ESMP</i> 			
<p>Exclusion from or unequal benefit sharing and decision-making based on gender, ethnic, disability or other related exclusion</p>			<ul style="list-style-type: none"> • <i>Stakeholder engagement plan</i> • <i>Gender assessment and action plan</i> • <i>Indigenous Peoples Plan</i> • <i>Process Framework, Resettlement Action Plan</i> • <i>Impact & benefit sharing plan/negotiated agreement within ESMP and/or IPP</i> • <i>Accountability and grievance mechanism</i> 			
<p>Labor and working conditions risk that puts employees and delivery partners in unsafe jobs.</p>			<ul style="list-style-type: none"> • <i>Special worker training, code of conduct, vetting procedure, etc. clarified in a labor management procedure</i> • <i>Worker safety & security plan</i> 			
<p>Risks to tangible, intangible cultural heritage.</p>			<ul style="list-style-type: none"> • <i>Cultural heritage management plan</i> • <i>FPIC if ecotourism intends to commercialize cultural heritage</i> 			
<p>Arrangements that restrict access to resources or lands.</p>			<ul style="list-style-type: none"> • <i>Process framework for negotiating arrangements</i> • <i>Livelihood restoration plan</i> 			

Risks to livelihoods when access to natural resources is restricted, particularly when affected peoples are dependent on natural resources			<ul style="list-style-type: none"> • <i>Resettlement action plan</i> 			
Increased gender-based violence (GBV) , including sexual exploitation, abuse, or harassment, due to project activities.			<ul style="list-style-type: none"> • <i>Gender mainstreaming plan which includes training of staff, GBV expert referral list</i> • <i>Accountability and grievance mechanism that is sensitive to GBV-related grievances</i> 			
Safeguard capacity of partners is inadequate meaning the ESMP risk mitigation measures are not executed well.			<ul style="list-style-type: none"> • <i>ESMP that includes due diligence process to assess ESMS or safeguard capacity of any project partner.</i> • <i>Training for delivery partners as indicated in ESMP</i> 			
<i>Add more rows as needed</i>						

SECTION V: Considerations for the Implementation of the ESMP

Budget

Provide the budget and schedule for implementation of the identified mitigation activities identified above. If the mitigation activity cost is covered under an existing budgeted work plan activity, indicate which one. If not, estimate the additional costs to complete the activity. As this is an umbrella safeguard document, the budget should reflect the costs of all Safeguard Plans. Text in **red** provides examples only to illustrate possible topics and should be edited to suit project contexts.

Table 2. ESMP Budget

Safeguard Mitigation Action <i>(From 4th column in Table 1)</i>	Description	Already budgeted in project activity	Additional Costs	
			Staff or consultant time	Activity costs
Stakeholder Engagement Plan	See SEP			
Gender mainstreaming plan	See GMP			
Accountability and Grievance Mechanism ⁴⁷	See AGM			
Other safeguard plans as appropriate				

Staff & delivery partner roles, responsibilities & capacities

Describe who will be responsible for managing the implementation and monitoring of the ESMP. List all relevant project staff in Table 3.

Table 3. Roles, Responsibilities & Capacities of CI Project Team

Name/Title:	Safeguard Role or Responsibility	To be hired (TBH) or on staff (OS)	Does person have the technical background and skills appropriate for the level of complexity of this ESMP (i.e., has this person designed and implemented similar safeguard plans before?) If yes, please provide detail; if no, how	Approx. what percentage of time will be focused on implementation & monitoring the ESMP?

⁴⁷ Please note that for all moderate and high-risk projects, the grievance mechanism should budget for at least 1-2 high-risk grievances per year, to cover the cost of CI's Grievance Subcommittee. Average cost for each grievance review is approximately \$USD 5,000.

			will this skills gap be addressed?	
		<input type="checkbox"/> TBH <input type="checkbox"/> OS	<input type="checkbox"/> Yes <input type="checkbox"/> No Explanation:	<input type="checkbox"/> <25% <input type="checkbox"/> 25% <input type="checkbox"/> 50% <input type="checkbox"/> 75% <input type="checkbox"/> 100%
		<input type="checkbox"/> TBH <input type="checkbox"/> OS	<input type="checkbox"/> Yes <input type="checkbox"/> No Explanation:	<input type="checkbox"/> <25% <input type="checkbox"/> 25% <input type="checkbox"/> 50% <input type="checkbox"/> 75% <input type="checkbox"/> 100%

Table 4. Roles, Responsibilities and Capacity of Project Delivery Partners

All Delivery Partners are required to work in accordance with the approved ESMP and will be required to understand their obligations under the ESMP, comply with safeguard instructions given by the project team, and attend safeguard training relevant to their scope of work. List all project Delivery Partners (including government and private sector partners) and use your best judgement to indicate their level of safeguards expertise/skills. Low = little to no experience, Medium = some experience, High = strong experience.

Delivery partner	Role or Responsibility	E&S Safeguard Capacity			
		Low	Medium	High	Don't know
Please identify and reference any resources on which this capacity assessment is based:				Yes	No
a. Partner certifications, recent trainings or professional credentials (relevant ISO ⁴⁸ , donor, or voluntary standards)					
b. Review of partner safeguard policy, procedure or guidance (please add web links if possible)					
c. Reports or documentation of past projects of similar scope, complexity and safeguard requirements					
d. CI due diligence meetings or application of assessment tools with key partner staff					
e. Other:					

⁴⁸ <https://www.iso.org/standards.html>

Capacity building/Training

The project team has the responsibility for ensuring systems are in place so that relevant staff, delivery partners, and other project-related workers are aware of their environmental and social responsibilities for the implementation of this ESMP. Use **Table 5** below to identify priority areas for safeguard-related capacity building for the project team (including Delivery Partners) at project inception/early implementation. As the project progresses additional training or coaching may become necessary and will be provided to ensure that the provisions of the ESMP are recognized and significantly incorporated into the design of any sub-project activities.

Text in **red** provides examples only to illustrate possible topics and should be edited to suit project contexts.

Table 5. Capacity building needs

Safeguard topic	Dates	Description	Target Audience (project staff, delivery partners, community members, etc.)	Trainer	Cost	Associated Project Activity
Accountability and Grievance Mechanism		Preparation to use local dispute resolution practices within Project	Designated Point persons in Partner community or organization			
FPIC		Process for good-faith negotiation with communities	Delivery partners			
SEAH & GBV		Awareness of SEAH & GBV and how it might manifest in the project context; understand what to do if incidents occur.	All project staff (CI & partners)			
Conflict sensitivity			All project staff (CI & partners)			

SECTION VI: Monitoring and Reporting

The effectiveness of the mitigation measures identified above will be monitored throughout the lifetime of the project. Effective monitoring relies on information from objective measures as well as observations and stakeholder consultations with affected groups that are often the best judge of the risk mitigation effectiveness. Stakeholders, particularly at the community level, should be involved in safeguard monitoring.

Continual assessment and identification of risks during project implementation will ensure that risks are accounted for as they emerge and dealt with accordingly. To that end, this ESMP should be considered a living document. On an annual basis, in coordination with the annual donor report or some other timeframe, ESMP performance should be monitored using **Table 6**.

Approximate date of first monitoring report: _____

Table 6. Safeguard implementation monitoring template

INSTRUCTIONS: Using the table below, describe the project’s plan for monitoring safeguard measures. Refer to Table 1 in this document, as well as the Gender, Stakeholder Engagement, and AGM Plans to identify and add in indicators as pertinent to your project. Additional example safeguard indicators can be found in Annex 2. At ESMP design stage, only the first two columns should be filled in; this table will be used for subsequent annual monitoring.

<p>SAFEGUARD AREA/ MITIGATION MEASURE</p> <p><i>Indicators listed below are required; additional indicators (depending on the mitigation measures identified in Table 1) should be added and targets assigned.</i></p>	<p>INDICATOR TARGETS</p>	<p>STATUS <i>What has been done in the last year to advance the safeguard measures ?</i></p> <p><i>What is the overall status of safeguard measures relative to baseline, targets or timeline?</i></p>	<p>IMPLEMENTATION PROGRESS <i>Behind schedule/on-track/ahead of schedule⁴⁹</i></p>	<p>COMMENTS/JUSTIFICATION <i>Provide justification for status described. If implementation is behind, explain why and the solution. Also indicate if there are project changes that may warrant an update to safeguards.</i></p>
<p>ACCOUNTABILITY AND GRIEVANCE MECHANISM</p> <p>1. Number of complaints received/addressed</p>				
<p>STAKEHOLDER ENGAGEMENT</p> <p>1. Total number of consultations, workshops and meetings in each project geography</p> <p>2. Number of women/men who have been involved in and/or benefit from project implementation</p> <p>3. Indicative % of men/women satisfied that project benefits</p>				

⁴⁹ As a rule of thumb: 50% of mitigation activities completed by mid-term, 75%+ by start of final project year

are shared equitably				
GENDER MAINSTREAMING 1. Indicative % of women who report positive change in their ability to engage in and influence NRM decision-making. 2. Indicative % of women who report increased access to and control of resources. 3. Indicative % of men who report observing change in women's leadership and influence, or access & control, due to project interventions.				
ESS1: ENVIRONMENTAL & SOCIAL IMPACT ASSESSMENT <i>(Delete if not applicable)</i>				
ESS 2: PROTECTION OF NATURAL HABITATS AND BIODIVERSITY CONSERVATION <i>(Delete if not applicable)</i>				
ESS 3: RESETTLEMENT AND PHYSICAL AND ECONOMIC DISPLACEMENT <i>(Delete if not applicable)</i>				
ESS 4: INDIGENOUS PEOPLES <i>(Delete if not applicable)</i>				
ESS 5: RESOURCE EFFICIENCY & POLLUTION PREVENTION <i>(Delete if not applicable)</i>				
ESS 6: CULTURAL HERITAGE				

<i>(Delete if not applicable)</i>				
ESS 7: LABOR & WORKING CONDITIONS <i>(Delete if not applicable)</i>				
ESS 8: COMMUNITY HEALTH, SAFETY & SECURITY 1. Number of project-related health, safety & security incidents that are properly reported				
ESS 9: PRIVATE SECTOR DIRECT INVESTMENT & FINANCIAL INTERMEDIARIES <i>(Delete if not applicable)</i>				
ESS 10: CLIMATE RISK AND RELATED DISASTERS <i>(Delete if not applicable)</i>				