

Blue Halo S – Blue Ecosystem Adaptation Mechanism (BEAM)

ANNEX 6(a): Environmental and Social Management Framework (ESMF)

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1. Introduction

1.1 Scope of The Environmental and Social Management Framework

The Environmental and Social Management Framework (ESMF) outlines the principles, policies, procedures and related institutional arrangements for screening, assessing, planning, and implementing the necessary measures to ensure that the preparation and implementation of *The Blue Halo S - Blue Ecosystem Adaptation Mechanism (BEAM)* do not cause (and/or to minimize and reduce) potential adverse environmental and social risks and impacts. This ESMF refers to **the Green Climate Fund's (GCF) Environmental and Social Framework (ESF)** and the applicable Environmental and Social Standards (ESS), both of which serve as operational tools to avoid, minimize, reduce or mitigate environmental and social impacts and risks as well as to increase the potential for developing outcomes of this project. The specific details and location of the project will be confirmed during project implementation. Therefore, a framework approach to project design was established as a guide for the overall management of environmental and social aspects. This ESMF was prepared as part of the requirements under the ESF for project proposal development/appraisal.

1.2 Objectives

This ESMF applies particularly to the BEAM Grant Facility under Component 2. The purpose of this ESMF is to elaborate requirements, procedures and regulations related to environmental and social management of the project to ensure full compliance with the ESS by the project Executing Entity. In particular, the objectives of this ESMF include:

- i. To identify and determine the typology of activities that are eligible to be supported under the Project through a screening process;
- ii. To identify and assess the potential environmental and social impacts of the proposed project and activity and sub-activity typologies;
- iii. To establish clear standards, procedures, and methodologies as guidelines for environmental and social management that are proportional to risk classification according to the mitigation hierarchy. These include, among others: risk and/or impact avoidance, community participation and consensus building with potentially affect stakeholders, implementation of Good International Industry Practices (GIIP), information disclosure requirements, Grievance Redress Mechanism (GRM), risk monitoring, capacity building to relevant agencies and implementing agencies as well as stakeholders;
- iv. To define appropriate roles and responsibilities for risk management across implementing agencies and/or stakeholders and outline of monitoring and reporting procedures required for environmental and social management, including incident reporting;
- v. As a guideline for the assessment of capacity needs, training needs, capacity building measures, and technical assistance required to implement this project and the relevant ESMF provisions and related instruments in a manner that is commensurate with the level of risk involved and enhances potential development outcomes; and
- vi. As a guideline for budgeting and resource planning for the implementation of the ESMF and related instruments and other necessary measures to improve project development outcome.

1.3 Scope and Outline of The Document

This ESMF was prepared by CI and KI, and comprises the following sections and appendices:

- **Introduction** provides an overview of the ESMF, including the purpose, scope, rationale for this ESMF and its limitations, and provides information on the background of the project, its components and sub-components;

- **Project Description:** This section details the specific activities and expected outcomes of the Blue Halo S BEAM Project. It maps out the geographical scope, target groups, and ecosystems, providing a solid foundation for subsequent analysis of environmental and social implications.
- **Policy, legal and administrative framework:** This section elaborates the policy, legal, and regulatory framework relating to this project and assesses the gaps between the legal framework and the ESS;
- **Stakeholder Engagement Plan:** This section is the strategy for ongoing communication and consultation with stakeholders throughout the project lifecycle;
- **Appendices** provides relevant operational tools such as screening forms, guidelines and procedures to address key potential environmental and social risks and impacts identified during project implementation in accordance with the applicable ESS.

In addition to the Environmental and Social Management Plan for the Project, a Stakeholder Engagement Plan (SEP), Gender Assessment and Action Plan (GAAP), and Grievance Redress Mechanism (GRM) documentation were prepared to support the preparation and implementation of the activities of the Project. These documents are essential tools for ensuring that a project is conducted in a socially and environmentally responsible manner, engages stakeholders effectively, promotes gender equality, and maintains a system for addressing concerns and grievances throughout its cycle. Those documents are used in conjunction and as a reference for the ESMF.

This document also provides the roles of Conservation International Foundation (CI) and Konservasi Indonesia (KI), through its CI-GCF Agency, which will serve as the Accredited Entity (AE) for the Project. The CI-GCF Agency will be responsible for the overall oversight of this project, 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 budgets¹. CI-GCF 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. 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.

1.4 Limitations

This Environmental and Social Management Framework (ESMF) has been prepared to anticipate and guide the management of environmental and social risks potentially arising from the project's activities, which are subject to specification during the implementation phase. This is particularly relevant to Component 2, which pertains to the disbursement of grants that are responsive to emerging demands. This plan will address specific environmental and social risks identified during project implementation's risk screening and assessment process. It ensures that sub-grant eligibility requirements are met for applications made through the grant facility. The ESMF establishes a set of roles, responsibilities, and operational directives for key implementing agencies and stakeholders. It provides a systematic approach to manage anticipated risks and impacts, ensuring adherence to environmental and social standards. The framework is designed to be adaptive, allowing for the integration of additional mitigation strategies within the planning stages of individual activities and sub-activities as required.

It is important to note that environmental and social safeguard (ESS) considerations are embedded within the grant application. The processes for the screening of sub-grants, are designated to ensure that all activities conducted under the auspices of the project align with established environmental

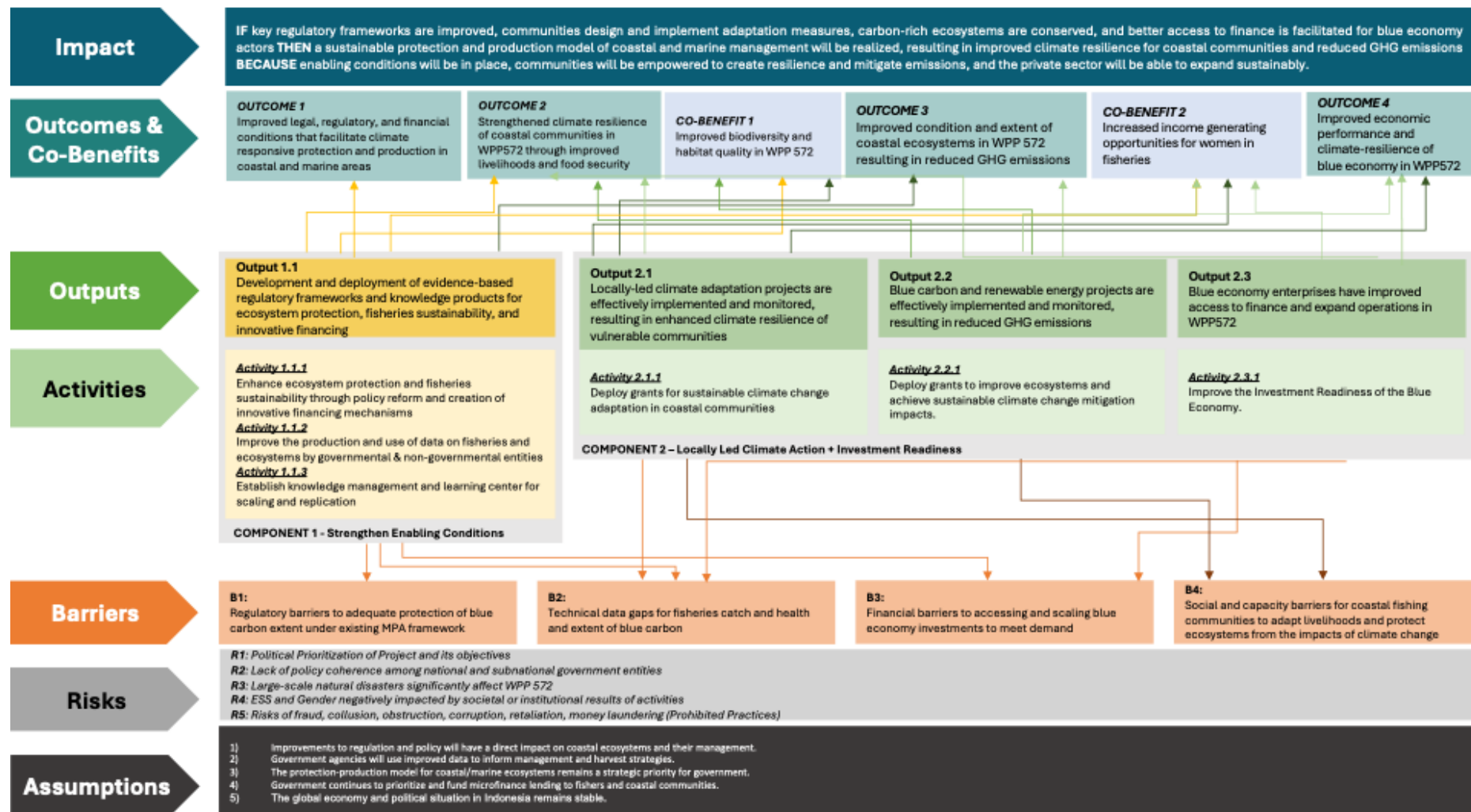
¹ This project adheres to CI-GCF policies and procedures, see: [CI-GCF Agency \(conservation.org\)](https://www.conservation.org/)

and social safeguarding criteria. These processes are a testament to the project's commitment to environmental integrity and social welfare, thereby contributing to sustainable project outcomes.

2. Project Description

2.1 Theory of Change

The Project seeks to establish the legal, policy, and financial enabling conditions for blue climate finance with a grant facility to a) support locally led community-level climate adaptation and mitigation initiatives in WPP 572 and b) to strengthen the investment readiness of blue economy enterprise partners through targeted technical assistance to BLU LPMUKP (the government's primary microcredit provider for the marine and fisheries sector). The facility will also support action-oriented research papers on market segmentation, enabling fisheries cooperatives, and marine tourism investment roadmaps, to spur blue climate finance for the ocean protection-production model. The Project also seeks to mobilize investment toward climate-sensitive blue economy activities by strengthening institutional capacity and creating an enabling mechanism. Its two components will deliver grant-based climate activities at the community level and create the enabling conditions for larger investments in sustainable blue ecosystem conservation and blue economy production. Insights from management processes and research will enhance project preparation for private sector blue enterprise partners, and foster engagement with financial intermediaries, banks, governments, NGOs, CSOs, MSMEs, and other stakeholders to catalyze private and public investment in the ocean protection-production model.



2.2 Project Overview

The Blue Halo S – Blue Ecosystem Adaptation Mechanism (BEAM) Project is designed to support the Government of Indonesia's goal to transform its marine and coastal economy to respond to the impacts of climate change while driving sustainable growth and development. This blue economy transition, detailed in Indonesia's national development plans, prioritizes expanded support for Marine Protected Areas (MPAs) and financing for community-based investments to increase fish catch value, enhance the socio-economic livelihoods of the target populations, including women and other vulnerable groups within coastal communities, and strengthen the climate resilience of people and ecosystems on which they depend.

BEAM supports ongoing Government interventions by addressing the long-term financing gap for the sustainable use of ocean resources to achieve inclusive and sustainable economic growth and the conservation of marine ecosystems through an innovative Protection–Production model. This model emphasizes the importance of protecting natural resources, threatened by climate change, as well as sustainable production and economic activities which support the well-being of Indonesia's coastal populations, including women and other vulnerable groups.

The Project will be implemented in the fisheries management area WPP 572, an extensive coastal and marine region with a total area of 94.3 million hectares adjacent to six provinces along the western coast of Sumatra. This region, one of the most climate-vulnerable areas in Indonesia, represents one of the country's most important fisheries and harbors biodiverse marine ecosystems. The Government of Indonesia (GoI) has prioritized WPP 572 for this GCF Project because of these factors. It also decided that it is the optimal location to pilot Blue Halo S work with the goal of replicating on and scaling interventions across the Indonesian archipelago. The target provinces are Aceh, North Sumatra, West Sumatra, Bengkulu, Lampung, and Banten.

Component 1 is focused on creating the enabling conditions for the GoI's blue economy transition. Direct support and technical assistance will be provided to national and sub-national Government institutions to facilitate the improvement of private sector financing of blue investments, improvement of protection and management of MPAs, enhancement of fisheries and ecosystem data and monitoring, and reformation of relevant policy, for more inclusive project implementation. These activities are designed to address the regulatory, technical, and financial barriers to the blue economy transition, and lay the groundwork for grant-based support to be delivered under Component 2.

Component 2 involves an on-granting financial mechanism designed to fund marine ecosystem restoration, fisheries management, alternative livelihood support, and coastal waste management. The facility consists of two grant windows: climate change adaptation (Window 1), climate change mitigation (Window 2), and investment readiness interventions that are pre-identified (not on-granting / application process to be utilized under Windows 1 and 2). Sub-grants will be issued to a diverse range of beneficiary organizations, including the GoI's public service agencies, NGOs, CSOs, research institutions, universities, financial intermediaries, market enablers (e.g., incubators), and blue economy MSMEs (e.g., innovative startups and fisheries cooperatives) operating in, or targeting, provinces within WPP 572.

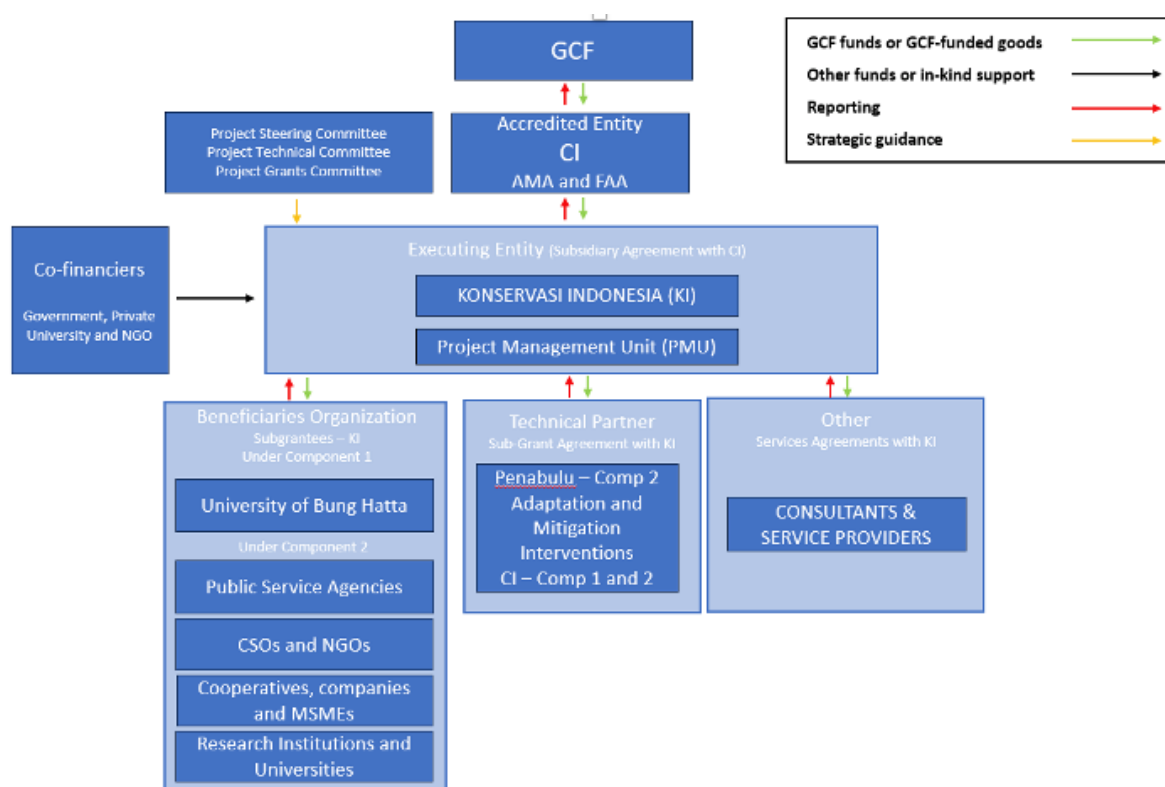
Windows 1 and 2 will directly support climate mitigation and adaptation projects. The Investment Readiness Window will enable blue economy enterprises, financial intermediaries, and relevant market stakeholders to create a conducive environment for marine conservation and sustainable blue economy development

The Executing Entity, Konservasi Indonesia (KI), is an experienced programme delivery entity bringing expertise in environmental and social management, crucial for the ESMF's implementation. KI's experience ensures that BEAM's objectives are achieved with consideration for environmental sustainability and social wellbeing. Together, the ESMF and BEAM's Executing Entity will uphold the project's commitment to environmental integrity and social equity, ensuring that the blue economy thrives in harmony with the communities and ecosystems it supports.

Indigenous Peoples, as described in the IPF, will be eligible beneficiaries of the grant facility. To facilitate equitable access, the Project will provide targeted outreach, technical assistance, and capacity-building support during proposal preparation and implementation. Application and reporting requirements will be adapted, where appropriate, to local capacities and cultural contexts. Subprojects proposed by or directly benefiting Indigenous Peoples will be prioritized where they contribute to climate resilience, sustainable livelihoods, ecosystem conservation, and culturally appropriate development outcomes. Please see Annex 06(e) for the Project's Indigenous Peoples' Framework (IPF).

2.3 Implementation arrangements

KI will provide GCF funding to procured parties (subgrantees and services providers) supporting project implementation in compliance with EE, CI, and GCF requirements for sub-awards. During identification and before entering into agreements, sub-grantees and services providers will undergo due diligence, and funds will be administered, in accordance with EE procedures as approved or modified by the AE to meet GCF requirements. Specifically, KI will transfer GCF Funds to sub-grantees via subgrant agreements or the equivalent which outline activities, deliverables, timetable, monitoring, assessment, and compliance requirements. Service providers will be engaged using the procurement policies and procedures of each EE as approved or modified by the AE to meet GCF requirements.



2.3.1. Role of project stakeholders in ESMF implementation

Accredited Entity (AE)

Conservation International (CI-GCF) is the GCF Accredited Entity for this project. The AE's role is to ensure that the project complies with the GCF's policies and procedures, including M&E, on gender, stakeholder engagement, grievance redress, and safeguards.

Executing Entity (EE)

KI is the Executing Entity (EE) for this project. The EE, under the AE's supervision, will execute the safeguard and gender mitigation measures and strategies for activities under both component 1 and 2. For component 2, the EE will conduct E&S risk screening of all BEAM Subgrantees to identify and address all ESS risks. Potential Subgrantees will need to complete an Environmental and Social Safeguards (ESS) Screening Form. The Form will vary based on the potential grant size. During this stage, the EE will analyse the forms and determine the ESS Risk Category of the different projects. The EE will provide guidelines and will supervise the screening process.

Where ESS4 is triggered, the EE shall ensure that the required IPP and, where applicable, FPIC process have been completed and approved before the subproject is submitted for funding approval. KI will ensure that Indigenous Peoples are meaningfully represented and consulted in subproject planning, grant selection processes affecting their communities, and implementation monitoring. Decision-making related to activities affecting Indigenous Peoples will be undertaken through culturally appropriate governance structures and representative institutions recognized by the affected communities. where ESS4 is triggered, the EE shall ensure that the required IPP and, where applicable, FPIC process have been completed and approved before the subproject is submitted for funding approval.

For all Category B and C proposals, KI will assist potential Subgrantees in designing risk mitigation measures as part of the proposal. Category A will not be pursued, and the potential subproject will be supported in redesigning and de-risking to lower risk categories (B and C). Once these measures are developed, the EE will disclose the proposal and mitigation measures. The EE will inform the AE about all Category B and C approved proposals; the AE will review the process as needed.

Grantees

Subgrantees will implement and report on the progress of the mitigation measures to the EE. Subgrantees who work with the EE funding facilities will also need to comply with GCF Policy on Prohibited Practices, CI Code of Conducts and CI Reporting Grievances, CI GCF ESMF (Environmental and Social Management System) and PSEAH (Protection from Sexual Exploitation, Abuse, and Harassment).

Safeguards Appraisal and Approval of Grant Proposals

The PMU will receive applications and conduct the administrative completeness and initial eligibility check. Ineligible activities, including those on the Exclusion List or classified as Category A, will not proceed. Eligible proposals will be screened using the ESS Screening form. KI's Safeguards Coordinator will confirm the risk category, identify applicable standards, and determine any required instruments, such as an ESMP, Labour Management Plan, Stakeholder Engagement Plan, Indigenous Peoples Plan, FPIC documentation, or other mitigation measures.

Applicants will prepare the required safeguards instruments. The Safeguards Coordinator will review them and issue a written recommendation to clear, conditionally clear, revise, or reject the proposal. Only proposals with completed safeguards screening and required instruments will be submitted to the Grant Committee. The Grant Committee will consider the consolidated technical, fiduciary, and safeguards appraisal before approval or rejection.

All approved safeguards measures, reporting requirements, incident notification procedures, and corrective actions will be included in the grant agreement. Subgrantees will report on compliance, while KI will conduct risk-based monitoring and require corrective action where necessary. CI-GCF may review the process as required.

ESMF Implementation, Monitoring and Resources

The PMU will implement and monitor the ESMF. The PMU will assign an ES and Safeguard Coordinator for environmental and social safeguards, monitoring and evaluation, gender and social inclusion, and grievance management. CI-GCF will provide oversight and may review screening results, safeguards instruments, monitoring records, incidents, and corrective actions.

Subgrantees will implement approved safeguard measures and report on environmental and social performance, and every proposal will contain a safeguards monitoring plan with clear indicators, responsibilities, reporting requirements, and costs. KI will monitor compliance through progress reports, site visits where needed, grievance and incident records, and review site-specific safeguard plans, such as ESMPs, Labour Management Plans, Occupational Health and Safety Plans, Stakeholder Engagement Plans, Indigenous Peoples Plans, and Waste Management Plans. Monitoring will cover mitigation measures, stakeholder engagement, labor and community safety, inclusion of vulnerable groups, and corrective actions, which will be recorded, assigned to responsible parties, and verified for completion. Unsolved and sensitive incidents will be reported to CI-GCF in line with applicable requirements.

ESMF implementation costs are included in the project budget, annual work plans, and relevant subgrant budgets. These costs include safeguards staff and consultancy, screening and appraisal, consultation and disclosure, monitoring, site visits, grievance management, training, technical assistance, and corrective actions. CI and KI will review staffing and budget needs during implementation and provide additional support where gaps are identified.

3. Policy, legal and administrative framework

The activities of the Project will be carried out in accordance with the principles of sustainable development, including environmental, socio-cultural, and economic considerations, as well as health and safety in accordance with the laws and regulations of the Government of Indonesia, applicable the GCF's ESS and applicable Good International Industry Practice (GIIP) in this sector. Further assessment of the compatibility of the country framework with the requirements of the ESS is presented in this chapter along with the agreed measures to address potential legal and regulatory gaps.

3.1 The National Policy

This section describes the policies and regulations that were in effect in Indonesia at the time of the preparation of the ESMF, underlining the guidelines for managing the environmental and social impacts associated with the activities supported under Project. The relevant GoI policies categorized according to the GCF ESS are presented in **Table 1** below.

Table 1. *National Regulation of Environmental and Social Management in the Fisheries and Marine Sector as of July 1, 2022*

Topic	Regulation	Concerning
Assessment and Management of Environmental and Social Risks and Impacts	Law No. 6 of 2023	Job Creation: integrates environmental approval into risk-based licensing relevant to all grant-funded subprojects
	Law No. 27 of 2007 as amended and partially revoked by Law No. 1 of 2014	The Management of Coastal and Small Islands, spatial suitability for MPA blue carbon and livelihood.
	Law No. 32 of 2009 as amended and partially revoked by Law No. 6 of 2023	Environmental Protection and Management as a foundation for impact assessment and mitigation
	Government Regulation No. 22 of 2021	The Implementation of Environmental Protection and Management
	Regulation of the Minister of Environment No. 16 of 2012	Technical guidance for Environmental Document Preparation Guidelines
	Regulation of the Minister of Environment and Forestry No. 4 of 2021	List of Businesses and/or Activities Required to Have an Environmental Impact Analysis (AMDAL) and Environmental Monitoring Efforts (UKL/UPL) or a Statement Letter of Ability in Environmental Management and Monitoring)
	Regulation of the Minister of Environment and Forestry No. 17 of 2012	Guidelines for Community Involvement in the Process of Environmental Impact Analysis (AMDAL) and Environmental Permits
Labor and Working Conditions	Law No. 6 of 2023	Labor provision under Job Creation law applicable to all grant recipients
	Law No. 21 of 2007	The Eradication of the Criminal Act of Human Trafficking
	Law No. 1 of 1970	Occupational Health and Safety
	Law No. 24 of 2011	The National Social Security (BPJS), including establishing the obligation of employers to insure their workers with occupational accident insurance (BPJS Manpower)
	Regulation of the Minister of Manpower No. 5 of 2018	Occupational Health and Safety in the Workplace

Topic	Regulation	Concerning
	Regulation of the Minister of Manpower and Transmigration No. 1 of 1980	Occupational Health and Safety in Building Construction
Resource Efficiency and Pollution Prevention and Management	Government Regulation No. 22 of 2021	The Implementation of Environmental Protection and Management, including water quality protection and management, air quality protection and management, marine quality protection and management, as well as hazardous and toxic waste management
	Law No. 18 of 2008	Solid Waste Management, including guidelines for handling and managing solid waste, domestic waste, and non-hazardous and toxic waste (<i>Bahan Berbahaya dan Beracun, B3</i>)
	Law No. 7 of 2016	Protection and Empowerment of Fisher, Fish Farmers, and Salt Farmers
Community Health and Safety	Regulation of the Minister of Public Works and Public Housing No. 10 of 2021	Construction Safety Management System Guidelines
	Law No. 2 of 2012	Land Acquisition for Development for the Public Interest
Land Acquisition, Restrictions on Land Use and Involuntary Resettlement	Law No. 5 of 1960	Basic Agrarian Principles
	Presidential Regulation No. 19 of 2021	Implementation of Land Acquisition for Development for the Public Interest
	Presidential Regulation No. 62 of 2018	Social Impact Handling in Land Acquisition Process for National Development Projects
	Regulation of the Head of the Land Service Office No. 3 of 2007	Land Acquisition Guidelines for the Implementation of Development in the Public Interest
	Regulation of the Minister of Marine Affairs and Fisheries No. 23 of 2016	Coastal Areas and Small Islands Zoning Plans (RZWP3K) are key for MPA and blue carbon activities
Biodiversity Conservation and Sustainable	Law No. 45/ 2009, Law No. 31/2004	Sustainable Fisheries Management
	Law No. 5 of 1990	Conservation of the Living Natural Resources and Its Ecosystem

Topic	Regulation	Concerning
Management of Natural Resources	Government Regulation No. 60 of 2007	The Conservation of Fishery Resources
	Regulation of the Minister of Marine Affairs and Fisheries No. 29/PERMEN-KP/2016	Guidelines for Fisheries Management Plans Development in the Field of Fishing
	Regulation of the Minister of Marine Affairs and Fisheries of the Republic of Indonesia Nomor 93/PERMEN- KP/2020	Marine Tourism Villages
	Regulation of the Minister of Marine Affairs and Fisheries No. 24/PERMEN-KP/2016	Procedures for the Rehabilitation of Coastal Areas and Small Islands
	Regulation of the Minister of Environment No. 29 of 2009	Guidelines for Biodiversity Conservation in the Regions
Cultural Heritage	Law No. 5 of 1992 repealed by law No. 11 of 2010.	Items of Cultural Heritage
	Law No. 11 of 2010	Protection of Cultural Heritage
	Law No. 5 of 2017	Advancement of Culture
	Presidential Decree No. 78 of 2007	Ratification of the Convention on the Safeguarding of the Intangible Cultural Heritage
Stakeholder Engagement and Information Disclosure in the preparation of the ESMF for this project.	Law No. 14 of 2018	Transparency in Public Information, which guarantees citizens' rights to public policy decisions and encourages public participation in making those decisions.
	Law No. 7 of 1984	Enforcement of Convention on the Elimination of All Forms of Discrimination Against Women.
	Law No 1/2014 of UU No 27/2007	Coastal Areas and Small Islands Management Plan
	Law No. 8 of 2016	Inclusion of Disabled People
	Regulation of the Minister of Environment No. 17 of 2012	Guidelines for Community Involvement in the Process of Environmental Impact Analysis (AMDAL) and Environmental Permits
	Regulation of the Minister of Environment No. 9 of 2010	Procedures for Complaints and Handling of Complaints due to Alleged Pollution

Topic	Regulation	Concerning
		and/or Environmental Damage
	Presidential Instruction No. 9 of 2000	Gender Mainstreaming in National Development (that emphasizes the participation of women in the development process)
	Minister of Home Affairs Regulation No. 67 of 2011	General Guidelines for Implementing Gender Mainstreaming
Climate Risk and Related Disasters	Presidential Regulation No. 87 of 2020	Master Plan for Disaster Management 2020-2044
	Minister of Home Affairs Regulation No.33 of 2006	General Guidelines for Disaster Mitigation
	Law No.24 of 2007	Disaster Management

3.2 Relevant GCF and CI policies

Numerous GCF and CI policies and guidelines have been consulted during the development of the proposed project. Relevant policies and guidelines are presented below.

GCF Policies and Guidelines

- Environmental and Social Policy
- Indigenous People Policy
- Gender Policy and Action Plan
- Policy on Prohibited Practices
- Policy on the prevention and protection from sexual exploitation, sexual abuse, and sexual harassment
- Procedures and guidelines of the Independent Redress Mechanism

CI Policies and Guidelines

- GEF/GCF Environmental and Social Management Framework
- Crisis Management Plan
- Grievance Redress Mechanism
- Prohibited Practices

3.3 Environmental and Social Standards (ESS) of the GCF

This ESMF establishes the project's commitment to sustainable development through the application of a series of Environmental and Social Standards (ESS)². The ESS establish requirements within the project relating to the identification and assessment of environmental and social risks and impacts associated with project activities. The application of this standard is expected to i) support the project in achieving good practices related to environmental and social sustainability; ii) assist the project Executing Entity in meeting national and international environmental and social obligations; iii) improve non- discrimination, transparency, participation, accountability and governance; and iv)

² Reference: The Global Environmental Facility (GCF)

enhance sustainable development outcomes from project activities through ongoing stakeholder engagement.

Each standard includes objectives that define environmental and social management to be achieved by each project Executing Entity. The standard also includes requirements that assist the project Executing Entity to achieve the objectives of this ESS in a manner appropriate to the nature, scale and risks of the project. **Table 2** presents the scope of application of the ESS for the Project. Specific provisions have been included in this ESMF to accommodate the relevant provisions in the following ESS, which are not and/or partially regulated under the laws and regulations of the Government of Indonesia.

Table 2. *Scope of Application of Environmental and Social Standards of the CI-GCF*

Environmental and Social Standards	Applications in the Project
<u>ESS 1</u> Environmental and Social Impact Assessment (ESIA)	ESS 1 sets out the responsibilities of the Government of Indonesia to assess, manage and monitor environmental and social risks and impacts associated with each stage of a CI-GCF-supported project to achieve environmental and social outcomes consistent with the Environmental and Social Standards (ESS). The application of the provisions of this ESS in the project, including the related Environmental Health and Safety Guidelines (ESHGs) is intended to manage the risks and impacts of project activities and improve the environmental and social performance through a risk-based approach and results commensurate with the nature of the project and the scale of project risks and impacts. An environmental and social assessment, in the form of screening and scoping of potential risks and impacts will be carried out as part of site selection during project implementation. Such an assessment will inform decisions on risk and impact management actions, including the types of additional environmental and social instruments such as environmental and social management plans at the site level and the required monitoring and due diligence and corrective actions. High-risk activity and sub-activities will not be financed by this project. ESS 1 applies to investments supported by this project, including investments for works carried out by contract workers and community workers, as well as Associated Facilities (AF) that may be associated with the activities of this project, in case this becomes relevant to the project funded activities.
<u>ESS 2</u> Protection of Natural Habitats and Biodiversity Conservation	ESS 2 aims to protect and conserve biodiversity and habitats. Any activities impacting critical habitat are ineligible for project funding. The Project will strengthen positive environmental impacts in the project's target area and increase biodiversity. It is noted that the existing MPA management plan includes the overall management aspects relating to the project's operation such as biophysical, socioeconomic as well as the biodiversity management considerations. Therefore, these management plans including the corresponding BMP-related activities, risks and impacts, will be reviewed and updated as a part of the project preparation. A biodiversity management framework will be prepared as a guide for possible intervention. The existing plans for natural habitats and biodiversity conservation (if existing) which are older than 5 years will be updated as necessary. As appropriate, the MPA management plan may also be used to undertake the project's risk screening and assessment considering the information on sensitive biodiversity areas. MPA management plan is expected to consist of the information of sensitive natural habitats (forests, rivers, coasts, coral reefs, wetlands, peatlands) or endangered species that could be negatively affected by the project. The MPA management plan will be incorporated into the village ecosystem management plan and/or technical plan document as applicable, including matters not limited to the ESMP at the project level, feasibility of the detailed engineering design of the project, and the community business plan as a reference for assessing areas with high conservation value. This document will be established prior to the

Environmental and Social Standards	Applications in the Project
	commencement of activity and sub-activity/activities located in ecologically sensitive areas. It also aims to minimize impacts and restore biodiversity and ecosystems. The project will also prepare the overview of post construction reinstatement requirements as part of project work plan.
<u>ESS 3</u> Resettlement and Physical and Economic Displacement	Land acquisition and involuntary resettlement and any project activities that require addressing the impacts of land acquisition and resettlement will not be financed by this project. Under ESS 3, resettlement is considered involuntary if the affected people or communities do not have the right to refuse land acquisition or restrictions on land use resulting in displacement. The project will seek to avoid involuntary resettlement and forced evictions for the purposes of project activities. Activities that require land will be prioritized using the government-owned land or land donated by the community/individual. This standard also applies to the issue of restrictions on access to natural resources and/or livelihoods that are temporary or permanent.
<u>ESS 4</u> Indigenous Peoples	ESS 4 applies where different social and cultural groups identified in accordance with the standard requirements exist within the project site. ESS 4 applies regardless of whether these groups are positively or negatively affected and regardless of the significance of any impacts from the project. The Indigenous Peoples Plan (IPP) establishes processes for risk and impact management commensurate with their significance and inclusive engagement and participation to enable access to project benefits. In this project, the term “Indigenous Peoples (IP)” applies to Indigenous Peoples as long as they meet the identification criteria including self-identification established through the screening. Implementation of FPIC as a standard under ESS 4 contributes to poverty reduction and sustainable development by ensuring that financed activities increase opportunities for IP to participate in and benefit from the development process in a way that does not threaten their cultural identity and well-being. Where screening confirms the presence of Indigenous Peoples or potential impacts on Indigenous Peoples, an Indigenous Peoples Plan (IPP) shall be prepared, disclosed, consulted upon, and approved prior to subproject approval and before commencement of activities. Where required under the IPF, Free, Prior and Informed Consent (FPIC) shall also be completed prior to subproject approval. The Project will ensure Indigenous Peoples have equitable access to grant opportunities and project benefits through culturally appropriate engagement, dedicated technical assistance, support for proposal development, and participation in decision-making processes related to grant selection and implementation.
<u>ESS 5</u> Resource Efficiency and	ESS 5 aims to identify the occurrence of air, water and soil pollution, and consumption of limited resources that may threaten human beings, ecosystems and the environment at the local and global levels. The ESMF in this project is a

Environmental and Social Standards	Applications in the Project
Pollution Prevention	guideline for the project to encourage sustainable use of resources, avoid adverse impacts on human health and the environment by minimizing pollution, minimizing long-term emissions of climate pollutants, and minimizing waste. The project is required to minimize waste generation in a manner that is safe for human health and the environment. This ESMF will serve as a guideline for the project to manage waste in accordance with regulations of the Government of Indonesia and CI-GCF standards. The associated risks and mitigation measures will be identified as part of the implementation of the Resource Efficiency and Pollution Prevention Plan on the use of hazardous and toxic materials as regulated by the Government of Indonesia and products used do not contain active ingredients that are banned or restricted under applicable international treaties and agreements, or meet the criteria of carcinogenicity, mutagenicity, or reproductive toxicity as set forth by relevant international agencies. In addressing potential adverse project impacts on human health and the environment, the ESMF of this project serves as a guide for the project to consider associated factors, including existing (ambient) environmental conditions, existing and future land uses, proximity of the project to areas of importance to biodiversity and potential cumulative impacts.
<u>ESS 6</u> Cultural Heritage	ESS 6 recognizes that cultural heritage provides continuity in tangible and intangible forms between the past, present and future. ESS 6 establishes measures designed to protect both tangible and intangible cultural heritage throughout the project life cycle. Tangible cultural heritage may be present in an urban or rural setting, be above or below the ground or under water, and include natural and landscape features. Similarly, there is an intangible cultural heritage which includes practices, representations, expressions, knowledge, and skills. In order to safeguard these cultural heritage resources, a Cultural Heritage Management Plan, including a Chance Finds procedure is included in ESMF and will be included in EIAs and other ES instruments, if found relevant.
<u>ESS 7</u> Labour and Working Conditions	ESS 7 explains the importance of job creation and income improvement in efforts to reduce poverty and promote inclusive economic growth. The Government of Indonesia can promote good relations between workers and project proponents and increase the benefits of developing a project by treating project workers fairly and providing safe and healthy working conditions as outlined in the project labor management procedures. This project ESMF includes Labor Management Procedures (LMP) which are the main reference for project implementation to i) promote the implementation of occupational health and safety; ii) promote fair treatment, non-discrimination and equal opportunity for project workers; iii) protect project workers, including vulnerable workers such as women, people with disabilities, children of working age (in accordance with the relevant ESS 8) and migrant workers; contract workers; community workers and workers from the main suppliers concerned; iv) prevent the use of all forms of forced labor and child labour; and v) support the principles of

Environmental and Social Standards	Applications in the Project
	freedom of association.
<u>ESS 8</u> Community Health, Safety and Security	ESS 8 discusses health, safety and security risks and impacts on project-affected communities and the responsibility of the Government of Indonesia to avoid or minimize these risks and impacts, with particular attention to people who, due to their particular circumstances, are vulnerable. The project should consider the quality management system and safety of the proposed activities and services (i.e., monitoring of hazardous substance and materials, infrastructure safety, traffic safety, etc.), and emergency preparedness to anticipate and minimize risks and impacts that such services may have on community health and safety. In such circumstances, the project will also apply the concept of universal access, where technically and financially feasible. The potential risks and impacts on the health and safety of target communities will be assessed as part of risk screening and scoping at the activity and sub-activity level. Relevant mitigation measures should be included as part of i) project design and activities (i.e., infrastructure design, equipment safety, site selection, exposure to infectious diseases or viruses such as COVID-19, etc.); ii) contractor ESMP where the risk relates to activities carried out by third party contractors. Restoration and conservation activities in high-risk locations, including in high seismic zones, and/or with extreme weather conditions will be carefully assessed and monitored. Where relevant, emergency preparedness, such as awareness raising, notification procedures, community evacuation, etc., to deal with emergency situations, should be included as part of the relevant project planning. If the project includes new structures and/or buildings to be used by the community, the main considerations of safety, natural hazards, and the concept of universal access should be integrated, including the selection of building materials to be used. The potential for Sexual Exploitation and Violence/Harassment is also included as a project risk with prevention protocols provided in this document.
<u>ESS 9</u> Private Sector Direct Investment and Financial Intermediaries	ESS 9 is instrumental in delineating the framework for environmental and social risk management, particularly within financial intermediary operations for initiatives that may be supported under Component 2 particularly through the investment readiness interventions, which seeks to strengthen financing mechanisms through technical assistance to BLU LPMUKP. The standard mandates the development and implementation of a rigorous Environmental and Social Management System (ESMS), designed to identify, assess and manage potential environmental and social risks arising from the allocation of financing or sub-grants. Given the dynamic nature of Component 2 — where specific recipients and activities are not defined at appraisal, the application of ESS 9 is considered critical. The ESMS will be integrated with definitive screening protocols and risk management strategies, ensuring alignment with both the GCF's environmental and social safeguards

Environmental and Social Standards	Applications in the Project
	and the prevailing legislative framework of Indonesia. This systematic approach is intended to uphold consistent environmental and social standards throughout the lifecycle of all sub-grants under component 2 and ensure sustainability of project outcomes.
<u>ESS 10</u> Climate Risk and Related Disasters	ESS 10 - Climate Risk and Related Disasters is applied to systematically assess, mitigate, and manage the potential environmental and social impacts resulting from climate change-related factors, such as extreme weather events, sea-level rise, and ocean acidification. This standard guides our project activities to enhance resilience, promote sustainable resource management, and safeguard ecosystems and communities in the face of climate-related challenges.

3.4 Gap Analysis Between the National Policy and the Environmental and Social Framework of the GCF

Indonesia has made continued progress in improving its country systems to address international good practices in environmental and social management. Despite rapid progress in the development of regulatory frameworks for environmental and social management, enforcement of rules and local capacities for impact assessment and management varies. Continuous capacity building is required, especially in aspects related to Occupational Health and Safety (OHS), community health and safety, resource management, pollution prevention, land acquisition, biodiversity management, management of access restrictions, and stakeholder involvement. Specific provisions where gaps to the applicable ESS were identified are presented in **Table 3**. This gap assessment also elaborates gap filling and related capacity strengthening measures based on the country system in the context of project activities.

In terms of the management of social risks and impacts, the Government of Indonesia has issued a set of laws and regulations related to the management of social impacts. Although the regulatory framework relating to environmental and social management is strong, there are major gaps in areas related to law enforcement and local capacity in impact assessment and management, as well as land acquisition and stakeholder engagement. The gaps identified between the relevant GoI laws and regulations and the applicable ESS are presented in **Table 3** below.

The table presents the gaps identified between the relevant laws and regulations of the GoI and the GCF's ESS requirements, and those relevant to the Project activities. The table also provides further analysis of how the environmental and social management of the activities of the Project will adopt additional measures to address these gaps.

With regard to project implementation, if there is a contradiction between the country's own system and the GCF's policies on Environmental and Social (E&S) Management, the higher regulation applies, meaning that the stricter regulation in avoiding or minimizing environmental and social impacts is the one that must be followed.

Table 3. Gap Analysis of GoI Regulations and CI-GEF/GCF's ESS Standards and Efforts to Reduce

ESS topics	Identified Gaps	Measures to Reduce
ESS 1 – Environmental and Social Impact Assessment In general, the relevant laws and regulations regarding the assessment of environmental and social risks and impacts in Indonesia are in line with ESS1. Minor gaps identified can be addressed directly in planning and implementation at the project level.		
Environmental and social assessment	Direct, indirect and cumulative impacts are assessed within the national regulatory framework. The assessment includes the linkages and interactions of significant impacts. However, an assessment of the potential impact of associated facilities was not established.	Environmental and social impact assessments must comply with the requirements of ESS1. Content guidance in environmental and social assessment documents acceptable to the CI GCF is provided in this ESMF. There are several additional points of assessment on project planning and implementation to meet CI GCF standards, one of which is identification of Associated Facilities. Relevant measures to address social risks are: i) adapted to the project design, ii) additional information in the environmental and social assessment study document; and iii) additional measures included as part of this ESMF include a Activity and sub-activity site-specific Environmental and Social Management Plan (ESMP), Indigenous Peoples Plan (IPP), Stakeholder Engagement Plan (SEP), mitigation and response to Sexual Exploitation and Abuse/Sexual Harassment (SEA/SH), and capacity building activities. In addition, there should be a requirement regarding gender and SEA/SH awareness raising and related Code of Conduct for the workforce of implementing agencies and service providers and/or their contractors prior to placement.
Project affected area	Lack of analysis of project affected areas, associated facilities, impacts and site selection analysis. Environmental approval regulations, which include AMDAL, UKL-UPL, and/or SPPL requirements, are not required to assess Associated Facilities.	ESS1 necessitates the project to intensively analyze project-affected areas and associated facilities, with a focus on understanding and mitigating impacts, despite the absence of construction activities. The project will employ detailed Environmental and Social Impact Assessments (ESIAs) to identify and address potential impacts on communities and the

		environment. In line with Indonesian environmental regulations such as AMDAL, UKL-UPL, and SPPL, the project will diligently assess any associated facilities, even if they do not directly require these environmental approvals. The project will adopt a rigorous site selection process, integrating environmental, social, and economic factors to ensure sustainable project implementation. This approach includes engaging local communities and stakeholders, understanding their perspectives, and incorporating their feedback into the decision-making process. To address the identified gap, the project will establish a robust monitoring system to ensure continuous evaluation and adaptation of strategies to mitigate potential environmental and social risks.
Environmental and social monitoring	Follow-up, analysis and use of environmental monitoring data are incomplete for monitoring and evaluation activities as well as continuous improvement due to different implementation capacities, especially in handling and documenting complaints at the site level.	Covered in the site-specific Environmental and Social Assessment (ESMP) document outline acceptable to the Project. The Project Management Unit (PMU) will provide the Executing Entity with additional technical capacity support for environmental and social management. The PMU, led by a full-time Chief of Party based in KI, will be responsible for coordinating with all stakeholders, ensuring successful project implementation, and achieving the specified project funding proposal outcomes. This includes meeting the required quality standards within the specified time and budget constraints. The PMU will oversee the overall project management and planning, support daily activity implementation, coordinate with the central government and project partners, collaborate with the AE, and facilitate project implementation in EE. The PMU will also encompass full-time staff employed by KI for Project functions such as Project Monitoring and Evaluation, gender, and safeguards.
Capacity building and training	In the civil works package, capacity building requirements are required under the National Competitive Bidding (NCB) method for Contractors ESMP (C-ESMP), however, budget allocations for capacity building and training for implementation are insufficient.	For overall environmental and social management, the budget for institutional strengthening and capacity building is included in the Project Monitoring and Evaluation (M&E) systems managed by the PMU.

ESS topics	Identified Gaps	Measures to Reduce
ESS 2 – Protection of Natural Habitats and Biodiversity Conservation Government regulations on forestry and biodiversity conservation generally support ESS 2 to protect biodiversity. The main gap is that GoI regulations do not yet include requirements for assessing project impacts on natural and critical habitats.		
Classification, Significant Conversion Criteria and Degradation of Critical and Natural Habitat	This ESS requires different risk management approaches to habitats based on their sensitivity and value. The Project does not support projects that, in the Project view, involve significant conversion or degradation of critical habitats. Requirements for plan for natural habitats and biodiversity conservation are already in Indonesian Government law. However, the regulation does not specifically mention the protection of natural and critical habitats in accordance with ESS 2.	This ESMF provides an exclusion list and an environmental and social risk (E&S) checklist as a screening tool to identify protected areas and areas with high/environmentally sensitive biodiversity, including critical habitats of designated key species. In addition to the screening tool, the ESMF contains guidance for project to review and update the existing MPA management plan which includes the corresponding biodiversity management-related activities, risks and impacts. A plan for natural habitats and biodiversity conservation will be prepared as a guide for possible intervention. The existing plan for natural habitats and biodiversity conservation (if existing) which is older than 5 years will be updated as necessary.

ESS topics	Identified Gaps	Measures to Reduce
ESS 3 – Resettlement and Physical and Economic Displacement The prevailing laws and regulations in Indonesia have covered this main topic of ESS 3, however, several gaps were identified in terms of detailed explanation and setting of issues, especially those related to compensation and livelihood restoration of communities whose land tenure rights are not legally recognized.		
Land Acquisition and Asset Valuation	Applicable laws and regulations in Indonesia have covered several aspects in ESS 3, such as no gap for affected assets replacement values as independent appraisal team determines compensation that includes loss of physical and non-physical assets. Some gaps are identified in terms of compensations for squatters, livelihoods restoration and	The project will prioritize the use of government-owned land to the extent possible for MPA purpose and land owned by village beneficiaries for village level infrastructure. Resettlement Policy Framework (RPF) on precautionary level when government land is illegally occupied or additional land is needed

	indirect impacts related to land acquisition. Compensation for the people who get benefit from the affected land such as squatters; illegal occupants, working farmers, renters are not regulated. There are also no requirements for the program to recover the livelihood for the affected people by the program.	that include guidance to prepare an abbreviated Resettlement Action Plan (RAP), entitlement matrix and compensation based on the regulations in Indonesia, while following the requirements in ESS 3, including provision mitigation measures for livelihood loss, Voluntary Land Donation Protocol (VLDP) and voluntary transaction protocol.
Voluntary land donation	There are no specific regulations governing voluntary land donations. According to the principle in ESS 3, compensation to a lost asset (or access to asset) must be provided. Compensation can be waived only if the procedure fulfils the Voluntary Land Donation Protocol (VLDP) in ESS 3, where the landowner agrees to grant their land, and declare that they do so without force and without requesting for any compensation for the lost asset. Written evidence of the agreement must be obtained.	RPF as part of the ESMF provides VLDP to ensure that there is no force in the grant, and the consequences will not disadvantage the donors. RPF also regulates direct sale that follows the principles in ESS 3. For publicly owned land or state-owned land, ESMF provides the due diligence process to ensure that the state-owned land used is in the “clean and clear” condition. This process will be properly documented.

ESS topics	Identified Gaps	Measures to Reduce
ESS 4 – Indigenous Peoples One of the main gaps between ESS 4 and laws and regulations of the Government of Indonesia relating to Indigenous Peoples is the requirement for formal recognition of Indigenous Peoples as a criterion for eligibility to be treated as Indigenous Peoples. In Coastal and Small islands context, Free, Prior and Informed Consent (FPIC) is not warranted as per the Ministerial Regulation on establishment of Marine Protected Areas. There are no specific requirements for social assessment and preparation of Indigenous Peoples Plans (IPPs) across sectoral laws.		
✓ Assessment and Consultation; ✓ Avoidance of adverse impacts; ✓ Mitigation and development	The scope of criteria for the identification of Indigenous Peoples is land-based, governance and customary law that is binding, and therefore can exclude groups that do not meet these criteria. In addition, there are vulnerable communities who may not qualify under the GoI framework as Indigenous Peoples but meet the policy criteria under ESS 4. FPIC is not specifically regulated by existing laws/regulations. However, within the scope of establishment of marine	The project will treat communities that have characteristics in accordance with ESS 4 as Indigenous Peoples, regardless of their legal recognition. Identification of these groups based on the identification criteria under ESS 4 will continue as part of the screening process during the implementation of this project. The Indigenous Peoples Plan (IPP) was developed as part of this ESMF as a guide for the process of screening, protecting, strengthening the (institutional) capacity and Indigenous Peoples, and promoting

benefits; ✓ Free, Informed and Prior Consent (FPIC)	protected areas, participatory process and a meaningful consultation with indigenous peoples are required. This absent of legal requirement for FPIC, e.g., for circumstances warranted such FPIC, was addressed in the Indigenous People Plan (IPP) in this ESMF. Where screening confirms the presence of Indigenous Peoples or potential impacts on Indigenous Peoples, an Indigenous Peoples Plan (IPP) shall be prepared, disclosed, consulted upon, and approved prior to subproject approval and before commencement of activities. Where required under the IPF Free, Prior and Informed Consent (FPIC) shall also be completed prior to subproject approval.	a meaningful participation of indigenous peoples, as well as implementation of FPIC in the event of good or adverse impacts as outlined in ESS 4 and further described in the IPP. The project does not anticipate lack of commitment by GOI in adopting FPIC, yet recognizes the challenges of ensuring meaningful and inclusive consultations. Project implementation will include social specialists/ consultants, qualified Indigenous Peoples organization or specialist, local facilitators, technical expert, and indigenous representatives, including AMAN where appropriate, in accordance with Project needs and applicable procurement or partnership procedures, as well as a series of capacity building on community consultations and FPIC. Further, Grievance Redress Mechanism (GRM) will also include reporting from the target community and efforts to enable accessible and safe GRM.
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ESS topics	Identified Gaps	Measures to Reduce
ESS 5 – Resource Efficiency and Pollution Prevention In general, the Government of Indonesia’s environmental laws and regulations on pollution prevention and management cover hazardous and non-hazardous waste management, water quality and waste disposal, airflow management and emission standards. This regulation takes into account ambient conditions through engineering design and ESIA, and identifies pollution prevention measures. Improvements in sourcing efforts, use of raw materials, and efficient resource consumption can be implemented in this project.		
Resource efficiency	While the regulations cover a broad spectrum of pollution control and resource management, the integration and enforcement of these regulations into specific sectoral activities may need strengthening to ensure consistent application across different industries and regions.	The Project will implement a suite of measures to ensure the efficient use of energy and water resources. This will involve adopting conservation technologies, adhering to established pollution control and water quality standards, and ensuring continuous improvement through monitoring and reporting. The project’s resource efficiency initiatives will contribute to the national goals of sustainable development and adherence to international environmental best practices.

ESS topics	Identified Gaps	Measures to Reduce
ESS 6 – Cultural Heritage The protection of cultural heritage in Indonesia is rooted in historical precedents that date back to colonial times. Yet, contemporary legislations, while supportive, have notable gaps and are not completely in stride with global standards. There are challenges in heritage registration and management, as noted in Government Regulation No. 1 of 2022, which, despite its advancements, still faces issues like insufficient human resources and the necessity for further regulatory development to effectively preserve heritage		
Protection of cultural heritage both tangible and intangible as part of sustainable development, meaningful consultation and equitable benefit sharing	Indonesia's legislative framework for cultural heritage, presents certain gaps when benchmarked against global standards. Historical legislation rooted in the Dutch East Indies period has evolved, but current laws still possess loopholes that could potentially undermine the protection and management of cultural heritage. For instance, the existing provisions under Government Regulation No. 1 of 2022, mark progress in national heritage registration but highlight a deficiency in human resources and a call for further regulations that can fully encapsulate the essence and breadth of heritage preservation.	To address these gaps, the project will implement measures aimed at enhancing the protection and management of cultural heritage. This includes the development of a chance find procedure that aligns with global best practices and accommodates the nuances of Indonesia's rich cultural heritage. Furthermore, the project will facilitate training programs for stakeholders and construction workers to heighten awareness and establish competencies in cultural heritage protection. These measures are designed to fortify the regulatory framework, ensuring that it is robust, socially inclusive, and reflective of an international commitment to safeguard cultural assets for present and future generations.

ESS topics	Identified Gaps	Measures to Reduce
ESS 7 – Labor and Working Conditions Indonesia has ratified all core conventions on labor and working conditions of the ILO. While Indonesian laws and regulations align well with the requirements of ESS 7. Two primary issues that require attention within the scope of this environmental and social standard are forced labor and child labor in anchovy trawlers, as well as the occupational health and safety conditions on tuna/fish fishing vessels. These concerns have gained prominence, especially in the context of BEAM, due to their potential impacts on the well-being of workers in the fishing industry. Additionally, recent legislative changes, such as those introduced by Law No. 6/2023 on Job Creation, have modified provisions related to employment and work arrangements, including aspects like contractual arrangements and overtime hours.		
Labor Management	There is no special regulation to develop a labor management procedure for a smaller-scale project. Law No. 13/2003 concerning Manpower as amended and partially	ESMF applies Labor Management Procedure (LMP) for project by covering information about work provision and procedure, work health and safety, non-discrimination policy and equal work

Procedure	revoked by Law No. 6 of 2023 and Law No. 21/2007 on recruitment mechanism and eradication of human trafficking have regulated about the prohibition on the use of child labor and forced labor.	opportunities, as well as code of conduct to prevent SEA/SH and GRM for project workers.
Avoiding the use of child labor and forced labor	There is no gap. Law No. 13/2003 concerning Manpower as amended and partially revoked by Law No. 6 of 2023 and Law No. 21/2007 about The Eradication of Human Trafficking have regulated about the prohibition on the use of child labor and forced labor.	ESMF applies Labor Management Procedure (LMP) to avoid the use of child labor and forced labor, while also incorporating the code of conduct to prevent child labor.
Grievance Mechanism	National regulations provide avenues for solving work-related issues. However, in practice, the implementation of complaint handling tends to vary and is not clearly defined, which limits its effectiveness.	The project will develop a Grievance Redress Mechanism (GRM) that is accessible to workers directly involved in the Project. For Contract Workers, employers will be required to develop GRMs that are safe and accessible to their workers, including sub-contractor workers. This procedure will be communicated to the workers as part of their induction program and regular meetings. All complaints filed will be investigated and resolved fairly and transparently. SEA/SH cases will be handled separately, and the specific mechanism of which has been developed based on this ESMF.
Terms and conditions of work	Indonesia's Omnibus Law No. 6 of 2023 brought several changes to the Manpower Law, particularly in aspects related to the reduction of rights in termination of employment, the procedure for notification of termination of employment which overrides the decision of the Manpower Court, additional working hours, and elimination of sectoral minimum wages to become regional minimum wages.	Project LMP includes relevant terms and conditions for project workers, including contract workers, main supplier workers and community workers to ensure compliance with ESS 7 where gaps are identified in the country's systems.
Community workers	Not covered by the Indonesian legal system.	Community workers will not be involved in the project.

ESS topics	Identified Gaps	Measures to Reduce
ESS 8 – Community Health, Safety, and security Potential risks and impacts as well as mitigation actions on community health and safety are assessed in the ESIA process and included in the ESIA document (AMDAL/UKL-UPL/SPPL). No major gaps were identified in the relevant laws and regulations.		
Design and safety of infrastructure and equipment	There is no requirement under national regulations to involve independent experts to conduct studies on the design, construction, operation, and decommissioning of high-risk structural elements.	The project will refer to existing regulations and guidelines, and the associated universal design requirements will be integrated into facilities intended for public and/or community use, including those that may be constructed with potential impacts on community access.

ESS topics	Identified Gaps	Measures to Reduce
ESS 9 – Private Sector Direct Investments and Financial Intermediaries ESS 9 Indonesia's regulation on financial intermediaries refers to OJK Regulation No. 51/POJK.03/2017 on the Implementation of Sustainable Finance for Financial Services Institutions, Issuers, and Public Companies, which aligns with the principles of ESS 9. However, a key gap remains lack of explicit obligation to implement Free, Prior, and Informed Consent (FPIC), limiting inclusivity and protection for affected communities, particularly women and Indigenous Peoples.		
Private Sector Direct Investments and Financial Intermediaries	Indonesia's regulatory framework for financial intermediaries refers to OJK regulation No. 51/POJK.03/2017 on Sustainable finance, which aligns with ESS 9 principles. However, there is no explicit regulatory requirement mandating the application of FPIC, it will affect communities such as women, indigenous people in FI-financed activities	The project will require the application of FPIC for all relevant financial-intermediary-financed activities under window 3. FPIC will be implemented at the earliest stages of investment preparation through transparent, inclusive, and cultural appropriate consultations, ensuring adequate time, accessible information and freedom from coercion.
Stakeholder engagement, disclosure and accountability in FI	Stakeholder engagement and transparency remain inadequate, as Private Sector Direct Investment and financial intermediaries (FIs) remain limited. Affected communities are often not meaningfully consulted, and environmental	The FI-ESMF will include mandatory stakeholder engagement procedures, proportional disclosure of environmental and social (E&S) risks and will establish a robust and accessible grievance mechanism. The grievance mechanism will provide a safe,

Operations	and social (E&S) risks are not adequately disclosed. Civil society participation in project appraisal and grievance mechanisms is weak, reducing accountability and oversight	accountable channel for affected individuals or groups to raise concerns, report adverse impacts, and seek clarification and obtain remedy without fear of intimidation or retaliation, thus strengthening transparency and accountability in financial intermediary operations.
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ESS topics	Identified Gaps	Measures to Reduce
ESS 10 – Climate Risk and Related Disasters ESS 10 addresses climate-related impacts in project development, emphasizing adaptive measures for ecosystem protection and community resilience. It guides strategies to minimize vulnerabilities and maximize positive outcomes in the face of climate risk and related disasters.		
Species Abundance and Diversity	The ESMF recognizes a gap in the incorporation of climate-resilient practices within existing ecosystem management plans. This suggests a need for more specific strategies to address the impact of climate-related factors on species abundance and diversity.	The ESS 10 emphasizes the integration of climate-resilient practices into Plan for Natural Habitats and Biodiversity Conservation. This includes the implementation of biodiversity conservation initiatives aimed at protecting vulnerable species. Additionally, stringent regulations will be developed and enforced to minimize contamination and pollution, safeguarding the health of aquatic ecosystems.
Fisheries	In the fisheries sector, there's identified inadequacy in implementing climate-resilient fisheries management practices. This gap underscores the necessity for strategies that better consider changing climatic conditions, ensuring the sustainable production of fish.	Enhanced monitoring systems will be put in place to track and respond to changes in fish populations, promoting the long-term health of fisheries.
Coastal Ecosystems (Mangroves, Seagrasses, Coral Reefs)	The availability of comprehensive climate-adaptive measures for coastal zone management. This highlights the need for more robust approaches that can effectively address the diverse impacts of climate change on coastal ecosystems.	The ESS 10 advocates for the integration of climate-smart agricultural practices. This involves developing crop varieties resistant to drought and flooding, implementing water management strategies to address changing precipitation patterns, and enhancing pest control measures to mitigate the impact on crops and livestock.

3.5 Environmental and Social Risks, Impacts and Mitigation Plans

This section discusses the overall environmental and social risk assessment, mitigation measures, and specific references to appropriate environmental and social management instruments. Risk identification is prepared based on the potential location of activities (e.g., *inside* or *outside* protected areas), showing the associated potential environmental and social risks and impacts. These risks are categorized thematically and by the type of assistance required for the planned activities (e.g., capacity building, technical assistance, etc.).

A key element of this section is the categorization and screening of sub-grants to assess the level of environmental and social (E&S) risks they may pose. Each sub-grant will be screened against an E&S risk classification system:

- **Category A:** Projects likely to have significant adverse environmental and/or social impacts that are irreversible or unprecedented. These projects are **not eligible** for grant funding.
- **Category B:** Projects with moderate risks that may be site-specific and reversible. These will require appropriate mitigation measures to manage potential impacts and are **eligible** for grant funding.
- **Category C:** Projects with minimal or negligible risks, which typically do not require additional mitigation. These are also **eligible** for funding.

All grant applicants are required to submit a completed Environmental and Social Safeguards (ESS) screening form (see Appendix 1). The project will analyze the form against this ESMF and issue a screening report which identifies the ESS Standards Triggered mitigation measures (as references in Table 5) that the applicant needs to put in place, and the categorization of the project. To support this, examples of potential risks (e.g., water contamination, disruption to local communities, harm to biodiversity) and suggested mitigation measures (e.g., proper waste management, stakeholder consultations, use of environmentally friendly technologies) should be referenced.

Additionally, all proposals must include a Monitoring and Evaluation (M&E) plan with clear performance indicators, to assess the effectiveness of mitigation actions and track the achievement of environmental and social sustainability goals.

Table 4. Potential impacts of sub-grants under component 2

Sub-Activity	Potential Positive Impacts	Potential Negative Impacts	Applicable ESS (2–8)
2.1.1.1 Manage grants for ecotourism enterprises for community development	• Increased income generation • Creation of alternative livelihoods - Enhanced conservation incentives	• Resource access conflicts (especially in emergencies) • Risk of exclusion of vulnerable groups • Increased pressure on ecosystems or cultural sites • SEAH risk increased by supporting MSMEs initiatives through the granting mechanism that	ESS2, ESS4, ESS5, ESS6, ESS7, ESS8

		increases eco-tourism in vulnerable coastal communities. This can be associated with the increase of national and international tourists arriving and staying at already vulnerable communities, increasing the risk for sexual exploitation	
2.1.1.2 Manage grants for collaborative MPA management	Improved marine biodiversity protection, participatory governance	Potential conflict if not inclusive	ESS2, ESS4,
2.1.1.3 Manage grants for sustainable and diversified fishing livelihoods (community-based economic activities)	- Sustainable and diversified fishing livelihoods - Diversified income opportunities - Improved food security	- Occupational health and safety risks - Risk of excluding women or marginalized groups	ESS2, ESS4, ESS7
2.1.1.4 Manage grants for sustainable waste management	- Improved public and environmental health - Employment creation, especially for informal waste workers - Cleaner and safer communities.	- Exposure to hazardous waste and chemicals - Improper waste sorting or disposal may pose risks to water and soil	ESS 5, ESS7, ESS8
2.2.1.1 Manage grants for high carbon ecosystem restoration	- Improved ecosystem services - Biodiversity restoration	- Resource conflicts - Potential exclusion of traditional users - Potential invasion of alien species	ESS 2
2.2.1.2 Manage grants for small-scale renewable energy deployment/installation	- Access to clean energy - Reduction in fossil fuel use - Job creation	- E-waste generation - Occupational health and safety concerns during installation	ESS 5, ESS 8
2.3.1.1 Provide technical assistance to BLU LPMUKP	- Economic diversification - New job opportunities	Unequal access to benefits	ESS 1, ESS 9

		• Environmental degradation from enterprise growth	
2.3.1.2 Develop action-oriented research papers on sustainable blue economy themes	• -Informing evidence-based policy • Supports innovation	• Risk of not sharing results with communities	ESS 1
2.3.1.3 Monitor investment readiness grant window performance	• Data-driven adaptive management • Improved accountability	N/A	
1.1.3.3 Capture and disseminate learning reports from project implementation amongst project stakeholders and partners to inform refinement, replication and scaling up	• Knowledge sharing • Improved project design in future cycles	N/A	

Project interventions will be restricted to infrastructure of a modest scale that remain beneath the threshold necessitating an AMDAL assessment. This includes the establishment and outfitting of data command centers on governmental terrain within fishing harbors, as detailed in the Project Operation Manual (POM). All equipment and small scale and individual infrastructure projects are predicated upon the formulation of a strategy for long-term operations and maintenance, which encompasses the necessary human resources. For activities anticipated to occur outside protected zones, the project will adhere to universal guidelines to mitigate environmental and social risks (as referenced in Table 6 of this chapter). In instances where actions are executed within protected domains, there is an imperative for the implementation of intensified environmental and social scrutiny at the subproject echelon.

Table 5. Environmental and Social Requirements for the Activities in the Protection Area

Subproject Activities Examples	Requirements
Procurement of relevant equipment (small patrol boats, survey equipment, surveillance equipment, safety-at-sea kits)	• Utilize local resources where possible • Prioritize the use of reused and recycled materials • Avoid activities that may cause damage to sensitive ecosystems, such as coral reefs • Prohibit the use of hazardous and toxic substances, including but not limited to asbestos • Ensure the sustainable use of timber, water, and energy; activities that entail excessive use of natural resources are not permitted

Subproject Activities Examples	Requirements
Educational and awareness-raising initiatives (e.g., community workshops, training programs)	• Incorporate traditional knowledge and practices where relevant • Engage local communities in the planning and implementation phases • Ensure inclusivity and accessibility for all stakeholders, particularly marginalized and vulnerable groups • If activities supported through intermediate financing, stakeholder engagement and reporting requirement under ESMF must be followed
Research and monitoring activities (e.g., biodiversity surveys, water quality testing)	• Adhere to best practice standards for environmental research • Ensure the protection of data and personal information of individuals involved in research activities • Conduct activities with minimal disturbance to the natural environment and local communities • Results should be documented and shared in line with the project ESMF and ESS requirements.
Capacity building for local management (e.g., training for effective area management, enforcement of regulations)	• Design training programs to enhance local capacities without imposing excessive burdens on resources • Promote gender equality and empower all community members, including women and youth. • Foster sustainable practices that contribute to the long-term management and conservation goals

4. Environmental and social risk screening of sub-grants

This section outlines the **framework** for identifying and assessing the environmental and social (E&S) risks and impacts of sub-grants under the program.

Sub-grants will be screened during the proposal review stage using a standardized risk screening checklist to assess their potential E&S risks. The level of risk will determine the necessary safeguard instruments, such as Environmental and Social Management Plans (ESMPs), Environmental Codes of Practice (ECOPs), Labor Management Procedures (LMPs), or stakeholder engagement plans. Sub-grants categorized as **Category A** (with high and irreversible adverse risks) will not be eligible for funding. Only **Category B** (moderate risk) and **Category C** (minimal risk) sub-grants will be considered, with mitigation measures tailored accordingly.

To ensure risks are identified early and managed appropriately, the ESMF provides a list of potential risk themes and example mitigation measures that may apply, such as:

- **Grievance Mechanism:** Ensure a culturally appropriate and accessible grievance mechanism is established and operational for all sub-grants.
- **Natural Habitat Protection:** Assess potential impacts on biodiversity and ecosystem services; propose conservation-friendly site planning and activity design.
- **Involuntary Restrictions or Resettlement:** Identify and address restrictions on access to natural resources; ensure community consent processes are in place.
- **Coastal and Indigenous Communities:** Ensure inclusive and participatory planning through free, prior, and informed consent (FPIC) mechanisms where relevant, where screening

identifies Indigenous Peoples or potential impacts on them, an IPP must be prepared, consulted, disclosed, and approved before subproject approval and activity commencement. Where required under IPF, FPIC must also be completed prior to subproject approval.

- **Indigenous Peoples Participation and Benefit Sharing:** Where Indigenous Peoples are present, engagement processes will be designed to ensure that Indigenous Peoples can effectively participate in the identification, design, implementation, and monitoring of subprojects and have equitable access to grant resources and project benefits.
- **Pest Management:** Determine whether pesticide use is anticipated and ensure compliance with national and international guidelines.
- **Cultural Heritage:** Identify and protect any physical cultural resources potentially affected by sub-grant activities.
- **Labor and Working Conditions:** Ensure compliance with national labor laws, occupational health and safety standards, and safeguard vulnerable groups such as youth or contract workers.
- **Community Health and Safety:** Identify and manage potential risks to community health, including pollution, construction safety, or increased traffic. Special attention will be provided to screening the risk for SEAH, especially in sub-grants that are related to the ecotourism sector and when installation of new technologies will represent an increased influx of workers and contractors external to communities.

The sub-grant proposals must also include a simple Monitoring and Evaluation (M&E) plan with relevant indicators to track safeguard compliance and social/environmental performance.

Appendix 1. ESS Screening Form

CI-GCF/GEF AGENCIES

ENVIRONMENTAL AND SOCIAL SAFEGUARDS (ESS) SCREENING FORM³

- ☐ **Preliminary Screening** (check if performed at the project/program conceptual stage) ☐ **Second Screening** (check if performed at proposal development stage i.e. PPG/PPF)

Guidance Notes

1. This ESS Screening Form is guided by the CI-GEF/GCF Agencies' Policy on Environmental and Social Safeguard Standards, which forms part of the [CI-GCF/GEF Agencies Environmental and Social Management Framework \(ESMF\)](#).
2. The CI-GCF/GEF Agencies undertake environmental and social safeguard screening for every project or program to determine the risk categorization for the project, the ESS Standards triggered by the project, and the mitigation measures to be implemented by the project.
3. ESS screenings are performed at (i) conceptual stage (Preliminary Screening) using the finalized versions of the PIF/PFD/CN; and (ii) proposal development stage i.e. PPG/PPF (Secondary Screening) using the project document when details of activities, project intervention areas and executing arrangements, among others, have been finalized. Additional screenings may be performed at any time when significant changes have emerged including but not limited to new proposed activities, changes in local/national context of project intervention areas, and where environmental and social risks have increased.
4. The CI-GCF/GEF Agencies classify the project into one of three categories, depending on the type, location, sensitivity and scale of the project and the nature and magnitude of its potential environmental and social impacts. The descriptions of the categories and lists of types of projects identified in Appendix II of the CI-GCF/GEF's ESMF. These descriptions are meant to serve as guidance and are not exhaustive.
5. The CI-GCF/GEF Agencies do not fund projects that involve the construction or rehabilitation of large or complex dams, and resettlement of people. The CI-GCF/GEF Agencies cannot support projects that contradict CI's mission and policies.
6. The Executing Agency/Entity is responsible for fully completing and providing accurate responses to each question in this Screening Form, and to submit the completed Form to the CI-GCF/GEF Agencies in a timely manner.

³ During implementation, the project will adapt the screening form to fit-for-purpose e.g. having a simplified version according to the capacity of the applicants.

7. The CI-GCF/GEF Agencies is responsible for ensuring that the project complies with the CI-GCF/GEF Policy on Environmental and Social Safeguards, and will use the completed Screening Form to determine the mitigation measures for the Executing Agency/Entity to implement.
8. In addition to preparing and implementing mitigation measures for the environmental and social safeguard standards triggered, the Executing Agency/Entity will also need to comply with CI-GEF/GCF's policies on gender, stakeholder engagement and Grievance Redress Mechanism. As such the Executing Agency/Entity will be required to prepare a Gender Assessment and Action Plan, a Stakeholder Engagement Plan, and a Grievance Redress Mechanism (see to ESMF for details).
9. The Executing Agency/Entity is responsible for informing the CI-GCF/GEF Agencies in a timely manner, if at any time during the preparation and implementation of the project, the information provided in this Screening Form changes in a way that results in the risks of the project being increased.
10. For additional information/clarification, please contact Ian Kissoon, Senior Director of ESMF, CI-GEF/GCF Agencies at ikissoon@conservation.org or your GEF/GCF Project Manager.

I. PROJECT INFORMATION		
GCF/GEF Project ID:	Country:	
Project Title:		
Name of the Executing Agency/Entity:		
Length of Project: ____ months	Anticipated Start date:	Anticipated End date:
GCF Results Area(s) / GEF Focal Area(s):		
GCF/GEF Project Amount: USD	Co-Financing Amount: USD	
Project Objectives:		
Project Components and Main Activities Proposed:		
ESS Screening Form Completed by:		
Date of Submission/Resubmission of Completed Form to CI-GEF/GCF:		
CI-GEF/GCF Comments:		

II. PROJECT CONTEXT

Project Location

- Indicate where the project will take place AND provide a legible map highlighting the project intervention areas, towns/communities/indigenous territories, protected areas, and main rivers/watersheds):

Biological Context of Project Area

- Indicate global significance (e.g. biodiversity hotspot, Ramsar site, Key Biodiversity Area) of the project area.
- Identify endemic and IUCN Red Listed species.
- Describe the environmental conditions of the area including pollution, threats to biodiversity, and natural disasters.

Socio-economic Context of Project Area

- Describe the broad economic, social and cultural context of, and local communities living in, the area of the proposed project and identify disadvantaged groups present in the area. Include statistical information on number of men, women, indigenous people, disadvantaged/vulnerable/disabled groups, economic/livelihood activity, household income
- Describe how men and women access, use, manage and govern the natural resources that the project seeks to focus on. How could project activities affect or benefit women and men, and people with diverse gender identities where relevant?
- Describe the extent of gender-based violence (GBV) and Sexual Exploitation, Sexual Abuse and Sexual Harassment (SEAH). Are GBV and SEAH relatively high at the national and project level? Is the project planning to introduce activities that may perpetuate or exacerbate GBV and SEAH?

11. Institutional Capacity

- Describe the institutional experience in implementing environmental and social safeguards, gender and stakeholder engagement.
- Indicate the number of staff dedicated (part/full-time) to safeguards, gender and stakeholder engagement.
- Describe the capacity of the above staff (are they subject experts such as gender specialist or have they been trained in safeguards, gender and stakeholder engagement). (The EA/EE will be required to complete an ESMF capacity self-assessment during the PPG/PPF stage).

12. Additional Information

- Describe any risks or factors that may affect or contribute to the project implementing safeguard measures/plans.

III. ESMF EXCLUSIONS

This section will help the CI-GEF/GCF Agencies to determine whether they can support a project. Please provide accurate answers and details including supporting documents, where requested. If you answered “Yes” to any of the questions (i-xiii) then the CI-GEF/GCF Agencies cannot support the project.

I. Contravene major international and regional conventions on environmental issues?		
Will the project:	Yes	No
II. 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, recognized as protected by traditional local communities, or have significant negative socioeconomic and cultural impacts that cannot be cost-effectively avoided, minimized, mitigated and/or offset?	☐	☐
III. Involve adverse impacts on critical natural habitats, including forests that are critical natural habitats, including from the procurement of natural resource commodities, except for adverse impacts on a limited scale that result from conservation actions that achieve a net gain of the biodiversity values associated with the critical natural habitat?	☐	☐
IV. Propose to carry out <i>unsustainable</i> harvesting of natural resources -animals, plants, timber and/or non-timber forest products (NTFPs)- or the establishment of forest plantations in <i>critical natural habitats</i> ?	☐	☐
V. Propose the introduction of alien species that can potentially become invasive and harmful to the environment, unless there is a mitigation plan to avoid this from happening?	☐	☐
VI. Involve <i>involuntary resettlement, land acquisition, and/or the taking of shelter and other assets</i> belonging to local communities, individuals or Indigenous Peoples?	☐	☐
VII. Contravene major international and regional conventions on human rights, including rights specific to indigenous peoples?	☐	☐
VIII. Propose activities that result in the exploitation of and access to outsiders to the lands and territories of indigenous peoples in voluntary isolation and in initial contact?	☐	☐
IX. Propose the use and/or procurement of materials deemed illegal under host country laws or regulations or international conventions and agreements, or subject to international phase-outs or bans, such as: 13. a. ozone depleting substances, polychlorinated biphenyls (PCBs) and other specific, hazardous pharmaceuticals, pesticides/herbicides or chemicals; and 14. b. wildlife or products regulated under the Convention on International Trade in Endangered Species or Wild Fauna and Flora (CITES)?	☐	☐
X. 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?	☐	☐
XI. Involves the removal, alteration or disturbance of any non-replicable or critical cultural heritage, or the use of any intangible cultural heritage without the Free, Prior and Informed Consent of the communities who it belongs to?	☐	☐

IV. SIMPLIFIED APPROVAL PROCESS (GCF Projects ONLY)

Questions XIV through XXII are **ONLY for GCF Projects** pursuing the Simplified Approval Process (SAP). If you answer “Yes” to any of the questions below, your project will undergo further review to determine eligibility for the Simplified Approval Process.

Will the project:		Yes	No
XII.	Involve associated facilities ⁴ and require further due diligence of such associated facilities?	☐	☐
XIII.	Involve trans-boundary impacts including those that would require further due diligence and notification to downstream riparian states?	☐	☐
XIV.	Adversely affect working conditions and health and safety of workers or potentially employ vulnerable categories of workers including women or child labor?	☐	☐
XV.	Generate hazardous waste and pollutants including pesticides and contaminate lands that would require further studies on management, minimization and control and compliance to the country and applicable international quality standards?	☐	☐
XVI.	Involve the construction, maintenance, and rehabilitation of critical infrastructure (i.e. dams, water impoundments, coastal and river bank infrastructure) that would require further technical assessment and safety studies?	☐	☐
XVII.	Involve the resettlement and dispossession, land acquisition, and economic displacement of persons and communities?	☐	☐
XVIII.	Be located in protected areas and areas of ecological significance including critical habitats, key biodiversity areas and internationally recognized conservation sites?	☐	☐
XIX.	Affect Indigenous Peoples that would require further due diligence, free, prior and informed consent (FPIC) and documentation of development plans?	☐	☐
XX.	Be located in areas that considered to have archeological (prehistoric), paleontological, historical, cultural, artistic, and values or contains features considered as critical cultural heritage?	☐	☐

⁴ Associated facilities are those that are not funded as part of the project, and that would not have been constructed or expanded if the project did not exist and without which the project would not be viable.

V. ENVIRONMENTAL AND SOCIAL SAFEGUARDS (ESS) SCREENING

This section will help the CI-GEF/GCF Agencies to determine the category of the project and the ESS Standards triggered by the project. Please provide accurate answers and details including supporting documents, where requested.

ESS1: Environmental and Social Impact Assessment

Will the project potentially:

- (a) cause significant adverse environmental and social impacts (which may affect an area broader than the project area) that are sensitive, diverse, or unprecedented?
 - (b) cause adverse environmental and social impacts (which are site-specific and few if any of them are irreversible) on human populations or environmentally or socially important areas?
- ☐ NO (to all of the above)
☐ TO BE DETERMINED
☐ YES (to any of the above)

If TBD or Yes, please provide details here.

- (c) Has a full or limited ESIA that covers the proposed project already been completed?
- ☐ NO
☐ YES (If Yes, answer the following)

(d) Is the assessment a: ☐ A FULL ESIA ☐ A LIMITED ESIA	Yes	No
(e) Does the assessment meet its terms of reference, both procedurally and substantively?	☐	☐
(f) 3. Does the assessment provide a satisfactory assessment of the proposed project?	☐	☐
(g) 5. Does the assessment describe specific environmental and social management measures (e.g., avoidance, minimization, mitigation, compensation, monitoring, and capacity development measures)?	☐	☐
(h) 6. Does the assessment identify capacity needs of the institutions responsible for implementing environmental and social management issues?	☐	☐
(i) 7. Was the assessment developed through a consultative process with key stakeholder & rightsholder engagement, including issues related to gender mainstreaming and Indigenous Peoples?	☐	☐
(j) 8. Does the assessment assess the adequacy of the cost of and financing arrangements for environmental and social management issues?	☐	☐

For any "no" answers, describe below how the issue has been or will be resolved or addressed.

ESS 2: Protection of Natural Habitats and Biodiversity Conservation

Will the project:

- (a) involve adverse impacts on Critical Habitats⁵, including forests that are Critical Habitats, including from the procurement of natural resource commodities, except for adverse impacts on a limited scale that result from conservation actions that achieve a Net Gain of the Biodiversity values associated with the Critical Habitat?
- (b) contravene applicable international environmental treaties or agreements?
- (c) involved the utilization of genetic resources?
- (d) introduce or use potentially invasive alien species?
- (e) affect species identified as threatened at the local and/or global levels?
- (f) implement habitat restoration activities?

- ☐ NO (to all of the above)
- ☐ TO BE DETERMINED (TBD)
- ☐ YES (to any of the above)

If TBD or Yes, please provide details here. In the case of Protected Areas, provide name, location, area size, management category, governance arrangement, and current management activities of protected areas being affected by the project.

⁵ Critical Habitat means a Habitat with high Biodiversity value, including (i) Habitats of significant importance to Critically Endangered or Endangered species, as listed on the International Union for the Conservation of Nature (IUCN) Red List of threatened species or equivalent national approaches, (ii) Habitats of significant importance to endemic or restricted-range species, (iii) Habitats supporting globally or nationally significant concentrations of migratory or congregatory species, (iv) highly threatened or unique ecosystems, and (v) ecological functions or characteristics that are needed to maintain the viability of the Biodiversity values described in (i) to (iv).

ESS 3: Resettlement, Physical and Economic Displacement

Will the project

(a) involve the voluntary or involuntary resettlement of people? Resettlement including relocation or loss of shelter.

(b) restrict land use and access?

(c) cause economic displacement of people? Economic displacement, including the loss of access to natural resources that lead directly or indirectly to the loss of traditional/subsistence livelihoods, including assets, social capital, cultural identity, among other impacts.

☐ NO (to all of the above)

☐ TO BE DETERMINED (TBD)

☐ YES (to any of the above)

If TBD or Yes, please provide details here.

ESS 4: Indigenous Peoples ⁶

Will the project:

- (a) work in lands or territories traditionally owned, customarily used, or occupied by indigenous peoples?
- (b) cause impacts on land and natural resources, including restrictions on land use or loss of access to natural resources, subject to traditional ownership or under customary use or occupation, or the location of a project or program on such land or the commercial development of such natural resources?
- (c) cause relocation of Indigenous Peoples from land and natural resources subject to traditional ownership, or under customary use or occupation?
- (d) cause significant impacts on an Indigenous People's cultural heritage that is material to the identity and/or cultural, ceremonial, or spiritual aspects of the affected Indigenous People's lives, or the use of such cultural heritage for commercial purposes?
- (e) include the commercial development of lands and natural resources central to Indigenous Peoples' identity and livelihood, or commercial use of Indigenous Peoples' Cultural Heritage?
- (f) restrict the access of Indigenous Peoples to parks and protected areas?
- (g) Work in territories where there is Indigenous Peoples in voluntary isolation or could result in undesired contact with IPs?

☐ NO (to all of the above)

☐ TO BE DETERMINED (TBD)

☐ YES (to any of the above)

If TBD or Yes, please provide details here.

⁶ According to CI Policy on Indigenous Peoples, "CI identifies indigenous peoples in specific geographic areas by the presence, in varying degrees, of: a) Close attachment to ancestral and traditional or customary territories and the natural resources in them; b) Customary social and political institutions; c) Economic systems oriented to subsistence production; d) An indigenous language, often different from the predominant language; and f) Self-identification and identification by others as members of a distinct cultural group".

ESS 5: Resource Efficiency and Pollution Prevention

Will the project:

- (a) promote the trade in or use of any substances listed under the Stockholm Convention on Persistent Organic Pollutants, or other chemicals or hazardous materials subject to international bans, restrictions or phaseouts due to high toxicity to living organisms, environmental persistence, potential for bioaccumulation, or potential depletion of the ozone layer, consistent with relevant international treaties and agreements?
- (b) generate wastes and effluents, and emissions of short- and long-lived climate pollutants?
- (c) involve pest management measures, Integrated Pest Management or Integrated Management of Vectors and Intermediate Hosts?
- (d) procure pesticides?
- (e) use energy, water and other resources and material inputs, where significant water consumption is involved and would cause adverse impacts on communities, other water users, and the environment?

- ☐ NO (to all of the above)
- ☐ TO BE DETERMINED (TBD)
- ☐ YES (to any of the above)

If TBD or Yes, please provide details here.

ESS 6: Cultural Heritage⁷

Will the project implement activities that affect cultural heritage (both tangible and/or intangible), including archaeological, paleontological, historical, architectural, and sacred sites including graveyards, burial sites, and sites with unique natural values?

- ☐ NO
- ☐ TO BE DETERMINED (TBD)
- ☐ YES

If TBD or Yes, please provide details here.

⁷ Cultural Heritage means both tangible and intangible cultural heritage, including movable or immovable objects, sites, structures, natural features and landscapes that have archaeological, paleontological, historical, architectural, religious, aesthetic, or other cultural significance, located in urban or rural settings, above ground, underground or under water; as well as practices, representations, expressions, knowledge, or skills – as well as the instruments, objects, artifacts and cultural spaces associated therewith – that communities, groups, and in some cases individuals, recognize as part of their heritage, as transmitted from generation to generation and constantly recreated by them in response to nature and a shared history

ESS 7: Labor and Working Conditions

Does the EA/EE have in place the necessary policies, procedures, systems and capabilities to ensure that:

- (a) the fundamental rights of workers, consistent with the International Labour Organization's (ILO) Declaration on the Fundamental Principles and Rights at Work are respected and protected?
- (b) written labor management procedures are established in accordance with applicable national laws?
- (c) workers are provided with clear and understandable documentation of employment terms and conditions, including their rights under national law to hours of work, wages, overtime, compensation and benefits?
- (d) workers are provided regular and timely payment of wages; adequate periods of rest, holiday, sick, maternity, paternity, and family leave; and written notice of termination and severance payments, as required under national laws and the labor management procedures?
- (e) decisions relating to any aspect of the employment relationship, including recruitment, hiring and treatment of workers, are made based on the principles of non-discrimination, equal opportunity and fair treatment, and not on the basis of personal characteristics unrelated to inherent job requirements?
- (f) appropriate measures are in place to prevent harassment, intimidation, and exploitation, and to protect vulnerable workers, including but not limited to women, children of working age, migrants and persons with disabilities?
- (g) workers who participate, or seek to participate, in workers' organizations and collective bargaining, do so without interference, are not discriminated or retaliated against, and are provided with information needed for meaningful negotiation in a timely manner?
- (h) forced labor and child labor are not used in connection with the project or program?
- (i) occupational health and safety (OHS) measures are applied to establish and maintain a safe and healthy working environment, including supply chain workers?
- (j) workers are informed of applicable grievance and conflict resolution systems provided at the workplace level?
- (k) workers may use these mechanisms without retribution, and the grievance and conflict resolution systems does not impede access to other judicial or administrative remedies available under the law or through existing arbitration procedures, or substitute for grievance systems provided through collective agreements?

☐ NO (to any of the above)

☐ TO BE DETERMINED (TBD)

☐ YES (to all of the above)

If TBD or Yes, please provide details here.

ESS 8: Community Health, Safety and Security

Please complete the following Risk Assessment Tool to determine community health, safety and security risks and their mitigation measures. Guidance on how to complete the Tool can be found in Appendix IX of the ESMF (Version 7). Try to identify risks in a way that recognizes diversity, disadvantaged groups that might be disproportionately affected or affected in different ways to others. For example, elderly and people with disabilities will be more impacted by natural hazards, or women having more exposure to accidents from having less access to Personal Protective Equipment (PPE).

Some of the CHSS risks may include but are not limited to:

- Natural hazards/disasters such as flooding, drought, wildfires, volcanic eruptions, earthquakes, typhoons and hurricanes;
- Climate change and ecosystem service stress such as increased temperatures;
- Exposure to Hazardous Materials such pesticides and banned chemicals;
- Exposure to communicable/vector-borne disease such as Ebola, COVID-19, and Malaria;
- Security related risk such as working in areas of conflict or post-conflict or with illegal activities (e.g. poaching, growing illicit crops), context with ongoing human rights violations, human-wildlife conflict, frequent and violent protests/demonstrations, working with armed rangers;
- Safety related risks such as failure of structural elements or infrastructure built by the project, lack of PPE; and
- Gender-Based Violence (GBV) and Sexual Exploitation, Abuse and Harassment (SEAH).

Community Health, Safety and Security Threat	Likelihood	Impact	Risk	Risk Rating	Mitigation Measures
1.					
2.					
3.					
4.					
5.					
6.					
7.					
8.					
9.					
10.					
Total					
Average					
Overall risk rating to project-affected communities					

ESS 9: Private Sector Direct Investments and Financial Intermediaries

Will the project make either direct investments in private sector firms or Endowment Funds, or channels funds through Financial Intermediaries (FIs)?

- ☐ NO
☐ TO BE DETERMINED (TBD)
☐ YES (to any of the above)

If TBD or Yes, the proposed fund/FI/firm would be required use this Screening Form to conduct a screening on the portfolio of the proposed investment.

ESS 10: Climate Risk and Related Disasters

Please refer to guiding questions in Appendix A to help answer the questions below:

Describe the climate projections for the country or region, or if possible, for the specific location of the project for the next 30 years from the start date of the project.

Describe the relevant potential hazards (e.g. heavy rainfall leading to flood, low rainfall leading to drought, temperature changes which could lead to heat waves, sea-level rise, or changes in other extreme events such as hurricanes and cyclone) that could prevent the project from achieving its objectives and/or outputs.

Describe the current and projected exposures, vulnerabilities, and adaptive capacities (e.g. technical, institutional, financial) and how these could prevent the project from achieving its objectives and/or outputs.

What mitigation measures have been identified and incorporated into the design of the project/planned for the implementation phase to reduce the likelihood and/or consequences of risks or to respond to consequences so as to ensure that the project achieves its objectives and/or outputs?

If one or more risks are accepted, please provide a justification.

Appendix A. Climate risk and related disaster assessment tool (adapted from FAO).

The checklist below presents some guiding questions on hazards, exposure, vulnerability and adaptive capacity (see definitions in Appendix XI of the ESMF Version 7) for completing the climate screening section of the Safeguard Screening Form:

Existing Hazards Guiding Questions:	Yes	No	TBD
Observed climate and weather hazards in the project area:			
Extreme temperature (heat/cold)	☐	☐	☐
Extreme precipitation and flooding	☐	☐	☐
Agricultural Droughts and/or dry spells	☐	☐	☐
Storms (Tropical storms, snowstorms, hailstorms, dust storms, etc.)	☐	☐	☐
Winds (Typhoons, Cyclones, Hurricanes, Tornadoes, Harmattan)	☐	☐	☐
Sea level rise (from global warming and storm surges)	☐	☐	☐
Other natural hazards observed in the project area:			
Earthquakes	☐	☐	☐
Tsunamis	☐	☐	☐
Volcanic eruptions	☐	☐	☐
Landslides or avalanches	☐	☐	☐
Wildfires	☐	☐	☐
Salinization	☐	☐	☐
Ocean acidification	☐	☐	☐
Projected Hazards Guiding Questions	Yes	No	N/A
Do future climate scenarios foresee an incremental increase of potential hazards and climate change compared to the baseline that may affect the project over its lifetime?			
Extreme temperature	☐	☐	☐
Extreme precipitation and flooding	☐	☐	☐
Agricultural Droughts and/or dry spells	☐	☐	☐
Change in temperature	☐	☐	☐
Change in rainfall	☐	☐	☐
Exposure Guiding Questions	Yes	No	N/A
Is the project located in high exposure areas?			
Low-lying areas (valleys or coastal zones)	☐	☐	☐
Arid and semi-arid zones	☐	☐	☐
Mountains zones and permafrost areas	☐	☐	☐

Are the agricultural systems (crops, livestock, fisheries, forests) targeted by the project affected by climate related hazards?			
Is crop productivity affected by rainfall variability, changes in temperature or pests and diseases?	☐	☐	☐
Is livestock productivity affected by rainfall variability, changes in temperature or parasites and diseases?	☐	☐	☐
Is fisheries productivity affected by ocean acidification, changes in sea temperature or variation of water salinity?	☐	☐	☐
Is forest productivity affected by wildfires, diseases, rainfall variability or changes in temperature?	☐	☐	☐
Is any stage of the agricultural value chain (production, storage, processing and marketing) affected by climate related hazards?	☐	☐	☐
Vulnerability Guiding Questions	Yes	No	TBD
Is the target population in the project area living below poverty line?	☐	☐	☐
Are the livelihoods of the target population sensitive to climate change?	☐	☐	☐
Is the target population income exclusively from agriculture?	☐	☐	☐
Is the population migrating due to food insecurity as a consequence of climate change?	☐	☐	☐
Is the project targeting sensitive groups (indigenous people or other marginalized groups) that are likely to be affected by climate change?	☐	☐	☐
Is climate change affecting certain groups more than others in the project area?	☐	☐	☐
Adaptive Capacity Guiding Questions:	Yes	No	TBD
Does the target population have access to climate information?	☐	☐	☐
Are there any early warning systems in the project area to anticipate and respond to climate-related events and disasters or climate-driven pest and diseases?	☐	☐	☐
Does the government or other institutions support the target population/communities with the necessary social and economic resources to prepare for or respond to climate-related events?	☐	☐	☐
Is the target population carrying out self-adaptation?	☐	☐	☐
Do policies exist that make financial credit, loans and agricultural insurance available?	☐	☐	☐
Project Modulation of Risks Guiding Questions:	Yes	No	TBD
1. Policies and planning			
Does the project support the integration of climate into national policies and planning?	☐	☐	☐
Does the project support the increased use of climate data and information in national long term and strategic planning?	☐	☐	☐
2. Capacity building, training and outreach			
Would the project invest in institutional development and capacity-building for national institutions involved in climate related activities?	☐	☐	☐

Would the project invest in increased information and dissemination of climate-related information to target groups?	☐	☐	☐
Does the project have opportunities to strengthen rural and indigenous climate risk management capabilities?	☐	☐	☐
Does the project support capacity of target groups to utilize and apply climate services at the farm level?	☐	☐	☐
3. Data gathering, monitoring and information management			
Will the project support the infrastructure and technology necessary to monitor climate variables and collect data required from climate impact assessment and modelling?	☐	☐	☐
Will the project support the national institutions to develop the skills required to monitoring and collect climate related information?	☐	☐	☐
Will the project support development of databases and repositories of climate information?	☐	☐	☐
4. Mitigation			
Will the project invest in measures that will reduce or mitigate emissions of GHGs from the energy sector?	☐	☐	☐
Will the project invest in measures to reduce or mitigate emissions of GHGs from livestock or agricultural production (e.g. rice production)	☐	☐	☐
Will the project invest in measures to reduce or mitigation emissions of GHGs through reforestation or land use change?	☐	☐	☐
Will the project invest in renewable energy and green technologies?	☐	☐	☐
Will the project invest in other measures to reduce or mitigate GHG emissions?	☐	☐	☐
5. Adaptation			
Will the project invest in climate smart agriculture activities?	☐	☐	☐
Will the project promote climate resilient practices for crops, livestock and fisheries?	☐	☐	☐
Will the project promote sustainable natural resources management?	☐	☐	☐
Does the project support Nature-based Solutions for climate change and disaster risk reduction?	☐	☐	☐
Will the project invest in agricultural insurance?	☐	☐	☐

Appendix 2. Environmental and Social Exclusion List⁸

The following activities will be deemed ineligible for the Project, if they:

1. Contravene major international and regional conventions on environmental issues;
2. Propose to degrade or facilitate significant degradation of, 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, 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;
3. Involve adverse impacts on critical natural habitats, including forests that are critical natural habitats, including from the procurement of natural resource commodities, except for adverse impacts on a limited scale that result from conservation actions that achieve a net gain of the biodiversity values associated with the critical natural habitat;
4. 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;
5. 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;
6. Involve involuntary resettlement, land acquisition, and/or the taking of shelter and other assets belonging to local communities or individuals; through coercion and/or undue influence;
7. Contravene major international and regional conventions on human rights, including rights specific to indigenous peoples;
8. Propose activities that result in the exploitation of and access to outsiders to the lands and territories of indigenous peoples in voluntary isolation and in initial contact;
9. Propose the use and/or procurement of materials deemed illegal under host country laws or regulations or international conventions and agreements, or subject to international phase-outs or bans, such as:
 - a. ozone depleting substances, polychlorinated biphenyls (PCBs) and other specific, hazardous pharmaceuticals, pesticides/herbicides or chemicals;
 - b. wildlife or products regulated under the Convention on International Trade in Endangered Species or Wild Fauna and Flora (CITES);
10. Propose the use and/or procurement of pesticides and hazardous materials that are unlawful

⁸ The sub-grants shall also not engage in activities within the CI GCF exclusion list

under national or international laws, the generation of wastes and effluents, and emissions of short- and long-lived climate pollutants;

11. Involves the removal, alteration or disturbance of any non-replicable or critical cultural heritage, or the use of any intangible cultural heritage without the Free, Prior and Informed Consent of the communities who it belongs to;
12. Include the use of forced labour, trafficking in persons, and child labour. Child labour includes both (i) labour below the minimum age of employment and (ii) any other work that may be hazardous, may interfere with the child's education, or may be harmful to the child's health or to the child's physical, mental, spiritual, moral, or social development; and
13. Involve the design and construction new dams or rehabilitation of existing dams or financing agriculture and water resource management infrastructure that are highly dependent on the performance of dams that potentially affect their performance.

Appendix 3. Environmental Social Code of Practice (ESCoP)

Based on the proposed activities under the BEAM project, environmental and social (E&S) impacts are expected to be minor, localized, and manageable. These impacts will be addressed through adequate mitigation measures, which are embedded in this Environmental and Social Code of Practice (ESCoP).

This ESCoP serves as a practical guide for contractors, implementing partners, grantees and sub-grantees, and relevant field personnel to ensure compliance with Environmental, Social, Health, and Safety (ESHS) standards during project implementation, especially for small-scale infrastructure works such as solar panel installation, chiller systems, waste management, and other low-risk adaptation interventions.

Purpose of the ESCoP

The purpose of this Environmental and Social Code of Practice (ESCoP) is to provide clear and actionable guidelines for managing environmental and social aspects throughout the implementation of the BEAM project. It aims to ensure that all activities are carried out in a safe and healthy working environment, in full alignment with applicable Environmental, Social, Health, and Safety (ESHS) standards. The ESCoP is designed to minimize potential risks and negative impacts on workers, local communities, and surrounding ecosystems. In doing so, it supports the inclusive, safe, and climate-resilient implementation of BEAM project components, particularly those involving small-scale infrastructure and community-based adaptation interventions.

Scope of Application

This ESCoP applies to all field-level activities carried out under the BEAM project, including but not limited to the installation of solar panels or solar-powered chillers; minor civil works such as drainage systems, fencing, and support infrastructure; pilot adaptation demonstrations in fisheries, aquaculture, and climate-resilient livelihoods; community-based infrastructure that supports the protection and restoration of marine and coastal ecosystems; as well as the implementation of waste management practices aimed at reducing pollution and promoting environmental sustainability in project locations.

ESCoPs Matrix

Project Activity	Impact	Mitigation Measures or Management Guideline
ESCOP 1. WASTE MANAGEMENT		
Plastic waste from ecotourism activities and fish-based production processing.	Pollution in freshwater and marine ecosystems (e.g., from plastic waste, chemicals, or untreated effluents) can degrade natural	1. Solid Waste Management • Provide adequate and clearly labeled waste segregation bins for plastic, organic, and residual waste in areas near project activities, including ecotourism and fish-based production zones.

	carbon sinks, harm biodiversity, and reduce the resilience of coastal areas to climate change impacts such as sea-level rise and ocean acidification	- Promote the use of reusable and eco-friendly materials and discourage the use of single-use plastics through education, signage, and community agreements. - Establish or support community-based waste collection, recycling, and composting systems, such as waste banks or village-level sorting stations.
Domestic waste, organic, and residual waste, originating from ecotourism activities and fish-based product processing	Environmental contamination, such as polluted drinking water, air pollution from waste burning, or soil contamination from domestic waste, chemical runoff that can lead to increased health risks for nearby communities, including respiratory illnesses, waterborne diseases, and food safety concerns.	2. Wastewater and Effluent Control - Ensure that all wastewater and liquid waste generated from project-related activities are treated appropriately before being discharged into water bodies. - Apply nature-based solutions (e.g., constructed wetlands, biofiltration ponds) where feasible to manage and treat greywater in small-scale or remote locations. - Equip fish-processing units and community production centers with basic effluent control systems, such as grease traps and sedimentation chambers. 3. Chemical Management - Avoid the use of hazardous chemicals near rivers, estuaries, or the sea. When use is necessary, ensure chemicals are stored safely and used following standard operating procedures. - Train local operators and producers in safe handling, usage, and disposal of chemicals, especially in fish processing and tourism-related cleaning. 4. Monitoring and Local Oversight - Establish a community-based water quality monitoring program, using simple indicators such as turbidity, odor, and presence of floating waste. - Coordinate with local authorities to enforce environmental regulations. 5. Ecosystem Protection and Climate Resilience - Support the restoration and conservation of natural ecosystems that function as carbon sinks and pollution buffers, such as mangroves, seagrass meadows, and coral reefs. - Designate buffer zones between sensitive aquatic ecosystems and project activity sites, limiting development and pollution-generating activities in these areas. 6. Community Awareness and Participation

		• Conduct awareness campaigns and training for local stakeholders (e.g., fishers, community tourism operators, youth groups) on the impact of marine and freshwater pollution. • Encourage local participation in regular coastal and river clean-up activities, involving schools, cooperatives, and community-based organizations. 7. Monitoring and Local Oversight • Establish a community-based water quality monitoring program, using simple indicators such as turbidity, odor, and presence of floating waste.
ESCOP 2. DUST MANAGEMENT		
Dust generated from solar panel installation activities and minor civil works	Dust can harm air quality, affect health, disturb nearby residents, damage vegetation, and reduce visual cleanliness of the surroundings.	• Regularly sprinkle water on dusty areas, including unpaved roads, excavation zones, and material stockpiles, especially during dry or windy conditions. • Cover loose construction materials (e.g., sand, soil) and transport trucks with tarpaulins to prevent dust dispersion during movement. • Install temporary windbreaks or barriers (e.g., nets, sheets, or planted vegetation) around exposed work areas to reduce dust spread. • Limit the area of land disturbance at any given time, and promptly re-vegetate or cover exposed soil after work is completed • Restrict vehicle speed to below 20 km/h on unpaved access roads to minimize dust emissions. • Provide protective equipment (masks, goggles) for workers and ensure occupational health measures are in place. • Engage communities through signage and briefings about dust-generating activities, including complaint-handling channels. • Conduct regular visual inspections or simple air quality monitoring to assess dust levels and adjust mitigation measures as needed
ESCOP 3. NOISE AND VIBRATION MANAGEMENT		
Noise generated from machinery, installation works, and vehicle movement, including transportation	Noise can cause stress, disrupt daily life, and disturb local wildlife in sensitive areas.	• Use quieter or well-maintained equipment with mufflers or noise suppression devices. • Install sound barriers or enclosures around stationary noisy equipment. • Use quieter or well-maintained equipment with mufflers or noise suppression devices. • Install sound barriers or enclosures around stationary noisy equipment.

of materials and equipment.		• Use quieter or well-maintained equipment with mufflers or noise suppression devices. • Install sound barriers or enclosures around stationary noisy equipment. • Provide ear protection (e.g., earplugs or earmuffs) to workers exposed to high noise levels. • Conduct regular noise level monitoring at site boundaries. • Establish a grievance mechanism for affected community members to report noise issues.
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ESCAP 4. WORKER'S CAMP MANAGEMENT

This is not relevant. However, it is useful to include mitigation measures in case there are any issues during work.

Non-local workers, poor camp conditions, and weak supervision can pose health and social risks.	Poor camp conditions can cause health risks, pollution, social tensions, SEAH incidents, and lower worker morale.	• Locate camps away from sensitive ecosystems and community residential zones. • Ensure the camp layout allows for proper spacing, ventilation, and emergency access. • Provide adequate toilets, clean water, drainage, and solid waste management systems. • Ensure regular cleaning, waste collection, and vector control. • Implement Infection Prevention and Control where relevant. • Enforce a clear worker code of conduct, including zero tolerance for violence, harassment, or discrimination. • Provide orientation and regular briefings on camp rules and expected behavior. • Assign supervisors or camp managers to monitor compliance. • Ensure adequate lighting, ventilation, and sleeping space. • Provide communal spaces for rest, recreation, and cultural practices. • Offer access to basic healthcare and psychosocial support if needed. • Coordinate with local authorities and communities on camp siting and communication protocols. • Establish a grievance mechanism accessible to both workers and nearby communities.
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ESCAP 5. WORKER'S HEALTH AND SAFETY

Interaction and workers movement may spread Infectious diseases	Workers movement may spread disease, causing health risks, project delays, and	Infection Prevention and Control (IPC): • Conduct regular health and hygiene education for workers and communities. • Share information on symptoms, prevention, and reporting procedures.
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	community tension.	• Implement basic health screening (e.g., temperature checks) for workers and visitors. • Promote regular handwashing and provide handwashing stations or hand sanitizers at key locations. • Enforce use of PPE (e.g., masks) during close contact activities when needed. • Establish isolation or referral procedures for suspected illness cases. • Ensure proper sanitation in worker accommodations and communal areas. • Limit unnecessary movement between project sites and surrounding communities.
SEAH and GBV	SEAH and GBV can harm individuals, create unsafe workplaces, and damage project reputation.	• Develop and enforce a zero-tolerance policy on SEAH and GBV. • Require all project staff, contractors, and partners to sign and comply with a code of conduct. • Conduct mandatory training for all workers on SEAH/GBV prevention, reporting, and response procedures. • Raise awareness among communities about rights and available reporting mechanisms. • Promote gender-sensitive work environments (e.g., separate facilities, fair supervision). • Monitor contractor compliance with GBV/SEAH safeguards through regular audits. • Establish confidential, accessible, and survivor-centered AGM (including anonymous options). As an alternative to the BEAM GRM, the GCF Independent Redress Mechanism can also receive SEAH-related grievances (https://irm.greenclimate.fund/). • Ensure timely referral and establish survivor-centered services (medical, psychosocial, legal). Further measures can be found in the ESMP.
Social jealousy	Social jealousy can cause worker conflict, stress, and community resentment, potentially disrupting project activities.	• Prioritize hiring local workers where possible and ensure recruitment is merit-based and inclusive. • Clearly communicate job criteria and selection processes to both local and external applicants. • Promote team-building activities to foster mutual respect and collaboration. • Conduct orientation for all workers on respectful workplace behavior and cultural sensitivity. • Enforce a code of conduct to prevent harassment, favoritism, or discrimination. • Provide accessible and confidential channels for workers to report social tension or discrimination. • Act promptly on any complaints to prevent escalation.

ESCAP 6. STAKEHOLDER CONSULTATION

Site selection for solar panels and a waste management center and others.	Poor consultation can cause community resistance, land conflicts, loss of trust, and project delays.	• Identify all relevant stakeholders (e.g., landowners, traditional leaders, women's groups, youth, indigenous peoples, and other marginalized group, as well as CSOs, and local government). • Ensure consultation is culturally appropriate, accessible, and gender-sensitive. • Conduct FPIC process before any decision or activity proceeds. • Share information on project objectives, site options, potential impacts, and benefits in a clear and understandable format (local language, visual aids, etc.). • Provide sufficient time for feedback before final decisions. • Record consultation processes, participant lists, questions raised, and responses provided. • Publicly share outcomes and how feedback influenced site selection. • Establish a functional and accessible complaint mechanism that allows stakeholders to raise concerns anonymously and without fear of retaliation. • Regularly monitor and respond to grievances during the planning phase.
ESCOP 7. CHANCE AND FIND PROCEDURE		
Solar Panel Installation Activities and Development of a Waste Management Center	Construction may uncover cultural artifacts; mishandling them can cause damage and community conflict.	• Train workers and contractors to recognize potential cultural or archaeological materials. • Include chance find procedures in contractor orientation and environmental briefings. • Stop all work immediately in the discovery area. • Secure the area to prevent further disturbance or unauthorized access. • Report the find to the project manager and relevant local cultural heritage authorities promptly. • Document the location, description, and context of the find without disturbing it. • Engage qualified cultural heritage experts to assess the significance of the find. • Await official guidance before resuming work in the affected area. • If the find is significant, follow government or expert recommendations for preservation, relocation, or study. • Maintain records of the find and the actions taken for audit and compliance purposes. • Inform and involve relevant local communities or traditional leaders, especially if the find holds cultural or spiritual significance. • Ensure transparency to avoid speculation or mistrust.

ESCAP 8. ROAD TRANSPORT AND TRAFFIC MANAGEMENT

Road Transport and Traffic for Material Delivery, Waste Transport, and Workforce Movement (Including delivery of solar panels, construction materials, and waste from installation sites)	Project transport may cause traffic, road damage, safety risks, dust, and disrupt daily community activities.	• Develop a traffic management plan in coordination with local authorities. • Schedule transport during off-peak hours to avoid congestion. • Use designated routes to minimize disruption to sensitive areas (e.g., schools, clinics). • Ensure all project vehicles are roadworthy and operated by trained drivers. • Install proper signage in construction and transport areas (e.g., speed limits, pedestrian crossings). • Enforce speed limits, especially near populated areas • Inform communities about transport schedules and routes in advance. • Use flaggers or traffic marshals during peak delivery or transport times. • Regularly water unpaved roads to suppress dust. • Maintain vehicles to reduce noise and emissions. • Monitor road conditions and vehicle movement impacts regularly. • Establish a grievance mechanism for communities to report concerns or incidents.
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Appendix 4. Environmental and Social Incident Reporting Form

ENVIRONMENTAL AND SOCIAL INCIDENT/NON-CONFORMANCE REPORTING FORM

A. REPORTING INCIDENT OR NON-CONFORMANCE	
1.	Full name (anonymized if needed) _____
2.	Job title _____
3.	Were you directly involved in the incident/ non-compliance? <i>If no, state capacity in completing this form</i> YES/NO CAPACITY: _____
4.	Date of incident/non-compliance _____
5.	Time of incident/non-compliance _____
6. Brief description of the location of the incident/non-compliance _____	
7. What occurred? * Incident Near miss Non-compliance with relevant legal and other requirements	
8. Nature of the occurrence? ☐ Fire ☐ Explosion ☐ Spillage, leakage or uncontrolled discharge of substances (other than special, hazardous or restricted substances) ☐ Spillage of special, hazardous or restricted substances (e.g. oil, detergent, paint) ☐ Emission to air of gas, dust, fumes or other pollutants ☐ Pollution of water courses, surface water drains, foul water sewers ☐ Contamination of land, flora, fauna ☐ Damage to archaeology, listed building, local heritage etc ☐ Noise, litter, light, odour, vibration or other nuisances ☐ Waste management (escape or improper storage/disposal) ☐ Human health and safety ☐ Cultural Heritage impact ☐ Gender-based violence (GBV)/SEAH ☐ Other risk (<i>please describe below</i>)	
Further details <i>Give as much detail as you can. For instance, the name of any substances involved, what happened leading up to the event, the part played by any people including third parties, the names of any witnesses, any action taken at the time of the event.</i>	
Signature: _____ Date of completing this form: _____	

BLUE HALO S – BLUE ECOSYSTEM ADAPTATION MECHANISM (BEAM) Site-Specific Stakeholder Engagement Plan Templates for BEAM Subgrants

Appendix 5: Beam Sub-Grants Stakeholder Engagement Plan Template

For BEAM Subgrants

Purpose: This template is used when environmental and social screening identifies material stakeholder risks, consultation needs, impacts on vulnerable groups, or the need for structured site-level engagement. The level of detail must be proportionate to the subgrant's risk, scale, and context. Delete all blue instructions before submission.

BEAM subgrant title	[Insert title]
Grant window	[Adaptation / Mitigation]
Subgrant reference number	[Insert number]
Subgrantee	[Insert legal name]
Location	[Province, district/city, village/site]
Implementation period	[Start date – end date]
E&S risk category	[Category B / Category C]
Prepared by	[Name and position]
Date submitted to KI	[Date]
Reviewed by KI	[Name and position]
Approval date	[Date]

1. Subgrant Overview

Provide a concise description of the activity, location, purpose, main outputs, implementation arrangements, and why a site-specific SEP is required. Summarize the key environmental and social risks identified during screening.

[Insert 1–2 pages of concise information.]

2. Alignment with BEAM Safeguards

Explain how this SEP aligns with the BEAM Project-level SEP, ESMF, Gender Assessment and Action Plan, Indigenous Peoples Framework, grievance mechanism, and any site-specific ESMP or other safeguards instrument.

BEAM instrument	Relevant requirement	How this SEP addresses it
Project-level SEP	[Insert]	[Insert]
ESMF / site-specific ESMP	[Insert]	[Insert]
Gender Assessment and Action Plan	[Insert]	[Insert]

Indigenous Peoples Framework	[Insert]	[Insert]
Project grievance mechanism	[Insert]	[Insert]
Other applicable instrument (s)	[Insert]	[Insert]

3. Stakeholder Identification and Analysis

Identify people and organizations that may affect, be affected by, or have an interest in the subgrant. Distinguish affected parties, interested parties, vulnerable groups, and Indigenous Peoples where applicable. Do not treat all coastal communities as Indigenous Peoples.

Stakeholder group /	Type	Interest and role	Potential impact	Influence	Risk / concern	Engagement needs
[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]
[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]
[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]
[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]
[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]
[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]
[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]

4. Vulnerable Groups and Indigenous Peoples

Describe barriers to participation and the measures needed for women, persons with disabilities, youth, older persons, low-income households, small-scale fishers, remote communities, and other relevant groups. Record the Indigenous Peoples screening result. Where ESS4 applies, follow the BEAM IPF and complete any required IPP and FPIC process before approval or commencement.

Group	Barrier / risk	Required measure	Responsible party	Timing
[Insert]	[Insert]	[Insert]	[Insert]	[Insert]
[Insert]	[Insert]	[Insert]	[Insert]	[Insert]
[Insert]	[Insert]	[Insert]	[Insert]	[Insert]
[Insert]	[Insert]	[Insert]	[Insert]	[Insert]
[Insert]	[Insert]	[Insert]	[Insert]	[Insert]

5. Engagement Undertaken During Subgrant Preparation

Record consultations already completed, including how information was disclosed, who participated, concerns raised, decisions made, and how feedback changed the proposal. Attach attendance records and evidence where appropriate.

Date location /	Stakeholders	Method	Information disclosed	Main issues / decisions	Response in design
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[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]
[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]
[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]
[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]
[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]

6. Stakeholder Engagement Plan for Implementation

Specify the engagement activity, purpose, method, timing, responsible person, required resources, and evidence. Use accessible and culturally appropriate methods and languages. Include measures for vulnerable groups and consent processes where applicable.

Stakeholder	Purpose / issue	Method	Location / frequency	Inclusion measure	Responsible	Resources	Evidence / output	Deadline
[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]
[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]
[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]
[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]
[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]
[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]
[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]
[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]

7. Information Disclosure

List the information to be disclosed, format, language, channel, timing, and responsible party. At minimum, disclose the activity scope, expected benefits, key risks and mitigation measures, engagement opportunities, and grievance channels.

Information	Audience	Format / language	Channel / location	Timing	Responsible
[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]
[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]
[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]
[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]
[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]

8. Grievance Management

Describe how stakeholders can submit complaints confidentially and without retaliation. Explain intake channels, responsible staff, response times, referral, appeals, documentation, and escalation to KI or CI-GCF. Cross-reference the BEAM Project-level grievance mechanism.

Subgrantee grievance focal point	[Name, title, phone, email]
Available channels	[In person / phone / email / written / other]
Acknowledgement timeline	[Insert working days]
Resolution timeline	[Insert working days]
Escalation route	[Subgrantee → KI PMU → CI-GCF / other applicable mechanism]
Confidentiality and non-retaliation measures	[Insert]

9. Monitoring, Reporting and Adaptive Management

Use indicators proportionate to the subgrant. Report through the subgrant reporting process and notify KI of serious concerns, incidents, or material non-compliance. Update this SEP when stakeholder risks, locations, activities, or affected groups change.

Indicator	Baseline	Target	Data source	Frequency	Responsible	Corrective action trigger
Number of stakeholder entities engaged, by type	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]
Number of participants, disaggregated by sex and relevant social variables	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]
Number and type of engagement activities	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]
Percentage of agreed stakeholder actions completed on time	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]
Number of grievances received, resolved, and pending	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]
Participation of vulnerable groups and Indigenous Peoples, where applicable	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]	[Insert]

10. Resources and Budget

Include all costs needed to implement this SEP in the subgrant budget. Confirm the applicable budget line.

Expense category	Indicative cost (USD)	Subgrant budget line	Notes
Staff time	[Insert]	[Insert]	[Insert]
Facilitators / specialist support	[Insert]	[Insert]	[Insert]
Translation and accessible materials	[Insert]	[Insert]	[Insert]
Travel and meeting logistics	[Insert]	[Insert]	[Insert]

Participation support for vulnerable groups	[Insert]	[Insert]	[Insert]
Disclosure and communications	[Insert]	[Insert]	[Insert]
Grievance management	[Insert]	[Insert]	[Insert]
Monitoring and documentation	[Insert]	[Insert]	[Insert]
Other	[Insert]	[Insert]	[Insert]

11. Responsibilities and Approval

Role	Name / position	Main responsibility	Signature / date
Subgrantee SEP focal point	[Insert]	[Insert]	[Insert]
Subgrantee project manager	[Insert]	[Insert]	[Insert]
KI Safeguards Specialist	[Insert]	[Insert]	[Insert]
KI PMU authorized approver	[Insert]	[Insert]	[Insert]

Appendix 6: Labour And Working Conditions Plan Template

For use by the KI PMU and Component 2 subgrantees

SECTION I: Project and Subgrant Information

PROJECT TITLE	Blue Halo S – Blue Ecosystem Adaptation Mechanism (BEAM)	GCF PROJECT ID	[Insert]
SUBGRANT TITLE	[Insert or state Project-level GRM]	SUBGRANT ID	[Insert]
LOCATION	[Province, district, village/site]	DURATION	[Insert]
EXECUTING ENTITY	Konservasi Indonesia (KI)	SUBGRANTEE	[Insert]
GRM FOCAL POINT	[Name and title]	ALTERNATE FOCAL POINT	[Name and title]
PHONE / WHATSAPP	[Insert]	EMAIL	[Insert]
PHYSICAL ADDRESS	[Insert]	ONLINE CHANNEL	[Insert]
PREPARED BY	[Insert]	DATE PREPARED	[Insert]
APPROVED BY	[KI / Subgrantee approval]	DATE APPROVED	[Insert]

1. **Overview of labor use on the project:** This section should describe the main types of workers who will be employed or engaged on the project, as follows:

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

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

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

2. **Assessment of key potential labor risks:** This section should identify key potential labor risks related to the project, assess each risk against criteria of probability and severity, and describe in detail all higher risks. Risks may include, for example:
 - Conduct of hazardous work, such as working at heights or in confined spaces, use of heavy machinery, or use of hazardous materials.
 - Use of child labor or forced labor, with reference to the sector or locality.
 - Physical, psychological or sexual abuse of project workers
 - Unfair treatment or discrimination.
 - Possible accidents or emergencies, with reference to the sector or locality.
 - General understanding and implementation of occupational health and safety requirements.
3. **Risk mitigation measures:** This section will describe the measures that will be taken to mitigate all high risks. Mitigation measures will be presented following the mitigation hierarchy, which requires that risks are anticipated and avoided where possible. Where avoidance is not possible, risks should be minimized to acceptable levels. Any risks that remain following avoidance and minimization should be mitigated.

4. **Brief overview of legislation: terms and conditions/ occupational health and safety:** This section should present a brief overview of the **key aspects** of national labor and employment law relevant to terms and conditions of employment (e.g., wages, deductions, benefits, to occupational health and safety etc.).
5. **Responsible staff:** This section identifies the functions and/or individuals within the project responsible for (as relevant):
 - Engagement and management of direct workers.
 - Engagement and management of contracted workers.
 - Occupational health and safety.
 - Training of workers.
 - Addressing worker grievances.
6. **Policies and procedures:** This section should describe policies and procedures for managing each category of project staff, in accordance with national labor and employment law and Safeguard Policy 2 on Labor and Working Conditions. Wherever provisions of national law are relevant to project activities and satisfy the requirements of Safeguard Policy 2, these provisions do not need to be duplicated in this section.
7. **Contracted workers:** This section will describe how the requirements of national labor and employment law, KI, CI and GCF requirements will be incorporated into sub-grant agreements and/or service contracts with third parties who will employ or engage contracted workers, whenever applicable.
8. **Workplace grievance mechanism:** This section will describe how a mechanism will be provided for all direct workers and contracted workers (and, where relevant, their organizations) to raise workplace concerns. The mechanism must: be made easily accessible to such workers; address concerns promptly, using an understandable and transparent process that provides timely feedback to those concerned in a language they understand, without any retribution; and operate in an independent and objective manner. Please describe how you will put in place a workplace grievance mechanism that meets these requirements.

Appendix 7: Environmental And Social Management Plan Template

For use by the KI PMU and Component 2 subgrantees

SECTION I: Project and Subgrant Information

PROJECT TITLE	Blue Halo S – Blue Ecosystem Adaptation Mechanism (BEAM)	GCF PROJECT ID	[Insert]
SUBGRANT TITLE	[Insert or state Project-level GRM]	SUBGRANT ID	[Insert]
LOCATION	[Province, district, village/site]	DURATION	[Insert]
EXECUTING ENTITY	Konservasi Indonesia (KI)	SUBGRANTEE	[Insert]
GRM FOCAL POINT	[Name and title]	ALTERNATE FOCAL POINT	[Name and title]
PHONE / WHATSAPP	[Insert]	EMAIL	[Insert]
PHYSICAL ADDRESS	[Insert]	ONLINE CHANNEL	[Insert]
PREPARED BY	[Insert]	DATE PREPARED	[Insert]
APPROVED BY	[KI / Subgrantee approval]	DATE APPROVED	[Insert]

1. **Legal and regulatory framework:** This section will analyze the legal and institutional framework for the project, within which the environmental and social assessment is carried out.
2. **Status of area to be impacted:** This section will describe the applicant's understanding of the project site, including a concise description of the proposed project's geographic, environmental, social, and temporal context.
3. **Baseline data:** This section will assess the dimensions of the study area and describe relevant physical, biological, and socioeconomic conditions, including any changes anticipated before the project commences.
4. **Anticipated impacts and risks:** This section will describe the anticipated environmental and social impacts and risks, and explain how these have been determined. It should consider both positive and adverse impacts.
5. **Mitigation measures:** This section will describe measures that will be taken to mitigate adverse impacts. For each anticipated adverse or risk identified in the previous section, it should describe, with technical detail, appropriate mitigation measure(s). Differentiated measures should be identified so that adverse impacts do not fall disproportionately on disadvantaged or vulnerable groups or individuals.
6. **Monitoring and evaluation:** This section will outline the steps the applicant will take to monitor and evaluate the impact of the proposed project. It should identify the monitoring objectives and specify the type of monitoring, with linkages to the impacts assessed and the mitigation measures described. This is meant to provide (a) a specific description, and technical details, of monitoring measures, including the parameters to be measured, methods to be used, sampling locations, frequency of measurements, detection limits (where appropriate), and definition of thresholds that will signal the need for corrective actions; and (b) monitoring and reporting procedures.

7. **Timeline and resources:** For the mitigation and monitoring measures, this section will provide: (a) an implementation schedule for measures that must be carried out as part of the project, showing phasing and coordination with overall project implementation plans; and (b) cost estimates for implementing the ESMP. The section should also outline the project staff responsible for the implementation of the ESMP.
8. **Participatory preparation:** This section aims to outline the range of meaningful consultations that you have had both with experts to optimize the potential for success, and with stakeholders, particularly local communities, who are potentially affected by the proposed project.