



Conservation International Safeguard System Screening Form

Note that this Screening Form may be completed online [here](#) in all CI languages (preferred). It is also available as a Word document in Spanish, French, Portuguese and Indonesian [here](#).

INTRODUCTION

Conservation International (CI) conducts environmental and social safeguard screening of proposed projects to determine the level of risk, and in turn, the scope of appropriate mitigation actions. CI classifies the proposed project's safeguard risk into one of three categories: High Risk, Medium Risk, and Low Risk, depending on the type, location, sensitivity and scale of the project and the nature and magnitude of its potential environmental and social impacts. Project risk classification is based on the activity with the highest risk prior to any mitigation actions and with consideration of the project team's capacity. For additional information, see the [CI Safeguard System SharePoint site](#). We encourage reference to official sources of information in your responses where possible.

This Screening Form should be completed by the project team once activities and locations are mostly identified, and at least two weeks before the proposal is finalized. The Screening Form may be completed in English, Spanish, French, Indonesian, or Portuguese and the link provided in the proposal's PARS entry (in the box labeled "Related Documents"). This will alert the CI Safeguards Team to review and, together with the project team, determine: 1) the safeguard risk rating; 2) the next steps in assessment of environmental and social risks, the design and implementation of safeguard plans; and 3) how these actions are adequately reflected in the final proposal submitted to the donor.

The screening form must be approved in PARS by the CI Safeguards Team prior to submission to the donor. Results of the screening assessment may lead to project design adjustments, additional activities, or budget to most effectively manage environmental & social risk.

For any questions or clarification, please reach out to the CI Safeguards team:
safeguards@conservation.org

SECTION 1: PROJECT INFORMATION

1. PARS ID number:

2. Hyperlink to proposal on the proposal's SharePoint site (not a personal OneDrive). Please ensure that access is granted:
3. Does this proposal build on another (similar) project or proposal that has been screened by the CI Safeguard System (since January 2023)?
 - No, this is a new proposal
 - Yes, this builds on another similar project or program that has already been screened for safeguards

If yes, you may stop the screening form here and please reach out to the Safeguards Team (safeguards@conservation.org) to discuss whether the previous screening can be used for this proposal. Please share the previous proposal's PARS or PMF number, project name, location, and safeguard risk rating.
4. Will this proposal fund activities in multiple countries, regions, or distinct locations which may have different types of safeguard risks?
 - No, just one country or location where safeguard risks are similar.
 - Yes, this is a large, multi-country/location proposal, likely with different contexts and types of safeguard risks.

Projects that are large and span multiple distinct geographies should consider (a) filling out a separate screening form for each country or location or (b) answering the screening form questions for the place that has the highest safeguard risks. Please reach out to the Safeguards Team for advice (safeguards@conservation.org) if you're unsure.
5. Please list the project's primary Delivery Partners (entities who will receive funding and have some responsibility for implementing parts of the project), including their name, type of partner and their role (bullet points):
6. Please provide the main project components and objectives (bullet points):
7. Total land/marine area (ha) affected by the project (1 ha=1km² or 2.4 acres):
8. Number of people **indirectly** affected by the project:
9. Number of people **directly** affected by the project:
10. Number of villages/communities affected by the project:
11. Does the project have a significant grant-making component (i.e., more than 50% of the project funds will be disbursed to other entities)?
 - No
 - Yes

EXCLUSION LIST

12. There are certain types of projects or activities that CI does not allow. This section will help to determine the eligibility of the project. Please indicate if the project may contribute to any of the following:
 - a. Contravene major international and regional conventions on environmental issues
 - b. Contravene major international and regional conventions on human rights, including those specific to Indigenous Peoples, women, and children

- c. Propose to create or facilitate *significant* degradation or conversion of natural habitat, including those that are legally protected, officially proposed for protection, identified as high conservation value, recognized as protected by Indigenous and local communities, or have significant negative socioeconomic and cultural impacts that cannot be cost-effectively avoided, minimized, mitigated and/or offset.
- d. Involve adverse impacts on critical habitats (except for limited impacts that result from conservation actions), including establishment of forest plantations.
- e. Carry out *unsustainable* harvesting of natural resources (animals, plants, timber, etc.) or unsustainable fishing methods.
- f. Propose the introduction of exotic species that can potentially become invasive and harmful (unless there is a mitigation plan to prevent this from happening.)
- g. Involve forced evictions of people, resettlement, land acquisition, or the taking of shelter and other assets through coercion and/or undue influence
- h. Propose activities that result in the exploitation of, and access to, outsiders to the lands and territories of Indigenous Peoples in voluntary isolation and initial contact
- i. Propose the use and/or procurement of materials deemed illegal under national laws or regulations, or international conventions and agreements.
- j. Propose the use and/or procurement of pesticides and hazardous materials that are unlawful under national or international laws, the generation of wastes and effluents, and emissions of short-and long-lived climate pollutants.
- k. Involve the removal, alteration, or disturbance of any non-replicable or critical cultural heritage, or the use of intangible cultural heritage without the Free, Prior and Informed Consent of the communities to whom it belongs.
- l. Include the use of forced labor or child labor. Child labor includes both labor below the minimum age of employment and any other work that may be hazardous, may interfere with the child's education, or may be harmful to the child's health or to the child's physical, mental, spiritual, moral, or social development.
- m. Involve trafficking of persons, procuring commercial sex acts, or the use of other forms of forced labor as described in [CI's Anti-Trafficking in Persons policy](#).
- n. Involve the oversight or direct support of construction of roads, bridges, breakwaters, large dams, or other major infrastructure, as noted in [CI's Construction Policy](#).
- o. Produce and distribute racist or discriminatory media.
- p. Produce, trade, or finance weapons and munitions or military activities. Note that this does not apply to field knives, bush knives, machetes and other essential field or safety gear provided to rangers. Equipment needed for research or translocation of wildlife is also permitted. Weapons and munitions required for CI staff safety and security are permitted, subject to the policies and approval of the country office and in line with local law and any relevant donor restrictions. Military activities do not include activities conducted by members of the military whose primary purpose is conservation, even if those activities incidentally serve a national defense or public safety purpose.

No to all of the above

Yes, or Maybe to at least one of the above

If you selected yes, your project is not eligible to move forward. To discuss further, please contact the Safeguards Team at safeguards@conservation.org.

PROPOSAL AMOUNT

13. What is the total amount of the proposal budget (including any co-finance or revenue the proposed activities may generate, e.g., carbon credits)?

- Over USD \$1 million
- Less than USD \$1 million

14. Will the project include community or field-based activities (i.e., direct engagement with, or impacts on, communities, or activities that may have impacts to the environment)?

- No
- Yes, or Maybe

- ➔ If your proposal is **less than USD \$1 million** and **DOES NOT** have community or field-based activities, move to **SECTION 1**
- ➔ If your proposal is **more than USD \$1 million** and **DOES NOT** have community or field-based activities, move to **SECTION 2**
- ➔ If your proposal is **less than USD \$1 million** and **DOES** have community or field-based activities, move to **SECTION 3**
- ➔ If your proposal is **more than USD \$1 million** and **DOES** have community or field-based activities, move to **SECTION 4**

SECTION 1: LESS THAN \$1 MILLION + NO COMMUNITY ENGAGEMENT/FIELD-BASED ACTIVITIES

1. Please describe in a few sentences what Accountability & Grievance Mechanism stakeholders will have access to (e.g., country level AGM, CI's AGM, etc.)
2. Please describe in a few sentences how the activities will be designed to be inclusive and gender-responsive of project stakeholders, as relevant to the project context and scope.

Thank you for filling in the screening form. Because your project is below USD \$1 million, and does not include activities directly impacting people, your project is considered **LOW RISK**. Please indicate this rating in the PARS entry and paste the hyperlink to this form in the box labeled "Related Documents". No further action is needed at this time, but please feel free to contact the Safeguards Team at safeguards@conservation.org with any questions.

----- END OF SCREENING FORM-----

SECTION 2: MORE THAN \$1 MILLION + NO COMMUNITY ENGAGEMENT/FIELD-BASED ACTIVITIES

While projects with non-field-based activities (such as policy making, strategy development, capacity building) can be considered to have no direct environmental or social risks, the risks of the future implementation of those policies, strategies, or plans may be significant. This future implementation may be outside of CI's managerial responsibilities, but projects should still take these potential future risks into consideration. There may also be opportunities to proactively integrate gender equality, human rights, and recognition of Indigenous Peoples into these projects.

1. Please describe in a few sentences what Accountability & Grievance Mechanism stakeholders will have access to (e.g., country level AGM, CI's AGM, etc.)
2. Please describe how the activities will be designed to be inclusive and gender-responsive of project stakeholders. Is there a possibility that the activities could lead to future impacts on people or the environment?

Thank you for filling in the screening form. Because the proposal does not include activities directly impacting people or the environment, it is considered **LOW RISK**. Please indicate this rating in the PARS entry and paste the hyperlink to this form in the box labeled "Related Documents". No further action is needed at this time, but please feel free to contact the Safeguards Team at safeguards@conservation.org with any questions.

----END OF SCREENING FORM---

SECTION 3: LESS THAN \$1 MILLION + COMMUNITY ENGAGEMENT/FIELD-BASED ACTIVITIES

15. Will the project include any of the following?
 - a. Rangers, patrollers, or any other type of law enforcement (armed or unarmed)
 - b. Restrictions on people's traditional access to natural resources (for example a conservation agreement or improved governance of a protected area)
 - c. Activities that may contribute to potential adverse impacts to Indigenous Peoples
 - d. Operating in a location that is in current conflict or recent conflict (within 5 years)
 - e. Activities within a *critical habitat* (e.g., important habitat for Critically Endangered or Endangered species, endemic or restricted-range species, gatherings of migratory or congregating species. Also, highly threatened or unique ecosystems and ecological functions that are needed to maintain the above-described biodiversity value).
 - f. Directly engaging with children (under 18) such as in environmental education activities.

No: Thank you for filling in the screening form. Because your project is below \$1 million and includes less risky field-based activities, your project is considered **LOW RISK**. Please indicate this rating in the PARS entry and paste the hyperlink to this form in the box labeled "Related Documents". No further action is required at this time. If your proposal is successful, please be prepared to design a [limited gender plan](#) and [limited stakeholder engagement plan](#) within the start-up phase of the project. The Safeguards team is available to answer any questions or provide support at safeguards@conservation.org.

Yes, or Maybe: Even though your project is below \$1 million, you've indicated that it may include some potentially higher risk activities. Please continue to full screening (SECTION 4).

SECTION 4: MORE THAN \$1 MILLION + COMMUNITY ENGAGEMENT/FIELD-BASED ACTIVITIES, OR LESS THAN \$1 MILLION + HIGHER RISK ACTIVITIES.

Safeguard 1: Environmental & Social Impact Assessment

Project teams are responsible for assessing, managing, and monitoring environmental and social risks and impacts in order to achieve environmental and social outcomes in a systematic manner, proportionate to the nature and scale of the project and the potential risks and impacts.

Risks can be associated with the context in which the project is planned. Context risks are those events, factors, or dynamics occurring in the broader environment, which affect programming or operations, yet may be beyond the control of CI or partners. Ensuring that the broader socio-environmental context is understood, and the implications it has on the project, informs project design decisions (e.g., site selection, partners, staffing). This section helps to identify which context risks might be most relevant for your project.

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

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

Yes, or Maybe

No

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

Higher

Same

Lower

N/A (no forest)

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

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

Recommended source: World Bank <https://pip.worldbank.org/home>

4. Which of the following services do communities generally have access to (check all that apply):
- Electricity
 - Health care
 - Primary education
 - Secondary Education
 - Water and Sanitation
 - Emergency preparedness & response
 - Don't know
5. What are the primary 2-3 types of **resource use/livelihoods** found within the project site(s) or landscape?
- Agriculture/pastoral/livestock
 - Conservation, Logging/Forestry
 - Fishing/marine harvest
 - Mining, Hunting
 - Harvest of non-timber forest products
 - Other: ____
6. How do **ownership systems and resource rights** (both land and marine-based) operate within the project site(s) or landscape? (check all that apply)
- Private individual
 - Collective/communal
 - State/public land
 - Informal/customary ownership
 - Other: ____
 - Don't know
7. In areas with **collective ownership or resource rights**, please describe the use and access allocation system, including matrilineal/patrilineal or patrilocal/matrilocal systems.
8. Are there specific **marginalized, disadvantaged, or vulnerable people or groups** within the project site(s)?
9. Is there a risk that those marginalized, disadvantaged or vulnerable groups do not know about their **legal rights** or lack the ability to exercise those rights (e.g., right to FPIC, non-discrimination, right to resources) within the context of the project?
10. Is the project located in a region/country where **rates of gender-based violence** (GBV) are high (more than 30%)?

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

No

Yes

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

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

No

Yes, or Maybe

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

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

No

Yes, or Maybe

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

Recommended sources:

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

No

Yes, or Maybe

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

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

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

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

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

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

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

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

No

Yes, or Maybe

Don't Know

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

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

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

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

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

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

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

20. Does the project donor (or carbon verification body) require an ESIA (Environmental & Social Impact Assessment)?

Yes

No

Maybe/Don't know

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

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

Safeguard 2: Protection of Natural Habitats and Biodiversity Conservation

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

1. Within the project site(s) have there been major **environmental pollution threats** to biodiversity or **recent natural disasters** (last 5 years)?
 - Yes
 - No
 - Don't know

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

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

Safeguard 3: Resettlement, Physical and Economic Displacement

Resettlement is project-related land acquisition or restrictions on land or ocean/water use that may cause **physical displacement** (relocation, loss of land/water access, or loss of shelter), **economic displacement** (loss of land/water access, assets, or access to assets, including those that lead to loss of income sources or other means of livelihood),

or both. This section seeks to clarify whether project activities might lead to resettlement, physical displacement, or economic displacement.

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

1. Will the project (select any/all that apply):

Potentially involve resettling people or communities and/or acquiring their land (e.g., for the creation or strengthening of protected areas or reducing threat of wildlife related incidents for communities living near reserves).

Potentially involve restricting peoples' access to land, water, or natural resources temporarily or permanently, where they have recognized rights or claim such rights (legally or customarily) leading to livelihood impacts? Such activities might include conservation agreements, new or expanded protected areas, improved management effectiveness, or carbon crediting projects.

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

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

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

Safeguard 4: Indigenous Peoples

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

1. Will the project operate in lands, marine areas, or territories traditionally owned, customarily used, or occupied by Indigenous Peoples (as defined above)?

No: Move on to next section (Safeguard 5)

Yes: move to next question

2. How has (or will) the Project Team request(ed) the consent of affected Indigenous Peoples to participate in the project?
3. How will the project seek, and document, the Free, Prior, and Informed Consent (FPIC) of the Indigenous Peoples in support of the project?
4. How will the project integrate indigenous knowledge, legal systems, traditional governance, and decision-making structure into the project?
5. Will the project do any of the following related to Indigenous Peoples:
 - Potentially impact (positively or negatively) land, marine areas, and natural resources that are under traditional ownership or customary use?
 - Potentially contribute to economic displacement of Indigenous peoples from adverse impacts on lands, marine areas or natural resources under their traditional or customary use.
 - Commercially develop natural resources that are under traditional ownership or customary use.
 - Cause any loss of control over data or knowledge possessed by IPs about their lands, waters or resources.
6. If you selected any in the previous question, please provide details here.

Safeguard 5: Resource Efficiency and Pollution Prevention

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

1. Will the project (choose any/all that apply):
 - Potentially result in the release of pollutants (e.g., GHGs, waste, pesticides) that could have negative impacts? (e.g., a project that increases wealth may result in increased waste generation)
 - Procure or apply pesticides and pest management measures (that are not natural).
 - Use large amounts of energy, water, and other resources and inputs?
 - Involve significant extraction, diversion or containment of surface or ground water?
2. If you selected any of the previous options, please provide details here. For example, what type of pollution or waste may be released, during which activities, and what mitigation measures are in place.

Safeguard 6: Cultural Heritage

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

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

- Implement activities that may affect cultural heritage (both tangible and/or intangible), such as archaeological, paleontological, historical, architectural, and sacred sites?
- Potentially use cultural heritage or knowledge for commercial purposes?
- Involve activities such as documenting or researching cultural heritage of communities?
- Be located in, or in the near vicinity of, a recognized cultural heritage site?
- Be targeting a cultural keystone species of an affected community or culture? (a species that is significant to a particular culture or a people such as those used in ceremonies, diet, medicines, or histories of a community)
- Be specifically designed to support the conservation, management, or use of cultural heritage?

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

Safeguard 7: Labor and Working Conditions

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

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

Suggested resources:

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

Rights will likely be respected

Rights may not be respected

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

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

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

Yes, or Maybe

No

Don't Know

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

Employ **Direct Workers** (other than CI or government) such as workers in NGO delivery partner organizations?

Employ **Contract Workers** (e.g., consultants or contractors who preform work related to core project functions)

Employ **Community Workers** (e.g., community members providing part-time or voluntary labor to the project. May be paid, unpaid, or receive other benefits)

Engage **Primary Supply Workers** (e.g., supplier who provides essential good or materials to the project for its core functions on an ongoing basis, such as (**upstream**) seed and seedling nurseries for reforestation projects; Brazil nut, cacao or coffee producers for a processing facility; fertilizer or Ibis rice seed/plant providers for regenerative agriculture, labor subcontractors including security personnel; data enumerators for a baseline survey and (**downstream**) livestock abattoirs for rendering for H4H beef supply; sawmill and palm oil mill operators; tree resin distillers; any fruit, fiber or food intermediary; carbon credit investors/buyers)

Potentially engage acceptable **youth labor**, between the ages 15-18, doing work that is not dangerous, and does not compete with compulsory school requirements.

Use labor subcontractors (intermediaries that recruit and facilitate hiring of contract or day laborers on behalf of the employer)

- Partner with or financially support **government agencies** that must comply with national labor law
- Include **legally transferred government workers**? (e.g., no longer directly working for the government)
- Include activities that might be higher risk for **sexual exploitation, abuse or harassment** (SEAH) of workers (e.g., overnight work travel, an influx of workers to a community)
- Directly employ or financially or technically support **high-risk workers**, such as rangers, eco-guards, or community patrols?
- Pose potential risks to rangers, eco-guards, community patrols, or security personnel, in the course of performing their job duties? (e.g., risks from poachers, wildlife, community members, etc.)
- Require **worker housing** accommodations?
- Involve Project Team reliance on **roadways that are unsafe** or unknown?
- Expose workers to potential risks and vulnerabilities related to **occupational health and safety** (e.g., scuba diving, forest or coral restoration, driving a boat)
- Expose workers to potential **health risks** such as endemic communicable diseases, venomous bites, non-communicable diseases or infections?
- Involve **construction** or machine operation that pose health and safety risks to workers (e.g., through the generation of dust, noise, waste, burning or discharge of airborne pollutants)?

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

Safeguard 8: Community Health, Safety and Security

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

1. Have there been any community-based health and safety accidents or incidents in the project site(s) or landscape over the past 5 years, including incidents reported in CI's safety and security system?
2. Will the project (choose any/all that apply):
 - Include activities that involve **construction** (e.g., buildings, roads, earthworks) or activities that pose potential health and safety risks to local communities, for example through the generation of dust, water contamination, pollution, waste disposal, traffic, or noise?
 - Include use of physical, chemical or biological **hazards** that could pose potential health and safety risks to people?
 - Potentially result in increased health risks for communities such as from **diseases** or communicable infections. (e.g., COVID)
 - Rely on **roadways** that may be unsafe (due to drivers, road conditions)?
 - Require an influx of **outside workers** to the project area?
 - Provide **housing for workers** in communities?
 - Include activities that could potentially promote or exacerbate **gender-based violence**? For example, activities such as income generation, changes in gender norms, elevating women in leadership positions, etc.
 - Potentially pose risks of **sexual exploitation, abuse and harassment (SEAH)** perpetrated by project workers on community members? For example, a project worker might take advantage of their position to request sexual favors of a community member.
 - Potentially escalate person or communal **conflict** or the risks of **violence** among project communities or individuals.
 - Potentially increase the risk of **injury, loss of life, or loss of assets** triggered by an increase in human-wildlife conflicts that may stem from project activities.
3. If you selected any of the previous options, please provide details here. For example, which activities might result in community health, safety & security impacts, what groups will be impacted and how, existing mitigation measures, etc.)
4. Will the project involve support to rangers, eco-guards or community patrols (with or without law enforcement, armed or unarmed)?
 - No
 - Yes, or Maybe

5. Will the project involve participants in informant networks or reporting activity to law enforcement?
 No
 Yes, or Maybe

6. Have there been any formal complaints, investigations or media reports relating to ranger/patrol law enforcement activities in the project area?
 No
 Yes
 Don't know/not applicable

7. Have there been any conflicts between conservation authorities and local people in the last 5 years? If so, please explain:

Safeguard 9: Private Sector Enterprises and Financial Intermediaries

In cases where a project makes either direct investments in private sector enterprises (PSE), or channels funds through a financial intermediary (FI), PSEs and FIs take on responsibility for identifying, assessing, monitoring and managing the risks and impacts of their portfolio of subprojects. These entities include a variety of financial service providers such as trust funds, commercial banks, micro-credit agencies, investment funds, public-private partnerships, bonds, sub-granting mechanisms, private equity funds, leasing companies, insurance companies and pension funds.

1. Will the project make direct investments in private sector enterprises or financial intermediaries as described above?
 No: Go to next section (Safeguard 10)
 Yes, or Maybe: Go to Question 2

2. Will the size of the portfolio or PSE annual sales be over **USD \$10 million** for the duration of the project?
 No, below USD \$10 million: On-granting activities can be managed as a project activity, subject to the project's safeguard management plans, and does not require its own Environmental & Social Management System. Go to next section (Safeguard 10)
 Yes, above USD \$10 million: Go to Question 3

3. What type of PSE/FI will the project partner with?

4. Is the PSE/FI an existing firm, or will be created by the project?

5. Please describe what types of activities the PSE/FI will support with project funds.

6. Does the partner have an operating Environmental & Social Management System (ESMS)?
- Yes
 - No
 - Don't know
7. Does the partner have clearly defined responsibility and qualified staffing for implementing the ESMS or safeguard procedures (a dedicated safeguard position)?
- Yes
 - No
 - Don't know
8. Is the partner ESMS adequately resourced?
- Yes
 - No
 - Don't know
9. Has the partner reported on the performance of the ESMS?
- Yes
 - No
 - Don't know
10. Has the partner disclosed an ESIA related to the project or a comparable project?
- Yes
 - No
 - Don't know
11. Does the partner invest in high-risk subprojects or activities?
- Yes
 - No
 - Don't know
12. Please share any other relevant information about the PSE or FI.

Safeguard 10/Climate Risk and Related Disasters

Project activities should ensure that they are not at risk of failure due to current and future climate change impacts, that they do not exacerbate climate vulnerability in the long-term, and that they support adaptation responses to reduce climate change risks. CI has developed a Climate Risk Screening Tool to help identify climate-related risks for a particular project area.

1. Run the [Climate Risk Screening Tool](#) for the proposed project location and then click on “generate report”. What is the ID number of the report?
2. You may modify the results of the climate risk screening tool based on your or other experts' knowledge of the local climate risk context for the project area. Do you want to modify any results of the climate risk screening tool? If yes, please explain how:
3. Will the project include activities that strengthen the adaptive capacities (e.g., technical, institutional, financial, social or environmental factors) that improve people’s preparedness and long-term resilience to climate-related risks? If yes, please explain below.
4. Will the project be based on findings of an existing or planned climate change vulnerability/risk assessment (beyond this screening tool)?

Yes

No

Carbon or Biodiversity/Nature Credit Validation and Verification

Any project that seeks to sell carbon or biodiversity credits must follow internationally recognized verification platforms.

1. Will the project potentially sell carbon or biodiversity credits?
 - Yes, or Maybe: Go to Question 2.
 - No: Go to next section (Research Ethics)
2. Has the project been audited by an independent carbon/biodiversity validation and verification body?
 - Yes
 - No
3. Has the project adopted/defined a carbon/biodiversity accounting validation or verification methodology?
 - Yes
 - No
4. Has the project sold carbon/biodiversity credits in the past?
 - Yes
 - No
5. Has the project distributed benefits from carbon/biodiversity credit sales?
 - Yes
 - No

6. Do project delivery partners have experience with external auditors or certifiers related to safeguards, carbon/biodiversity accounting, Payment for Ecosystem Services (PES) or related ecosystem valuation?
 Yes
 No
7. Please provide additional information about the status of the project and verification process and links to the relevant documentation.

Research Ethics

CI implements an internal independent ethics review of research involving human subjects in order to ensure that no harm could come to the participants.

1. Is the project planning to collect personally identifiable information from people in the project area (such as name, age, sex, physical location)? This information may be collected through community level household surveys, focus groups or other data collection mechanisms.

 Yes, or Maybe: Please consult CI's [Research Ethics Policy](#), which describes the conditions and requirements for projects to assess potential impacts on human subjects before it can proceed. CI's Institutional Review Committee (IRC) will determine if a full ethical review is required. A data management plan and consent form are also important steps to ensure best practice in research.

 No

Child Protection & Safeguarding

In certain situations, or projects, team members may have contact with children. Following CI's policy on [Child Protection & Safeguarding](#), appropriate mitigation measures should be put in place to address any potential risks to children's welfare.

1. Will the project include activities that focus specifically on children (less than 18 years of age)? For example, environmental education in or out of school.
 Yes, or Maybe: Go to Question 2.
 No: Go to next section
2. Please provide details of the activities and how child protection & safeguarding measures will be incorporated.

Source Documentation

1. Please identify which of the following sources of information were used to fill in this screening form:
 Primary information from site visits
 Consultation with key informants

- Professional judgement by project team members
- Online sources of information (please provide relevant links)
- Technical documents (from similar projects)
- Due diligence assessment of delivery partners
- Biophysical samples
- Climate vulnerability/risk assessment
- Other:

Project Team Capacity & Skills

The Project Team may include CI staff and Delivery Partners (entities who receive funding for implementing part or all of the project's activities). Due diligence to assess the Project Team's experience with safeguards, gender, and stakeholder engagement is important for ensuring effective implementation and capacity building as needed.

1. Do the CI project team members have experience implementing safeguards, gender, and stakeholder engagement? Please indicate which staff members have been trained in the CI Safeguard System. A full list of CI Safeguard Accredited staff can be found [here](#).

2. What do you know about the safeguard, gender & stakeholder engagement experience and capacity of Delivery Partners with responsibility for implementing at the community level?
 - They have experience implementing safeguards, gender, and stakeholder engagement
 - They have active or recent projects with safeguard requirements which would demonstrate their capacity
 - They have a safeguard system of their own
 - They have only limited or no safeguard, gender, or stakeholder engagement experience
 - Don't know
 - No delivery partners in the project

3. How will the project team ensure that Delivery Partners (including subgrantees) are aware of, and have the capacity to, implement safeguard measures?

4. Will the project team include a dedicated position focused on safeguards, gender, and stakeholder engagement?
 - Yes, in a full-time position
 - Yes, in a part-time position
 - No dedicated position needed

- Don't know yet
- Other safeguard staffing solution

Please describe if this is selected:

5. Is the dedicated position already on staff (if so, please provide name)? Or will they be hired during project start-up?

Safeguard Design & Implementation Considerations

1. In addition to any risk mitigation measures identified in this screening form, all projects should be prepared to develop and implement plans for **stakeholder engagement, gender mainstreaming**, and a **grievance mechanism** (proportionate to the size and scope of project) during project start-up phase (usually the first 6 months). Please confirm that the following has been/will be considered in project design:

Specific safeguards & gender activities are identified. This may include outreach materials/events for stakeholders, approaches to ensure that women are able to meaningfully engage in and benefit from project activities, communication needs for the grievance mechanism that should be operational prior to major project activities getting underway, training for project staff, and disclosure of documents for high-risk projects.

Roles and responsibilities for safeguards & gender have been considered. A good rule-of-thumb is that a project over \$3 million with field-based activities should budget for a part-time or full-time staff member. Also consider existing Safeguard Accredited staff members as a resource. List of accredited staff [here](#).

An adequate budget has been allocated. Certain safeguard-related activities will require budget allocation. For example, safeguard staff salary and travel, additional or separate meetings with women or providing childcare during events, translating materials into local languages and hiring local translators, and creative outreach activities that reach the most marginalized groups.

Next Steps

Thank you for completing the screening form. Please send this completed form to your proposals Safeguard Team point of contact (or if you're unsure of who that is, to the Safeguards Team at safeguards@conservation.org)

----- END OF SCREENING FORM-----

