

Climate Change: The New Evolutionary Challenge for The Galapagos

Environmental and Social Management Framework **vs 1V3**

March 2022

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Acronyms and abbreviations

CAF	Development Bank of Latin America and the Caribbean
CFN	Corporación Financiera Nacional
CONAFIPS	Corporación Nacional de Finanzas Populares y Solidarias
CGREG	Governing Council of the Special Regime of Galapagos
DPMAG	Provincial Directorate of the Ministry of Farming and Livestock
ESIA	Environmental and Social Impact Assessment
FAO	United Nations Food and Agricultural Organization
GCF	Green Climate Fund
GADM	Municipal Decentralized Autonomous Governments
GEF	Global Environmental Fund
GHG	Greenhouse gases
INEC	National Institute of Statistics and Censuses
INER	National Institute of Energy Efficiency and Renewable Energy
INIAP	National Institute of Agricultural Research
MAAE	Ministry of Environment
MAG	Ministry of Farming and Livestock
MEER	Ministry of Electric and Renewable Energy
MGAS	Environmental and Social Management Framework
PEGSAG	Generation Expansion Plan for the Galapagos Isolated System
PGSA	Environmental and Social Management Plan
PLANEE	National Plan of Electric Efficiency
PNG	Galapagos National Park
PSEAH Plan	Programme Sexual Exploitation, Abuse and Harassments Plan
TCN	Third National Communication
TdC	Theory of Change
UPA	Farming Production Units
WWF	World Wildlife Fund

SECTION 1: Introduction

This document is the Environmental and Social Management Framework (ESMF) for the Program entitled Climate Change: The New Evolutionary Challenge for Galapagos. The program seeks to contribute to a transformative shift towards a self-sufficient archipelago where livelihoods are developed under a low-emission model and enhanced capacity of adaptation to climate change.

1.1. Programme Summary

The Galapagos Islands are part of the Republic of Ecuador. They lie about 1,000 kilometers from the Ecuadorian coast in the Pacific Ocean. The diversity and uniqueness of its species, its volcanic origin, and its geological dynamics make these islands be considered a living laboratory of evolutionary processes, added to the fact that it enabled conditions for the development of a large number of species both animals and plants that do not exist anywhere else in the world. This makes Galapagos a unique and globally important site for the common heritage of humanity (declared a Natural Heritage Site by UNESCO in 1978). However, these unique conditions are at risk by climate change.

The Islands are home to about 33,000 people and receive about 106,987 tourists annually between national Ecuadorian tourists (88,737) and Developing Country Tourists (18,250). Primary livelihoods are agriculture, small-scale fisheries, and nature-based tourism, which are highly vulnerable to global environmental changes and have limited capacity to adapt. The nature tourism industry has become the most important driver of the economy, where the sustainable tourism experience is based on visits to the Galapagos Natural Park (GNP) and the Marine Reserve (GMR).

Like other islands in the world, they are not self-sufficient in the products necessary for their subsistence or their livelihoods. This means that there is a high dependence on transport from the mainland to the island, which increases the environmental impact and especially GHG emissions. Galápagos islands' energy is based on diesel imported from the mainland, and 75% of the food is imported today, with forecasts to increase to 95% by 2036.

Climate change in Galapagos is already evident today. The agricultural sector has been heavily impacted by droughts and 28% of its area is already covered by invasive species, which are spreading further with climate change. Key marine and terrestrial ecosystems are also at risk because of invasive species which are much more resilient to climate variability and humidity changes than endemic species. Fisheries have also been impacted, as evidenced during the 2015/16 event when significant changes were observed in catch composition. The intrinsic sensitivity of the Galapagos has increased in recent decades due to the effects of the described climate-based drivers, but also an inefficient use of energy by the tourism sector, unsustainable land management practices, the spread of climate-resilient invasive species and overfishing and illegal, undeclared and unregulated (IUU) fishing. At the same time, the agricultural and fisheries sectors have opportunities to contribute to the GHG emissions reductions in terms of land and energy use.

Climate change scenarios show that marine and terrestrial ecosystems will be further altered in the future. In Galapagos, climate risks include higher sea surface temperatures, ocean acidification, and sea-level rise. On the terrestrial areas, changes include the increase of average annual temperatures and increased rainfall seasonality. More intense El Niño–Southern Oscillation (ENSO) events are also expected. These changes directly impact local

human communities as their livelihoods are dependent primarily on nature-based tourism, fisheries, and agriculture, all of which are dependent on these threatened natural resources.

It proves necessary to change the Galapagos' development pathways, by increasing resilient food production, reverse ecosystem degradation, adopt low-carbon and resilient land and sea management practices and implement efficient and renewable energy systems.

This Programme has the goal of contributing to a transformational change towards a self-sufficient island system in which local livelihoods are developed under a low-carbon model and enhanced capacity to adapt to climate change.

This is a comprehensive programme for the transformation of Galapagos. As such, it seeks to have an impact on various sectors and with various strategies in this small group of islands where everything is interconnected: energy, economic activities, ecosystems. Therefore, the Government of Ecuador is proposing a programme with activities that transform all sectors and strengthen ecosystems, while mobilizing the population to achieve a real transformation. This programme is cross-cutting because it actively seeks to reduce GHG emissions and increase the resilience of communities and ecosystems. It proposes the mainstreaming of the behavioral change and ecosystem-based adaptation approaches.

The Programme will help overcome barriers related to access to finance, lack of capacity of Galapagos institutions to drive transformational change, lack of technical knowledge on adaptation and mitigation technologies and actions, market barriers from livelihoods, and lack of public awareness and commitment to climate change. Using a combination of funding sources, including concessional public and private loans, grants, and equity, the Programme will conduct activities across three main components:

(1) Energy matrix change in the Galápagos archipelago: this component will increase low-emission energy access and reduce the energy consumption of the Galapagos livelihoods by facilitating access to finance and technical assistance for renewable energy generation (Photovoltaic (PV) plant and micro-distributed PV generation) and energy efficiency investments (air conditioners and refrigerators replacement). The tourism sector is particularly targeted since it is identified as a driving force for climate actions, based on its significance in the local economy.

(2) Building climate resilience of the Galapagos' livelihoods: this component will strengthen Galapagos farmers and small-scale fisheries' adaptive capacity to increase local food production through the provision of reimbursable and non-reimbursable funds to foster the adoption of sustainable land and fisheries practices, promoting more efficient value chains and a blue circular economy, fostering the protection and restoration of key marine and terrestrial ecosystems that sustain Galapagos livelihoods including tourism, and strengthening the decision-making frameworks related to ecosystem management.

(3) Sustainability mechanisms for climate resilience and low emissions livelihoods: this component will strengthen the response of local livelihoods and population through educational and communicational programs; and increasing capacity of key institutions by empowering their decision making by mainstreaming climate change into policy and planning instruments. It will support the development of sustainability mechanisms such as an ecotourism certification scheme, the participatory design of the Galapagos Climate Action Plan and the establishment of a financial mechanism that will guarantee the sustainability of the programme actions in the long term.

Actions will be implemented in the four populated islands (Santa Cruz, San Cristóbal, Isabela, Floreana), in High Ecological Value Areas (HEVAS), including the Galapagos Marine Reserve (GMR).

The Programme complements governmental efforts led by the National Government and by the Governing Council of the Galapagos related to climate change, agriculture, water, and energy in the country, notably the NDC

and the National Strategy of Climate Change and in particular the recently approved Galapagos 2030 Plan, which was developed in close coordination to this funding proposal. It can be affirmed that the proposed programme will constitute one of the main instruments to help accelerate the achievement of the Plan's objectives.

The main direct stakeholders are the local governments (Government Council of the Special Regime of Galapagos (CGREG) and the Galapagos National Park Directorate (GNPD), the tourism sector (hotels, restaurants, operators), the agricultural sector (farmers), small-scale fisheries and the education sector (schools and universities). More than 470 beneficiaries from the tourism sector will have access to finance for investing in energy-efficient technologies and distributed renewable energy generation, a total of 624 farmers or agricultural production units (1,872 persons), and 1,000 fishing households (3,000 persons) will benefit from the adaptation measures implementation- Technical assistance and capacity building activities will benefit tourism operators, farmers, fishers, staff from local financial institutions, technology providers, specialists from key local agencies, ship owners, students; local people will be trained to install and maintain the technologies promoted by the project, and the citizenship will benefit from awareness-raising activities for climate action, The Programme will enhance climate resilience in 19,000 hectares of agricultural areas, 1,500 hectares of Scalesia forests and 138,000 km² of marine ecosystems. The Programme will benefit the total population of the islands (33,000 people) and the more than 106,987 annual tourists per year, considered as resource users (energy, water, food, ecosystems), as distributed power generation will make the electricity from each island's grid cleaner and inclusive. In this way, all the inhabitants of Galapagos and its visitors will be able to reduce the carbon intensity of their activities, become more resilient by reducing their overall energy dependence on diesel imported from the mainland, and enjoy better air quality by reducing the generation of electricity in thermoelectric plants.

The Programme will lead to an estimated emissions reduction from energy investments of 23,366.76 tCO₂e per year, about 111,104.19 tCO₂e during the 5 years of implementation of the Programme, and 584,168.98 million tCO₂e during its lifespan -25 years -.

A portion of the reimbursable funding from the GCF and CAF will fund the centralized energy project through a Loan Agreement and another portion will be channeled through intermediated credit managed through the public development bank Corporación Financiera Nacional (CFN), Corporación Nacional de Finanzas Populares y Solidarias – (CONAIFPS) and local banks present in Galapagos. This scheme will serve to overcome current barriers to accessing credit for mitigation and adaptation investments in energy, tourism, agriculture, fisheries, and ecosystems, with the goal of reaching a wide range of beneficiaries. In addition, the grant portion will be used primarily for supporting the placement of the loans, for investments in enhancing ecosystem resilience, and for technical assistance, knowledge management, and awareness-raising activities.

The Programme will be Implemented by CAF as the Accredited Entity, that will also hold the role of Executing Entity in particular activities, and will co-work with the Executing Entities WWF, FAO, CONAFIPS and CFN. The Government Council of the Special Regime of Galapagos (CGREG); Galapagos National Park Directorate (GNPD), Ministry of Agriculture and Livestock (MAG), Ministry of Energy, and Non-Renewable Natural Resources (MEyRNRNR), and Ministry of Tourism (MinTur) are the Governmental Partners to be engaged by the EEs to implement the activities. The engaged Governmental Partners will not be Executing Entities for the purposes of this Programme. The Ministry of Environment, Water and Ecological Transition (MAATE) as the NDA will be overseeing the performance of the whole Programme, holding a leading role in the Steering Committee.

1.2. Document objectives

The Environmental and Social Management Framework (ESMF) describes how the program's environmental and social impacts and risks will be handled and supervised once access to CAF-GCF is obtained. This ESMF for the proposed program has been defined following CAF Environmental and Social Safeguards Policy and GCF Environmental and Social Safeguards. The ESMF introduces the program's general context, the projects'

anticipated impacts and risks, the minimum requirements for mitigation measures and management plans, as well as the capacity, roles and responsibilities, evaluation and supervision processes, and the available resources to manage risks of the institutions participating under the program.

CAF retains the supervision powers under the Accreditation Master Agreement (AMA) over the program. At the level of the program, CAF environmental and social safeguards will be applied according to the AMA. When pertinent, the guidelines of the sector will be applied as well as international best practices of the industry, including International Finance Corporation (IFC) Performance Standards for Environmental and Social Sustainability.

SECTION 2: Environmental & social baseline

2.1 Environmental information

Geographical location and topography

Galapagos is one of the twenty-four provinces of the Republic of Ecuador. It is located in the Pacific Ocean along the Equatorial line, about 972 km of the shore of mainland Ecuador, between 1°20' N and 1°0' S, and between 89°W and 92°W. The group of islands comprising Galapagos are also known as Columbus Archipelago, and consists of 19 large islands and over 200 islets and rocks, totaling a surface area of about 8,010 km² scattered around 70,000 km². Of the total land surface area (788,200 ha), 96.7% (761,844 ha) comprises National Park (Natural Heritage of Humanity) whereas 3.3% (26,356 ha) constitutes population centers, comprising both urban and rural (agricultural and livestock) areas (CGREG, 2015).

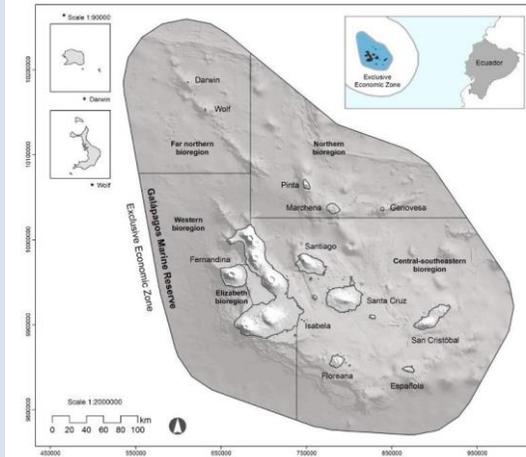
The Galapagos Islands are located in the Pacific Ocean at about 972 km of the shore of mainland Ecuador, comprising 13 islands, which contain several volcanoes, with the most important volcanoes located mostly in two islands, to wit: Isabela and Fernandina. Volcanoes Wolf, Darwin, Alcedo, Cerro Azul and Sierra Negra are located in Isabela Island. Fernandina Island contains the Fernandina volcano (IGEP, s/f).

The Galapagos province, or Columbus Archipelago, is a group of islands located 972 km (525 nautical miles) west of Ecuador's shoreline, between coordinates 01°40' N, 01°36' S, 089°16' W and 092°01' W. The Equatorial line goes through Wolf and Ecuador volcanoes on Isabela island. The archipelago's total terrestrial surface area is 8000 km², plus an inner sea of 45,666 km², and the islands' territorial sea of 817,392 km². From Darwin Island, north, to the Española Island, south, there is a distance of 223.5 miles, and from Pitt Point (San Cristobal) to Cape Douglas (Fernandina), there is a distance of 144.7 miles. The archipelago comprises five major islands with over 500 km², including: Isabela, Santa Cruz, Fernandina, San Salvador, and San Cristobal; 8 islands of 14-173 km²: Santa Maria, Marchena, Genovesa, Española, Pinta, Baltra, Santa Fe and Pinzon; 6 islands of 1-5 km²: Rabida, Baltra, Wolf, Tortuga, Bartolome and Darwin; 42 islets, of less than 1 km², and 26 rocks. The largest surface area is of 4,275 km², and pertains to Isabela, which is split into two sections by Perry Isthmus. The northern section, of 2,112 km², and the southern section, of 2,476 km². The highest altitude is recorded on this island as well, with 1,707 m above sea level on top of Wolf Volcano (Inocar, 2011).

Map of the Galapagos Island

Location of the archipelago in relation with mainland Ecuador.

The surrounding lines refer to the Galapagos Marine Reserve and the five bioregions described by Edgar et al., 2004a: Northern tip, north, center-southeast, west and Elizabeth.



From: Funding proposal

Environmental details proposed for the program area¹

The Galapagos owe their unique biota to geographical isolation, to the infrequent successful migration and to adaptive radiation. Dispersion among the islands has played a vital role in speciation (Darwin, 1845; Losos y Ricklefs, 2009) and in keeping small populations (that is, the dynamics of metapopulations; Grant y Grant, 2008). The Galapagos archipelago, as many tropical islands, is a highly sensitive system to climate dynamics. For example, many ecosystem processes (such as productivity) are controlled by temperature conditions of oceanic currents, and landscape vegetation changes are triggered by ENSO events, influencing population dynamics (such as survival-death rate). Short and long term evolutionary dynamics of the Galapagos has been suggested to have been promoted by ENSO phenomenon, that is, by interdecadal cycles of drought and humidity during the Holocene (Grant y Grant, 2006) and for millions of years (Grant y Grant, 2003).

The intrinsic sensitivity of Galapagos has increased over the last decades due to the combination of three synergic stress factors: (1) climate change, (2) overfishing, (3) invasive species and (4) unchecked tourism. Tourism may be considered an added stress factor. However, the nature and size of its impacts is different and lesser compared with the other stress factors, and is mainly related to unchecked tourism, which typically exceeds the load capacity and lacks planning in the management of visitors' spots. In this document, tourist activities are deemed a sustainable practice based on the conservation of Galapagos wildlife and of healthy ecosystems. However, better practices will be taken into account to reduce as much as possible tourist practices as part of the adaptation measures proposed (see further on).

Climate and weather

The islands have climate specific characteristics related to their altitudes:

"Altitude strongly influences climate, as the high ground blocks the path of humidity forcing precipitation. If it were not for the high ground, the islands would be a desert, as is the case of lesser islands. As a result of precipitation, there is more or less humidity and the resulting changes of vegetation. Then, variation of mean monthly temperature between the dry season, from July to September, and the rainy season, from January to April, is 22-26°C for the coast, and 20-25°C for higher elevations. However, there are extreme minimum temperatures of about 15°C and extreme maximum temperatures of about 32°C during the months of the *garúa*

¹ From: Daniel Escobar-Camacho, Francisco Cuesta, Gabriela Maldonado, Mariuxi Farías, Rafaela Chiriboga Paulina Rosero. 2020. Input of Component 3 and 4 for the pre-feasibility document of the Concept note (draft).

(drizzle) season (June to November), ambient temperature in the coast averages 21°C, the wind is constant and chilly from the S-SE, and the drizzle (garúa) occurs all day long with dense fog hiding the islands. In the dry or hot season (December to late May), mean ambient temperature reaches 25°C, wind is mild, the sea is calm, strong rain is only sporadic and the sun shines brightly.” (Inocar,2011)

Land use

The dynamics of land uses in Galapagos poses various problems:

- a. Change of agricultural land use: subdivision, urban development, fragmentation and pressure over quarries. In this context, there is a group of lands that have been subdivided into parcels for urban development.
- b. Agricultural land fragmentation is likely to affect the established rural organization and cause territorial disruption. “The direct effects can cause the loss of lands for farming and the intensification of environmental impacts (water contamination, waste generation, increasing invasive species) over adjoining habitats and ecosystems”.
- c. Mines and quarries are close to population centers for the construction industry and they are open pits. Such mines and quarries impact landscape and biological resources, as well as natural resources. Although the environmental and social impacts, and on the ecosystem, caused by this activity are known, there is large demand for them and little management thereof. (CGREG, 46,47; 2015).

Water resource

Water is a key resource across the islands, as it is key for survival of their populations and for production. As regards access to water in the Galapagos, “almost all inhabitants of the three more populated islands receive tap water in their homes”. According to surveys, 88% of the homes surveyed in Santa Cruz, and 93% of those surveyed in San Cristobal, and 81% in Isabela, are connected to the municipal supply systems. The coverage rate observed amounts to 94% in Puerto Ayora, 100% in Puerto Baquerizo Moreno and 97% in Puerto Villamil” (Guyot-Téphany y otros 2012, pp 11).

Isabela and San Cristobal islands experience the most difficulties in water supply specially for production purposes. In Santa Cruz, there are chances of accessing water for production on account of the high terrain. Also, “private individual and joint practices of water supply, rare in ports, allow to survive in higher terrain, especially in rural areas not covered by municipal supply networks. In the uplands, most inhabitants resort to at least two supply means, given that neither municipal water distribution (if any) nor traditional rainwater harvesting themselves are enough to cover water requirements. Homes depending on one means of water supply are those located in the uplands of San Cristobal, and are connected to a joint supply system. The rest of the homes have their inhabitants combining several means of supply, resorting specifically to “tanqueros” or water delivery trucks. This goes to show that water supply is harder in the uplands than in the ports. The current system of water supply in the three most populated islands of the archipelago is based on public water collection and distribution to population” (Guyot-Téphany y otros 2012, pp 13).

Ecological areas and ecoregions

The identified ecological areas include:

- Aquifers
- Humid zone ecosystems
- Transition zone ecosystems
- Arid zone ecosystems
- Wetlands (mangroves and lagoons)
- Littoral zone ecosystems (rocky beaches - sandy beaches - cliffs)

- Subtidal zone ecosystems (rocky floors and vertical walls - coral reefs - sandy floors)
- Pelagic zone ecosystems (pelagic depressions and areas).

Biodiversity

According to the Ministry of Environment, there are 560 species of native plants in Galapagos, 180 of which are endemic. Seven hundred species have been introduced on the islands because of settlement and human activities.

In terms of fauna, their predecessors come from the mainland, having evolved in isolation during more than 4 million years. Examples of diversity and endemism include unique species such as petrels, cormorants, ospreys, penguins, land and sea iguanas. As regards land fauna, there are 17 mammal species, together with 152 birds and 22 reptiles, and about 2000 invertebrates (MAAE, 2015).

All of the islands and associated marine ecosystems are adversely impacted by four inter-related threats: invasive alien species, climate change, population growth, and expanding tourism²⁴. The greatest threat to biodiversity in the Galapagos Islands is biological invasion (Watkins and Cruz, 2012).

The most common and extensive invasive species on the islands are: black rats (*Rattus rattus*), house mice (*Mus musculus*), feral cats (*Felis catus*), feral goats (*Capra hircus*), feral donkeys (*Equus asinus*), fire ants (*Solenopsis geminata* and *Wasmannia auropunctata*), yellow fever mosquito (*Aedes aegypti*), Mediterranean fruit fly (*Ceratitidis capitata*), Philornis (*Philornis downsi*), blackberry (*Rubus niveus*), and grape algae (*Caulerpa racemosa*).

Natural Areas

The program is to be implemented in the Galapagos National Park (PNG). The park covers about 7,995.4 km², that is, 97% of the land surface area of the Galapagos islands. This protected area is deemed a living laboratory as it houses endemic and native flora and fauna, unseen anywhere in the world, comprising over 45 endemic bird species, 42 reptiles, 15 mammals, and 79 fish species. Galapagos endemic flora amounts to 500 species of vascular plants, bryophytes and algae.

The most representative species of the Galapagos National Park are the giant tortoises, after which the archipelago has been named. Although three of the original 15 tortoise species have extinguished, in 2015, scientific genetic studies have identified a new giant tortoise species, named *Chelonoidis donfaustoi*.

2.2 Social dynamics of protected areas

Population

The current composition of the Galapagos islands is young population with a strong predominance of people between 25-29 years of age, since with the restrictions imposed by the LOREG, a steady growth of population has been attained (CGREG, 2016).

Between 1990 and 2001, children population declined “in connection with the precarious situation of the education and health system at the time, which caused the migration of families with boys and girls towards mainland Ecuador in search for those services” (CGREG, 2016, 57). This tendency was reverted in part during the next decade (2001-2010) with the improvement of initial education and health services. “However, the absence of young population is still patent, as they migrate to the country’s larger cities to obtain higher education.” (CGREG 2016, 57).

According to the Sustainable Development and Land Management Plan of the Special Regime of Galapagos, the man-woman ratio has changed over the last years, mostly because immigration is mainly related to male-dominated production activities.

The Population and Houses Census (2010) shows that, based on the provinces' total population, the Working Age Population (WAP) in Galapagos amounts to 17,055 people (67.9% of the province's total), whereas 73.2% of that population pertains to Economically Active Population (EAP) and the remaining 26.8%, to Economically Inactive Population (EIP). Of the province's EAP, 60.2% are men and 39.8%, women.

The canton of Santa Cruz gathers over 62% of the territory's EAP. In San Cristobal, where the province's capital city - Puerto Baquerizo Moreno - is located, there is at least 30% of the province's EAP (CGREG 2016, 57).

According to information as of 2015, the age and sex distribution of the Galapagos population is as follows:

Chart of population per age and gender

Grupos de edad	Hombres	Mujeres	Composición
Menor de 1 año	179	184	27,7%
De 1 a 4 años	902	894	
De 5 a 9 años	1.215	1.169	
De 10 a 14 años	1.264	1.185	68,2%
De 15 a 19 años	1.047	1.047	
De 20 a 24 años	941	878	
De 25 a 29 años	1.100	1.125	
De 30 a 34 años	1.263	1.228	
De 35 a 39 años	1.099	1.110	
De 40 a 44 años	962	872	
De 45 a 49 años	801	781	
De 50 a 54 años	711	633	
De 55 a 59 años	513	468	
De 60 a 64 años	355	286	4,1%
De 65 a 69 años	241	178	
De 70 a 74 años	146	129	
De 75 a 79 años	95	65	
De 80 a 84 años	40	44	
De 85 a 89 años	33	21	
De 90 a 94 años	14	17	
De 95 a 99 años	5	4	
Total	12.926	12.318	100%

Source: INEC, 2015

Education

The Ministry of Education is represented in the province by Education District Directorate 20D01. The District Directorate comprises, from an administrative point of view, two education circuits: one located in San Cristobal, covering the islands of San Cristobal and Floreana, and the other circuit in Santa Cruz, covering the islands of Santa Cruz and Isabela. For the latter, the District Directorate has anticipated the incorporation of a citizen support office. Circuit 1 includes 7 educational institutions, 5 of which are State-managed (*fiscales*) and 2 are managed by a combination of Church and State (*fiscomisioales*). Circuit 2 has 16 educational institutions, 11 of which are State-managed, including the special education center and inter-bilingual center ECIB Runakunapak Yachay, 3 are managed by a combination of Church and State and 2 are private (Dirección de Educación, 2015). As of 2015, province-wise, there are 15 State-managed institutions, 5 institutions managed by Church and State, 2 private, 1 municipal, totaling 23 educational institutions. Canton-wise, these are distributed as follows: Isabela has 1 State, 2 Church/State, and 1 municipal; San Cristobal has 5 State and 2 Church/State; Santa Cruz has 9 State, 1 Church/State, and 2 private. As for the total number of students, most are in Santa Cruz, with 4,638 students, followed by San Cristobal, with 2,198 students and Isabela, with 683, for a total student population of 7,519. Student growth rate, estimated by the Education District Directorate (2015) is 2.3% a year, with a total projection for 2020 of 8,871 students. These numbers need updating and monitoring with the purpose of projecting the infrastructure and teaching staff requirements of Galapagos in the mid and long terms (CGREG 2016, 115).

Health

The health application authority is Public Health District No. 20, which runs two hospitals in the two most populated islands: hospital Oscar Jandl in San Cristobal, and hospital Republica de Ecuador in Santa Cruz, as well as Health Subcenter No. 3 on Isabela island (reporting to Santa Cruz hospital). The five parishes have their own primary health care centers with rural doctors and other professionals. In addition to those, there is the IESS Health Dispensary in San Cristobal and Santa Cruz, and the Doctor's Dispensary of San Cristobal Navy Base. State investment in health services in Galapagos has gone up over the last years. Presently, the province has an Integrated Health System (Dirección de Salud, 2015).

Major infrastructure includes the new hospital Oscar Jandl located in Puerto Baquerizo Moreno, which has international accreditation, with a capacity for 2,400 healthcare visits a year, 1,500 surgeries a year, 20 specialists, latest technology, and outpatient facilities, emergency room, neonatology, physiotherapy, nutrition and dietitian practice, imaging, intermediate care, obstetrics and surgical center, and hospitalization. The integrated health system is supplemented with two land ambulances, two helicopters for transfers among islands and a plane specially adapted to conduct emergency evacuations to mainland Ecuador. The aircrafts were officially delivered to Ecuador's Army, which is entrusted with its operation and maintenance under the program known as "Mi Emergencia". Two of the aircrafts remain on the islands of Santa Cruz and San Cristobal whereas the third is in Guayaquil to coordinate evacuations (Distrito de Salud, 2014). All these changes have meant a substantial improvement in healthcare services province-wide. Despite this progress, the perception of public health services quality is still low. In year 2015, the health public service rating on the islands was of 5.6 out of 10 (ENEMDU, 2015). This perception was the same during the participatory workshops conducted as part of this Plan development process, where a common priority across the four islands was an improved quality healthcare service. This information suggests that the Integrated System must seek ongoing improvement and above all keep constant monitoring over service quality to allow to detect poor-quality areas. To such end, it is worth having not only statistical data but also qualitative studies to better improve the interpretation of information and identify specific deficiencies perceived by the citizens (CGREG 2016, 115).

Higher education

Universities present in the Galapagos province include Central University of Ecuador, International University of Ecuador, with seat in the canton of Santa Cruz, and the University of San Francisco De Quito, with seat in the canton of San Cristobal. Additionally, there are administrative offices of the following remote-learning universities: Polytechnical School of the Army (Santa Cruz), University of Santiago de Guayaquil (San Cristobal and Santa Cruz), *Universidad Técnica Particular de Loja* (San Cristobal, Santa Cruz and Isabela), *Indoamérica* (San Cristobal and Santa Cruz).

In average, 20% of graduates from schools of Galapagos complete a technical or tertiary level program of study (CGREG 2014), which suggests the need to strengthen an integrated education cycle in order to increase the proportion of students who complete the higher cycle. As far as the degrees obtained, the two most numerous professions are Tourism and Teaching, with 28% and 19% respectively. It is worth noting that there is feeble technical training in areas such as mechanics, electricity and construction. In this regard, a study conducted by the Charles Darwin Foundation and World ORT argues in favor of the potential for implementing vocational training institutions specialized in technical programs, such as mechanics, electricity and construction, considering such technical training profiles are highly required within the archipelago's production chain. All this, as a strategy to attenuate the demographic impact on the islands' natural environment (FCD, 2009).

This matches the need to increase university attendance rate, and to diversify professional profiles, there being a notably wide offer of professionals related to tourism, at least at an undergraduate level. Also, there underlies the potential to generate an offer of technical programs of study that fit the workforce dynamics and the social, environmental and economic conditions of Galapagos (CGREG, 2016, 115, 116).

Infrastructure

As far as buildings infrastructure is concerned, according to information from the Living Conditions Surveys of Galapagos, 28% of households deem infrastructure of educational centers to be good, this percentage dropping for the rural areas (INEC y CGREG, 2010). Most have courts or fields to practice sports, IT laboratory and libraries (INEC y CGREG, 2010). However, technology and bibliographic components are scarce, basic, outdated and deficient (technology is not regularly maintained). Some additional indicators to look into and for which the Ministry of Education is currently developing standards, include: quality, maintenance by administrative staff, and proper care of school equipment by users themselves. The three cantons lack in potable water and sewage services across all educational premises. In addition, electricity systems are deficient, natural areas are underused, and there is little maintenance of recreation spaces (CGREG 2016, 118).

Poverty

According to the UBN method, in Galapagos, every 100 people, 20 have some unsatisfied basic need, and therefore are deemed poor, whereas in Ecuador, 38 out of 100 fall in this category (CGREG, 2013-2014). Even though this information places Galapagos in a position above the national average, it helps identify components of basic needs requiring more attention on the islands. The elements with greater incidence are the inappropriate sanitary conditions and critical overcrowding with over 20% of the population having deficiencies in those components. Specifically, as regards inappropriate sanitary conditions, a household is rated as poor if: i) the household has no sanitary service or they have one consisting in cesspit or latrine, or if ii) household water is not supplied via public grid or other piping system. As regards critical overcrowding, a household is deemed poor if the ratio of people per bedroom is bigger than three (INEC, 2015). Therefore, there is the need to coordinate programs that allow improving habitat conditions of the population through the enhancement of the identified components. UNSATISFIED BASIC NEEDS: It is worth mentioning that no specific single institution is directly responsible for this index. Rather, it is the result of inter-institutional joint work. Based on the 5 components of the UBN method, in Galapagos, 52% of the population is classified as poor. This deficit is higher in the rural areas of the cantons, especially in the rural parish called Tomas de Berlanga, in Isabela. The components addressing inappropriate sanitary and overcrowding conditions are here the highest with 65.10% and 47.76% of the entire province. When discriminating UBNs of urban and rural population, as of 2014, it is found that overcrowding constitutes the component with the highest score, with 33.14%, in urban centers, whereas the highest unsatisfied need in rural areas is sanitary conditions, with 55.77% (Unidad de Estadísticas del CGREG, 2015). In year 2015, the average rating for public service in Galapagos was 6.1/10 (61 %). The position of the cantons of Santa Cruz, Isabela and San Cristobal in terms of Unsatisfied Basic Needs and population concentration, stressing that the places most densely populated are those with more deficits in basic services. Therefore, the sanitary difficulties are a territorial problem to be solved in the short and mid-term to ensure and catch up with the Good Way of Living in Galapagos.

Land production dynamics²

Out of Galapagos land surface area (799,771 ha), 3% (~25,000 ha) pertain to lands with human activities. According to the 2014 Census, it was determined that 19,010 ha of agricultural lands are occupied by farming production units (UPAs in Spanish). In 23% of those units, the average surface area for farming production was 21.14 ha, with

²Universidad San Francisco de Quito (USFQ) for the The Food and Agriculture Organization of the United Nations, Ecuador. Version 6. April, 2020

the largest surface area being 470.60 ha, and the smallest surface area being 0.08 ha (Barrera, et al. 2019). Although from year 2000 to 2014, the UPAs with less than 20 ha of surface area had gone from 337 to 530, and those UPAs with larger surface area went from 267 to 225 (CGREG, 2016).

The permanence of the farming production units or UPAs, and their demographic change, are important factors in income generation, incorporation of resilient techniques, and in their sustainability. However, agricultural production does not reach the expected efficiency levels of food security and sovereignty for the islands. For which reason, the chain of production strongly depends on food and production supplies imported from the mainland, despite recent regulations promoting local production. Added to the fact that such imports enable the introduction of pests and invasive species, their prices are not competitive, which affects the profitability of local production (Viteri y Vergara, 2017).

Based on data from the 2014 Farming Census, Granda (2017) shows that local agricultural production in 2014 was of 7,085 Tm/year, whereas the ingress of products from the mainland was of 19,066 Tm/year (MAG, 2018). According to Guzmán (2018), only tomato and cabbage had greater local supply than produce coming from the mainland in 2009 (Figure 1.18). Figure 1.18 shows the comparison between the local production and the peninsular produce. Out of the local production, 2,939 Tm/year pertain to permanent crops (81%), and short cycle crops, 19%. However, updated information of Barrera et al. (2019) claims that crops production increased to 5,359 Tm/year, where 84.8% (4,545 Tm/year) of the production was directed to the market. Regarding livestock production, 65% of the properties devote to meat production and 35% to milk production.

In Galapagos, there is an “intermediation system” which does not discriminate between local or imported food, which means local and imported food are sold at the same price, depending on the quality perceived, with local produce decreasing its profitability. Profitability decrease when marketing local produce is causing many owners to pursue their future in the tourism industry, and to abandon agriculture. As regards the local meat production, it supplies 100% of the local and tourist demand for fresh meat due to the laws that prohibit importing of fresh meat into the islands, which reinforces this sector. However, if processed meat (smoked, frozen, among others) is taken into account, local production supplies almost 68% of the local and tourist demand (Espinoza, 2017)

Language

Spanish is the official language of Ecuador and of Galapagos, although *quichua* is still spoken by many indigenous people from the Andes. However, most people working in tourism - hotel and cruise staff, as well as most tour guides - speak English.

SECTION 3: Framework applicable to environmental and social safeguards

This section introduces the national regulatory legal framework and that of international cooperation agencies related to this program.

3.1. Major national regulatory instruments

Next, there follow the main national regulatory instruments related to social and environmental safeguards.

The Constitution of the Republic of Ecuador of 2008.

The Constitution of the Republic of Ecuador, passed in 2008, provides in article 242 that the State “has a territorial organization divided into regions, provinces, cantons and rural parishes”. However, for “environmental conservation, ethnic-cultural or population reasons, special regimes may be established”, with the province of Galapagos being set aside as a Special Regime. In turn, article 258 of the Constitution specifically addresses the protection of the Galapagos archipelago, creating a government of special regime for the province and stipulating that planning and development in it will be organized “under the strictest adherence to principles of conservation of the natural assets of the State and principles of the Good way of Living.”

It is also stated that its administration will be vested in a Governing Council presided over by a representative of the Presidency of the Republic, and composed of the mayors or heads of the municipalities of the province of Galapagos, one representative of parish boards and any representatives of agencies as established by law. Likewise, the above article specifies that the Governing Council will be responsible for planning, managing resources and organizing activities to be performed in the province, stating also that the law will define an agency to act as Technical Secretariat.

In terms of land management, it is specified that the Governing Council will enact the relevant policies in coordination with the municipalities and the parish boards, which will be responsible for the execution thereof. Lastly, it is provided that, for the protection of the Galapagos’ special regime, rights of domestic migration, work or any other activity, whether public or private which may affect the environment will be limited, and the permanent residents affected by such limitation of rights will have preemptive access to natural resources and to environmentally sustainable activities.

In addition, article 275 of the Constitution provides that the State “will plan the development of the country to ensure the exercise of rights, the pursuit of development objectives and of the principles consecrated in the Constitution. Planning shall further social and territorial equality, promote compromise, which shall be participatory, decentralized, and transparent”. On the other hand, article 406 provides that the State will regulate “the conservation, management and sustainable use, remediation and ownership limitations over fragile and threatened ecosystems.” To sum up, with the enactment of the Constitution of the Republic, a new vision of development arises, which makes it paramount to bring about institutional transformation, and the conformation of an economic system with a social and solidarity view, and a territorial organization that allows to reduce existing gaps, furthering the greater good.

Organic Code of Territorial Organization, Autonomy and Decentralization (COOTAD)

The Organic Code of Territorial Organization, Autonomy and Decentralization (COOTAD), being the body of regulations governing issues of land management, and incumbencies of governmental levels, contains provisions of paramount importance to this plan. For instance, section 7 thereof provides that, among other things, provincial councils have the capacity to enact general rules, such as ordinances, agreements and resolutions for the full exercise of their authority and powers within their relevant territories. More specifically, section 7 provides that “the decentralized autonomous governments of the special regime of the province of Galapagos will exert regulating powers subject to the limitations any relevant law may apply, which in this case is the recently approved Organic Law of the Special Regime of Galapagos (LOREG). According to the above regulation, the Governing Council of Galapagos has the authority to issue regulations of provincial application, which must abide by and be consistent with this proposal of public policy, which is based on constitutional and statutory authorities of this governmental level.

Also, section 10 of COOTAD provides that, for environmental conservation, ethnic-cultural or population reasons, special governmental regimes may be established, Galapagos being one of them. In addition, section 28 of COOTAD provides that each “territorial district shall have a decentralized autonomous government for the promotion of development and for guaranteeing the Good Living through the exercise of its authority”, and that the province of Galapagos will have a Governing Council of Special Regime. Supplementing the above, section 104 of COOTAD provides that “the province of Galapagos constitutes a special governing regime by reason of its environmental specificities and for constituting natural heritage of humanity; its territory will be managed by a Governing Council under the shape and form anticipated in the Constitution, this Code and any law governing Galapagos Special Regime. In order to ensure transparency, accountability and decision making of the Governing Council, citizen participation and social checks shall be guaranteed, subject to the terms of the Constitution and the law”.

As regards this development and land management plan, the provisions of Section 276 of the referred regulation are worth mentioning, as they provide that the rendering of public services or the implementation of works under the sphere of action of the GADs in fulfilling their functions must adjust to the relevant development and land management plans. Even more so, Section 295 provides that development plans must contain the following elements:

- a. A diagnosis that allows to learn the capacities, opportunities and potential for development as well as the community’s needs;
- b. the definition of general and specific policies clearly determining long and mid-term objectives;
- d. the provision of strategic guidelines as lines of action to accomplish objectives; and
- e. Programs and goal-oriented projects and mechanisms to enable evaluation, social checks and accountability.

Lastly, as regards the execution of development and land management plans, section 467 provides that the foregoing need be approved through ordinances, will become effective upon publication and may be updated from time to time, and, without exception, at the commencement of each administration. Also it provides that the plans are “mandatory reference for the development of annual operating plans, programs and projects, budgetary instruments and other management instruments of each decentralized autonomous government.”

Organic Code of Planning and Public Finances (COP&FP)

Considering that the planning and execution of public policies and other administrative measures requires coordinating among several governmental levels and sectoral guidelines, the COP&FP contains provisions aimed at enabling and implementing such coordination. Section 10 thereof acknowledges that national planning is the responsibility of the Central Government. However, it also provides that the President, in exercising such planning, may provide institutional and territorial arrangements to such end. As regards the territorial incidence of the Executive power authority and the coordination and harmonization with the authority of the GADs, instruments such as the National Territorial Strategy or the National Development Plan are provided, seeking to further coordination of territorial planning processes under their sphere of action. In reference to development planning and land management by GADs, besides stating it is within their territorial authority, Section 12 provides that such powers must be exercised through their own plans and instruments in coordination with the various governmental levels. More specifically, as regards development plans, the COP&FP provides that such development plans comprise the main guidelines for the GADs as regards their strategic decisions of development in the territory. Likewise, Section 41 stipulates that those must have a long-term horizon and must be implemented through the exercise of their authority. As regards land management plans, the COP&FP stresses their importance when it provides that the purpose of those instruments is to harmonize and unify strategic development decisions regarding such elements as human settlements or natural resources.

Section 42 provides that land management plans “shall coordinate development policies and land management guidelines, subject to the sphere of action of each level of government, and shall ensure compliance with the social and environmental role of property,” which goes to show the importance of this public policy instrument for Galapagos. Stressing on the content of this type of instrument, section 44, subsection a. determines that land management plans must define the economic, productive, environmental, infrastructure and connectivity model at its relevant territorial level. This allows to better understand the structure that has been proposed for the Galapagos Sustainable Development and Land Management Plan.

The Organic Law of the Special Regime of the Galapagos Province (LOREG).

The recently approved LOREG, published in Official Gazette No. 520 on June 11, 2015, is one of the most relevant regulatory instruments for the preparation and implementation of this plan. In this regard, section 1 establishes the administrative legal system governing all State agencies, and natural or legal persons carrying out activities in the province, within their spheres of action.

Similarly, the principles (section 3) governing policies, plans, regulations and other public or private actions in Galapagos are established. Regarding the institutional system of the province, the LOREG provides (section 4) that the Governing Council of the Special Regime of the province of Galapagos (CGREG) is the entity in charge, among others, of inter-institutional coordination and planning in Galapagos. The LOREG establishes and regulates the institutional-legal framework of the special regime, determining the scope of authority and powers of the plenary council, the presidency and the technical secretariat of the CGREG, which will be implemented through provincial ordinances and resolutions approved by the plenary council made up of representatives of the Executive Branch of Government and of the GADs of the province of Galapagos.

Chief among those powers and roles (section 5), there are the following:

- a. To plan out and instruct the policies for land management and development for the province of Galapagos, which shall be included in the Galapagos Plan of Sustainable Development and Land Management.
- b. To issue general guidelines and standards for exerting powers of land use and management in the province, in coordination with the decentralized autonomous governments, except for the protected areas, in line with the Sustainable Development and Land Management Plan of Galapagos, and in coordination with the relevant State spheres, and monitor and control compliance therewith.
- c. To design, build and maintain the roadway system of the provincial level, to the exclusion of urban areas.
- d. To promote citizen participation rights through the organization and strengthening of the citizen participation system and the application of other instruments provided by Law.
- e. To issue general guidelines of mobility in terms of transport within the province.
- f. To enforce, within the relevant sphere of action, the province's environmental management subject to the province's planning and national decentralized system of environmental management. To exert powers under the Environmental Management Mainstreamed System (Sistema Unico de Manejo Ambiental), accreditation is necessary with the National Environmental Authority.
- g. To plan out transport and mobility within the province of Galapagos, in coordination with decentralized autonomous governments.
- h. To provide policies and plan for the use of alternative energies, subject to guidelines and policies defined by the relevant national authority.
- i. To promote food sovereignty and security, and agroecological production pursuant to the provisions of applicable legislation, the Plan for Sustainable Development and Land Management of Galapagos and such regulations and policies as defined by the relevant national authority in compliance with applicable environmental legislation.
- j. To promote the province's economic and production activities in a framework of province's territorial sustainability.

As shown by the previous provisions, the CGREG has several roles and powers directly related to the components of this public policy. This constitutes specific legal foundations for the proposals included in this plan. Section 33, in the single chapter of Title IV of the LOREG, relating to planning, defines the Plan for Sustainable Development and Land Management (PDOT) as the planning instrument intended to harmonize and unify the strategic decisions for sustainable and continued development of the province in order to achieve coordinated, agreed-upon management of the territory based on the territorial qualities, its special regime, and strict adherence to the principles of conservation of the natural assets and the Good way of Living. The PDOT established in the legislation: "Galapagos Plan" will henceforth be the regional planning tool of the Galapagos Special Regime. In addition, the PDOT provides that "the entities that make up the Governing Council of the Special Regime of the province of Galapagos and other entities of the public and private sector and of the popular and solidarity economy" must stick to the plan, which ratifies the role of the CGREG in the planning and coordination roles, province-wide.

3.2 National environmental and social legislation

Within the country, there are a series of regulations worth mentioning:

Section 435 of the Environment Organic Code (2019), on the environmental management plan of relevant programs, specifies that: "The environmental management plan is the document containing actions or measures to be executed in order to prevent, avoid, mitigate, control, correct, compensate, restore and remediate potential negative environmental impacts, as the case may be, of any given program, works or activity. The environmental

management plan, depending on the nature of any such program, works or activity, will contain the following subplans, considering environmental aspects, impacts and risk identified:

- a) Impact prevention and mitigation plan;
- b) Contingency plan;
- c) Capacity-building plan;
- d) Waste management plan;
- e) Community relations plan;
- f) Affected areas reclamation plan;
- g) Wildlife rescue plan, if applicable;
- h) Closure and abandonment plan; and
- i) Monitoring and Evaluation Plan."

Likewise, the Unified Text of Secondary Environment Legislation (revised in 2015) describes the environmental management system (Unified Environmental Management System; SUMA) that regulates the environmental impact assessment process at the national level. It is noted that environmental assessments are applied before programs, activities or works which can cause significant adverse environmental impacts. Public, private and mixed investment programs are subject to impact studies. Likewise, it is explained that, to assess environmental impacts, the "sociocultural" aspects of the activity such as "archeology, socio-economic organization, among others" must also be observed.

Furthermore, in accordance with the agreement with the ILO, it is stated that "Governments shall ensure that, when appropriate, studies are carried out, in cooperation with the peoples concerned, to assess the social, spiritual, cultural and environmental impact of the anticipated development activities. The results of these studies will be considered fundamental criteria for the execution of those activities. "

Rights over territory and resources

The Constitution of Ecuador, article 57 (4), (5) and (6), recognizes the property of indigenous peoples over their ancestral lands. In addition, it addresses their right to "participate in the use, usufruct, administration and conservation of the renewable natural resources located in their lands." Article 321 supplements the above as follows: "The right to property is recognized and guaranteed in all its forms, whether it is public, private, communal, state, associative, cooperative or mixed economy ownership, and that it must fulfill the social and environmental function of property."

Supplementing the provisions of the Constitution, the Organic Law on Rural and Ancestral Territories (2016) provides that the State "will recognize and guarantee in favor of indigenous, Afro, and Montubio communes, communities, peoples and nationalities, the right to conserve their communal property and maintain possession of their ancestral and communal lands and territories, which will be granted to them in perpetuity in accordance with the Constitution, conventions, treaties, declarations and other international instruments of collective rights." Chapter V of this law also defines ancestral lands based on actual holding and possession since time immemorial and provides that the Agrarian Authority outline and grant title over such lands in coordination with the peoples that request it; and when such lands are within protected areas, it provides that the Ministry of the Environment shall be the one granting titles and outlining in coordination with the Agrarian Authority.

Section 100 of the COOTAD provides that the territories of indigenous peoples, communities and nationalities, as well as those of Afro-Ecuadorians and Montubio people, which are within protected natural areas, continue to be occupied and administered by these communities in a communal way, subject to conservation and protection policies, plans and programs in accordance with their ancestral knowledge and practices, which must be in

accordance with the conservation policies and plans of the State System of National Protected Areas. That section also requires the State to adopt the necessary mechanisms to enable the recognition and legalization of those ancestral territories.

The MAE, through Ministerial Decree No. 265, regulates the allocation of land for individuals and groups within State Forest Property (“patrimonio forestal estatal”) and Protected Woods (“bosques de protección”). The decree establishes a specific procedure for granting title to indigenous peoples and other groups. While the MAG addresses the security of land tenure (titles) to individuals and groups outside these protected areas, the MAE jurisdiction applies when it comes to protected forest areas and therefore relevant in the context of REDD + programs.

Another relevant regulation is the Environmental Management Law, Section 13, which provides that the Provincial Councils and municipalities can enact environmental policies subject to the Constitution and national regulations on protected natural areas. Local governments are forced to consult with leaders of indigenous, Afro-Ecuadorian and local communities before outlining, managing and administering protected areas.

At the international level, the United Nations Declaration on the Rights of Indigenous Peoples, section 10, stresses the fact that no indigenous community can be involuntarily resettled out of their territories without their consent or without a prior agreement on fair compensation, and if possible, with the choice to return.

Biodiversity Conservation and Resource Sustainable Management

The Constitution mentions, in several parts, the importance of the environment and biodiversity. Article 14 points out the “right of the population to live in a healthy and ecologically balanced environment”. Environment preservation, conservation of ecosystems, biodiversity and integrity of the country’s genetic pool, damage prevention and recovery of degraded natural areas are vital. Article 74 provides “Environmental services cannot be owned, and their production, performance and use shall be regulated by the State.” Article 406 provides that “The State shall regulate conservation, management, sustainable use, recovery and ownership limitations of fragile and threatened ecosystems, including moorlands, wetlands, cloud forests, dry and wet tropical forests and mangroves, marine ecosystems and seashore ecosystems.”

In turn, the Law on Forestry and Conservation of Natural Spaces and Wildlife (2004), section 5, provides that the MAE is responsible for “managing and protecting natural forest areas.” In addition, the Environmental Management Law (2004), Section 3, provides that “The Environmental Management process shall be guided by the universal principles of Sustainable Development contained in the Declaration of Rio de Janeiro of 1992 on Environment and Development.” And the Environmental Management Law (2004), section 7, provides that “Environmental management falls under the general policies of sustainable development for the conservation of natural assets and sustainable use of natural resources.”

Whereas, the Environmental Organic Code (2017), section 99, provides that “Conservation, protection and restoration of moorlands, *moretales* (an aggregation of palm trees), and mangroves ecosystems shall be of public interest. Their degradation, cutting down, and change of land use is prohibited, pursuant to the law.” This is supplemented by the Organic Law on Rural Lands and Ancestry Territories (2016), section 7 (k), which provides that it is incumbent on the State to “regulate and control the advancement of the agricultural frontier, which can affect fragile ecosystems including moorlands, mangroves, wetlands, cloud forests, rainforests, tropical, dry and wet forests, natural, cultural and archaeological heritage sites, and in general, natural protected areas and specifically territories with high biodiversity or generating environmental services.”

Protected Areas

Article 405 of the Constitution points out that “The national system of protected areas shall guarantee the conservation of biodiversity and the maintenance of ecological functions. The system shall be comprised of State, decentralized autonomous, communal, and private subsystems, and it shall be directed and regulated by the State. The State shall allocate the financial resources needed to ensure the system’s financial sustainability and shall foster the participation of the communities, peoples, and nations who have their ancestral dwelling places in the protected areas in terms of administration and management. No foreign individual, business or corporation shall be able to acquire land title, ownership or concessions, in areas of national security or protected areas, in accordance with the law.” Also, article 407 provides that: “Activities for the extraction of nonrenewable natural resources are forbidden in protected areas and in intangible areas, including forestry production. Exceptionally, exploitation of those resources can be allowed at the substantiated request of the President of the Republic and after a declaration of national interest issued by the National Assembly, which can, if it deems it advisable, convene a referendum.”

Species Protection

According to article 73 of the Constitution, “the State shall apply preventive and restrictive measures on activities that might lead to the extinction of species, the destruction of ecosystems and the permanent alteration of natural cycles. The introduction of organisms and organic and inorganic material which might definitively alter the nation’s genetic assets is forbidden.”

The Environmental Organic Code (2017), section 35, establishes that: “For the protection of wildlife, all individuals, businesses or corporations shall be subject to the following conditions:

1. Conservation of wildlife species in their natural habitat, prohibiting their extraction except for purposes of research, repopulation of species under any threat status and those established in this Code;
2. Recognition of the traditional uses of wildlife species for subsistence or cultural medicinal practices;
3. Protection of all native terrestrial, marine and aquatic wildlife species, with focus on endemic species, endangered species, migratory species and those listed in international instruments ratified by the State;
4. Protection of habitats, ecosystems and biologically important areas on which wildlife species depend;
5. Coordination of actions among institutions for on-site conservation of wildlife species affected, or which may be affected, by human activities;
6. Promotion of research on wildlife to spread bio-knowledge across the national territory; and
7. Others as may be determined to such end.

Indigenous Peoples (PI)

Ecuador acknowledges the presence of indigenous peoples, Afro-Ecuadorian communities and traditional peoples such as the Montubio. In addition, the country has ratified ILO 169 Convention.

Article 57 of the Constitution is express: “Indigenous communes, communities, peoples and nations are recognized and guaranteed, in conformity with the Constitution, human rights agreements, conventions, declarations and other international instruments, the following collective rights:

1. To freely uphold, develop and strengthen their identity, sense of belonging, ancestral traditions and forms of social organization.
2. To not be the target of racism or any form of discrimination based on their origin or ethnic or cultural identity.
3. Recognition, redress and compensation for community groups affected by racism, xenophobia and other related forms of intolerance and discrimination.

4. To maintain ownership, subject to no time limitation, of their communal lands, which shall not be subject to transfer, attachment or subdivision. These lands shall be exempt from any fees or taxes.
5. To maintain possession of ancestral lands and territories and have them awarded to them free of charge.
6. To participate in the use, usufruct, administration and conservation of natural renewable resources located in their lands.
7. To be consulted previously, freely and with information, within a reasonable period of time, on plans and programs for prospection, exploitation and trading of nonrenewable resources located in their lands and which could have an environmental or cultural impact on them; to participate in the profits deriving from these projects and to receive compensation for social, cultural and environmental harm caused to them. The consultation, which shall be conducted by the competent authorities, shall be mandatory and timely conducted. If consent of the consulted community should not be obtained, the Constitution and the law shall be applied.
8. To keep and promote their practices of managing biodiversity and their natural environment. The State shall establish and implement programs with the participation of the community to ensure the conservation and sustainable use of biodiversity.
9. To keep and develop their own forms of peaceful coexistence and social organization and of creating and exercising authority, in their legally recognized territories and ancestrally owned communal lands.
10. To create, develop, apply and practice their own legal or customs system, which cannot infringe constitutional rights, especially those of women, children and adolescents.
11. To not be displaced from their ancestral lands.
12. To uphold, protect and develop collective knowledge; their ancestral science, technologies and knowledge; the genetic resources that contain biological diversity and agricultural biodiversity; their medicine and traditional medical practices, including the right to restore, promote, and protect ritual and holy places, as well as plants, animals, minerals and ecosystems in their territories; and knowledge about the resources and properties of fauna and flora. All forms of ownership of their knowledge, innovations, and practices are forbidden.
13. To uphold, retrieve, protect, develop and preserve their cultural and historical heritage as an indivisible part of Ecuador's heritage. The State shall provide resources for this purpose.
14. To develop, strengthen, and enhance the intercultural, bilingual education system, subject to quality criteria, from early stimulation to higher levels of education, in conformity with cultural diversity, for the care and preservation of identities, in keeping with their own teaching and learning methodologies. A dignified teaching career shall also be guaranteed. Administration of this system shall be collective and participatory, with time and space rotation, based on community monitoring and accountability.
15. To build and uphold organizations that represent them, in respect to pluralism and cultural, political, and organizational diversity. The State shall recognize and promote all forms of expression and organization.
16. To participate by means of representatives of their own in such official organizations as established by law in the definition of public policies concerning them, as well as in the design and decision upon their priorities in the plans and programs of the State
17. To be consulted before the adoption of a legislative measure that might affect any of their collective rights.
18. To uphold and develop contacts, ties and cooperation with other peoples, especially those that share international borders.
19. To promote the use of garments, symbols and emblems to which they relate.
20. To restrict military activities in their territories, in accordance with the law.
21. For the dignity and diversity of their cultures, traditions, stories, and aspirations to be reflected in public education and in the media; creation of their own social media in their languages, and access to the rest of the media without being discriminated against. The territories of the peoples living in voluntary isolation are irreducible and intangible ancestral territories and all forms of extractive activities shall be forbidden there

The State shall adopt measures to guarantee their lives, to enforce their self-determination and will to remain in isolation and to ensure observance of their rights. The violation of these rights shall constitute a crime of ethnocide, which shall be punishable by law. The State shall guarantee the enforcement of these collective rights without any discrimination, in conditions of equality and equity between men and women.”

Gender

The country is committed to reducing the gender gap and guarantee equal opportunities and non-discrimination in all levels in the social life. The State has formulated a series of policies to attain equality between men and women. The National Council for Gender Equality is the state institution which is specialized in women rights and gender policies and responsible of developing the National Agenda for women and LGBTI people including a chapter of sustainable development.

Article 6 of the Constitution provides that all Ecuadorians are citizens and as such shall enjoy the rights set forth in the Constitution. This ratifies the notion of equal rights between men and women. Article 11 states that all persons are equal and shall have and enjoy the same rights, duties and opportunities and that no one shall be discriminated against based on ethnic belonging, place of birth, age, sex, gender identity, cultural identity, civil status, language, religion, ideology, political affiliation, legal record, socio-political condition, socio-economic condition, migratory status, sexual orientation, disability, physical difference or any health issue.

On the other hand, this recognition by the Constitution is reflected in State’s planning instruments. The Climate Change National Strategy deems women as part of the priority target groups defined by the Constitution and highlights their role as a priority sector for climate change in the country. The National Environmental Policy (2009) incorporates the strengthened view of the 2014-2017 Gender Equality focusing on the rights and proposing various public interventions to overcome the gender inequality gaps.

Also, Ecuador has ratified, subscribed to, or backed several international instruments addressing gender equality, including:

- United Nations Declaration on Human Rights
- International Covenant on Civil and Political Rights
- Convention on the Elimination of All Forms of Discrimination against Women
- Inter-American Convention on the Prevention, Punishment and Eradication of Violence against Women, “Convention of Belem do Pará”
- International Covenant on Economic, Social and Cultural Rights
- Beijing Declaration and Platform for Action of 1995
- Declaration on the Rights of Indigenous Peoples (voted favorably as a member)
- International Convention on the Elimination of All Forms of Racial Discrimination
- International Convention on the Rights of the Child
- International Convention on the Protection of the Rights of All Migrant Workers and Members of Their Families
- Convention on the Rights of Persons with Disabilities.

Benefit distribution

It is worth mentioning also that article 74 of the Constitution points out the local population’s right to benefit from the environment: “Persons, communities, peoples, and nations shall have the right to benefit from the

environment and its natural wealth enabling them to enjoy the good way of living. Environmental services cannot be owned, and their production, performance and use shall be regulated by the State.”

Prevention and Protection from Sexual Exploitation, Sexual Abuse, and Sexual Harassment

In Ecuador, sexual harassment is understood as an act that occurs when a person takes advantage of an employment, teaching or service provision relationship to request sexual favors from another person in the same field, causing the victim an objective and seriously hostile, humiliating and intimidating situation. This crime is regulated in article 184 of the Penal Code.

The Constitution of Ecuador is based on the principles of equal opportunity and non-discrimination. Article 66, numbers 3 and 4, recognizes and guarantees individuals the right to physical, psychological, moral and sexual integrity, formal equality, non-discrimination and a life free of violence in the public and private spheres; to this end, the State shall adopt the necessary measures to prevent, eliminate and punish all forms of violence.

Labor harassment is regulated in the Reformatory Law to the Organic Law of the Public Service and the Labor Code, and its treatment is given in the Regulations for the Eradication of Discrimination in the Labor Sphere, which aim to ensure non-discrimination and equality, seeking to maintain a healthy environment in the workplace, as well as establishing mechanisms to prevent psychosocial risks.

Article 12 of the Integral Organic Law to Prevent and Eradicate Violence against Women states: Areas where violence against women takes place, including sexual violence and public discredit as one of its expressions. Likewise, it establishes the obligation of the State to design a public work policy with a gender perspective that includes the prevention and eradication of violence against women.

In Ecuadorian legislation, harassment in the workplace has recently been included in the Law Reforming the Organic Law of the Public Service and the Labor Code, and its treatment in the Regulations for the Eradication of Discrimination in the Workplace, which aim to guarantee non-discrimination and equality, seeking to maintain a healthy environment in the workplace, as well as establishing mechanisms to prevent psychosocial risks.

The Ministry of Labor has a "Protocol for the prevention and attention of cases of discrimination, harassment at work and all forms of violence against women in the workplace", issued on November 25, 2020. This instrument is mandatory for public and private servants and regulates the procedure for prevention, reporting and care in cases of victims of discrimination, harassment and/or violence against women in the workplace.

In this section we will refer to the norms related to the right to work, to the harmony that must have with the public servant and worker in the work environment, such as: The Constitution of the Republic of Ecuador 2008, Organic Law of the Public Service, General Regulations of the Ut Supra Law, Labor Code and the Agreement issued by the Ministry of the Branch "Regulations for the eradication of discrimination in the workplace", in the latter typifies the figure of labor harassment as harassment, the same that is prohibited in the public and private sphere, in addition to analyzing the various international instruments.

Ecuador has been a member of the ILO since 1934. The country has ratified 61 conventions (54 currently in force), including the 8 fundamental conventions. Convention No. 156 on workers with family responsibilities and Convention No. 189 on domestic workers are the most recent and were ratified in 2013.

Ecuador ratifies pact on elimination of violence and harassment at work", January 18, 2021. The Convention 190, implies the government adoption, in an inclusive and participatory manner, of legislative measures and public policies that recognize and guarantee the full enjoyment and exercise of labor rights. It includes physical, psychological, sexual or economic harm and harassment, based on gender, in addition to incorporating sexual

harassment as a central issue. In the same line, the text observes the right to equality and non-discrimination for workers in vulnerable situations and expressly incorporates the public sector as a subject of the right. The signatory states of the agreement have the obligation to take measures to provide that the victims of violence and harassment, for a gender-based reason, have mechanisms for filing complaints and conflict resolution, assistance, service and means of recourse and reparation of damages.

Internal Regime:

Constitution of the Republic of Ecuador 2008:

"Art. 11.- The exercise of rights shall be governed by the following principles:

(...) 2. All persons are equal and shall enjoy the same rights, duties and opportunities. (...)

7. The recognition of the rights and guarantees established in the Constitution and in international human rights instruments shall not exclude other rights derived from the dignity of individuals, communities, peoples and nationalities, which are necessary for their full development." (National Assembly, 2008)

"Art. 33.- Work is a right and a social duty, and an economic right, source of personal fulfillment and basis of the economy. The State shall guarantee working people full respect for their dignity, a decent life, fair remunerations and retributions and the performance of a healthy and freely chosen or accepted job." (National Assembly, 2008)

"Ecuadorian women and men enjoy the following rights:

(...) 7. To perform public jobs and functions based on merit and abilities, and in a transparent, inclusive, equitable, pluralistic and democratic selection and appointment system, which guarantees their participation, with criteria of gender equity and parity, equal opportunities for persons with disabilities and intergenerational participation." (National Assembly, 2008)

"Art. 326.- The right to work is based on the following principles:

5. Every person shall have the right to carry out his work in an adequate and conducive environment, which guarantees his health, integrity, safety, hygiene and welfare." (National Assembly, 2008)

"Art. 23.- Rights of public servant–. - The following are inalienable rights of public servants:

(I) To carry out their work in an adequate and conducive environment, which guarantees their health, integrity, safety, hygiene and welfare." (National Assembly, 2010)

Labor Code:

"Art. 79.- Equal remuneration. Equal work corresponds to equal remuneration, without discrimination based on birth, age, sex, ethnicity, color, social origin, language, religion, political affiliation, economic position, sexual orientation, state of health, disability, or difference of any other nature; moreover, specialization and practice in the execution of work shall be taken into account for the purposes of remuneration". (National Congress, 2005)

AGREEMENT No. MDT-2017-0082

Regulations for the eradication of discrimination in the workplace:

"Art. 2.- Definition of discrimination. Discrimination shall be understood as any unequal treatment, exclusion or preference towards a person, based on gender identity, sexual orientation, age, disability, living with HIV/AIDS, ethnicity, having or developing a catastrophic disease, language, religion, nationality, place of birth, ideology, political opinion, immigration status, marital status, judicial background, aesthetic stereotypes, being pregnant, breastfeeding or any other, which has the effect of nullifying, altering or preventing the full exercise of individual or collective rights, in the selection processes and during the existence of the employment relationship.

The criteria for the selection of human talent, based on specific technical knowledge, necessary experience and also inherent requirements for the adequate development of the job vacancy will not be considered as discrimination." (Ministry of Labor, 2017)

"Art. 6.- Prohibitions of discrimination in the workspace. In workspaces, both public and private, it is prohibited:

- a) The devaluation of skills, aptitudes, stigmatization and negative stereotypes.
- b) The disclosure of bodily intimacy and diverse sexual orientation for pejorative purposes.
- c) Intimidation and harassment.
- d) Occupational segregation and abuse in operational activities.
- e) Assigning tasks not in accordance with the disability, training and/or knowledge in order to force the employee to terminate the employment relationship.
- f) Any type of discrimination in job promotion processes.
- g) Limiting or coercing freedom of cultural expression.
- h) Any type of verbal and/or physical aggression based on gender, age, customs, ideology, language, sexual orientation, gender identity, living with HIV or any other personal or collective distinction.
- i) Determine within the work area, exclusive spaces that point out evident unjustified and discriminatory differentiation in the use of toilets, canteens, recreational rooms, meeting spaces, elevators, etc." (Ministry of Labor, 2017)

"Art. 10.- Of sanctions for non-compliance with the program. - Companies and public and private institutions that do not comply with the provisions of the previous article, will have as a sanction: pecuniary amounts, closure of establishments or premises; and/or suspension of activities in accordance with the provisions of Articles 435, 436 and 628 of the Labor Code, and in accordance with the regulations on this matter issued or issued by the governing Ministry of Labor.

In the case of State institutions, public servants who fail to comply with the application of this Agreement shall be subject to sanctions, in accordance with the provisions of the disciplinary regime of the LOSEP, its General Regulations and the institutional internal regulations." (Ministry of Labor, 2017)

Organic Reformatory Law to the Organic Law of the Public Service and the Labor Code to Prevent Workplace Harassment:

- "Article 1. Include an unnumbered article after Article 24:
- "Definition of labor harassment: labor harassment shall be understood as any behavior detrimental to the dignity of the person, exercised repeatedly, and potentially harmful, committed in the workplace or at any time against one of the parties to the employment relationship or between workers, which results for the person affected in their undermining, mistreatment, humiliation, or that threatens or harms their employment situation. Harassment may be considered as a discriminatory action when it is motivated by one of the reasons listed in Article 11.2 of the Constitution of the Republic, including union and trade union affiliation." (National Assembly, 2017)

Analysis:

This legal reform incorporates to the Organic Law of the Public Service the concept of Labor Harassment, in which it covers the protection of the dignity of the public servant in the workplace as provided in Articles 33 and 326 of the Constitutional Regulations, which guarantees the working class whether public or private to work in a balanced environment, in addition to protecting the employee with this reform, the regulations for the Eradication of Discrimination in the workplace are in force.

REFORMS TO THE LABOR CODE

"Article 4. Include an unnumbered article after article 46: Definition of labor harassment: labor harassment shall be understood as any behavior detrimental to the dignity of the person, exercised repeatedly, and potentially harmful, committed in the workplace or at any time against one of the parties to the labor relationship or between workers, which results for the affected person in his/her impairment, mistreatment, humiliation, or that threatens or harms his/her labor situation. Harassment may be considered as a discriminatory action when it is motivated by one of the reasons listed in Article 11.2 of the Constitution of the Republic, including union and trade union affiliation." (National Assembly, 2017)

Conduct reported as Labor Harassment will be assessed by the labor authority, according to the circumstances of the case, and the seriousness of the conduct reported. The competent authority will assess the circumstances according to the capacity of these to subject a worker to pressure to cause his marginalization, resignation or abandonment of his job."

3.3 Major international regulatory instruments

In the same way as in the previous point of this section the most relevant provisions were analyzed regarding the main national legal instruments connected with this land management and development plan, this section briefly reviews international treaties ratified by Ecuador, the purpose of which refer to conservation, sustainable development and planning in Galapagos. Instead of conducting a detailed analysis of each international treaty or convention included herein, an overview thereof is provided.

In this regard, the main international regulatory instruments ratified by Ecuador relevant to Galapagos include:

- Convention on Biological Diversity.
- Convention for the Protection of World Cultural and Natural Heritage
- Convention on international trade in endangered species of wild fauna and flora (CITES)
- Conservation of Wetlands of International Importance, particularly as waterfowl habitat (RAMSAR convention)
- Protocol for the Conservation and Management of Protected Marine and Coastal Areas of the South-East Pacific.
- Inter-American Convention for the Protection and Conservation of Sea Turtles
- United Nations Convention on the Law of the Sea (UNCLOS or CONVEMAR in Spanish)
- International Convention for the Prevention of Pollutions from Ships

Among the provisions contained in the above-mentioned instruments, there are some of greater relevance to this plan for Galapagos, either because they are connected to species or ecosystems of the province or because of their maritime border provisions. For example, we can highlight the Convention on Biological Diversity, one of the most important international treaties today for nature conservation as it covers several aspects directly or indirectly related to biological diversity, and its role in development, from a scientific, political, educational, agricultural, business, and cultural points of view, among others. Also, there is UNESCO Man and the Biosphere Program, intended to ensure basic welfare of human beings and of an inhabitable environment in scenarios of fast urbanizations and energy consumption.

It also tries to promote exchange and transfer of knowledge about environmental problems and solutions and foster environmental education favoring sustainable development. Considering the large number of wetlands existing in Galapagos, and their significance as habitat for some species, the Ramsar Convention is one of the most

important environmental international treaties ratified by Ecuador. Presently, such convention covers all aspects of conservation and rational use of wetlands, recognizing they are extremely significant ecosystems for the conservation of biological diversity as a whole and the welfare of human communities. According to section 3.1 of the Convention, the Parties are bound to consider conservation of wetlands in their national planning relating to land use. Also, the treaty provides for the promotion of activities including training in research, management, and stewardship of wetlands. In turn, the Inter-American Convention for the Protection and Conservation of Sea Turtles protects that species by prohibiting its trade or the trade of any of its byproducts. It is worth mentioning that among the threats to the species there is the local consumption or use of its meat, eggs, skin and shell, the bycatch by commercial fisheries, particularly their fishing out through longlining or trawling, habitat destruction and pollution. UNCLOS, which could be the most important international treaty in maritime issues, acknowledges the right of the States to define the surface area of their territorial seas extending up to 12 nautical miles, measured from baselines determined subject to the Convention itself. Likewise, it provides general obligations to protect the sea environment and deep-sea unrestricted scientific research. It creates a legal system to organize and control activities in seabed and ocean floor, and subsoil, beyond the limits of national jurisdiction.

Lastly, the International Convention for the Prevention of Pollution from Ships seeks to “preserve the sea environment by completely eliminating pollution by hydrocarbons or other harming substances, and by minimizing potential accidental discharge”, which is relevant when considering maritime traffic in Galapagos. Ultimately, the treaties analyzed in this point are the foundations for the adoption and application of local public policies and regulations as they form part of the Ecuadorian legal system and establish guidelines that must be developed more specifically by the signatory States. Therefore, their provisions must be observed for the preparation of the instruments adopted for the implementation of this Plan.”

As regards social benefits, the Sustainable Development Goals (SDGs) are also identified, as “the result of the agreement reached by the Member States of the United Nations, comprising one Declaration, 17 Sustainable Development Goals and 169 targets. Member States have agreed to try to achieve them by 2030. Health occupies a fundamental place in SDG 3 “Ensure healthy lives and promote well-being for all at all ages”, articulated around 13 targets that cover a wide range of WHO efforts. Most of the SDGs are directly related to health or will contribute to health indirectly. The new program, based on the Millennium Development Goals, aims to be relevant to all countries and focuses on improving equality to respond to the needs of women, children and those people most in need and the underprivileged.”

For Galapagos, the scope of SDG4 Equitable Education, SDG6 Clean Water and Sanitation, SDG10 Reducing inequalities, SD11 Sustainable cities and communities, have been prioritized.

SECTION 4: Applicable environmental and social standards

Next, there follows the framework of environmental and social standards applicable to the program.

4.1. Corporación Andina de Fomento - CAF³

CAF's strategy for environmental sustainability and climate change promotes a paradigm shift towards low-carbon and climate-resilient economies with green infrastructure and a transformation to sustainable production systems, through the provision of technical, financial and knowledge resources to countries to support the implementation of the "Agenda 2030."

CAF ensures that all of the operations it finances comply with national legislation, and that all operations and activities are in accordance with the highest international standards in the management of environmental and social risks and climate change. For this, institutions accessing CAF resources must apply a set of environmental and social safeguards that integrate the principles defined by CAF in matters of social and environmental sustainability and climate change.

CAF's social and environmental safeguards have been designed with the objective to:

- Prevent, mitigate and/or compensate adverse impacts for the population and the environment
- Consider climate risks at program level, cross-cutting its operations
- Encourage participation of stakeholders
- Conserve biological diversity and natural habitats
- Promote sustainable use of natural resources and ecosystem services
- Avoid and minimize negative impacts on people's health, biodiversity and ecosystems through the prevention of pollution.
- Recognize, protect and value the cultural heritage of the region
- Ensure compliance with international commitments regarding rights of indigenous peoples and other minorities and vulnerable groups.
- Ensure compliance with the regulations regarding working conditions.

These safeguards contribute to the promotion of sustainable development, seeking to increase competitiveness, reduce social lags, stop environmental degradation, support green economic development and growth, and improve the living conditions for the inhabitants of Latin America. Considering climate change is one of the greatest global challenges, these measures further allow to strengthen mitigation and adaptation actions that seek to promote environmental, social and economic sustainability within the region.

³ Extracted from: <https://www.caf.com/media/5614351/salvuardas%20ambientales%20y%20sociales%20caf.pdf>

Table 1: Overview of CAF's Environmental and Social Safeguards

CAF Environmental and Social Safeguard	Description
S01: Evaluation and management of environmental and social impacts	<ul style="list-style-type: none"> ▪ CAF establishes the need to carry out i) environmental and social assessments of operations, ii) the evaluation of risks derived from climate change, iii) the design, implementation and follow-up of environmental and social management measures associated with the operation, and iv) strengthening of the informed, active and timely participation of the inhabitants of the areas of influence in the operations that it supports. ▪ All projects financed by CAF are in accordance with the environmental legislation of the country where the project is executed, as well as with international agreements and commitments signed by member countries. CAF may request the application of additional precautions or select (internationally accepted) technical references, in cases where deemed necessary. ▪ While all relevant risks and possible environmental and social impacts must be considered in the context of the evaluation, safeguards 2-8 describe the possible risks and environmental and social impacts that require special attention that result in complementary processes related to evaluation, management and monitoring.
S02: Utilization of renewable natural resources	<ul style="list-style-type: none"> ▪ CAF promotes and ensures the sustainable use of natural resources, and manages mechanisms to i) prevent, mitigate and control negative environmental impacts (e.g. pollution, loss of arable land, severe drought or desertification, among others), and ii) promote positive environmental impacts / co-benefits. For this reason, CAF requires the client to establish and implement measures and tools that guarantee the sustainable and effective use of resources, and the application of good conservation practices.
S03: Conservation of biological diversity	<ul style="list-style-type: none"> ▪ CAF promotes the conservation of protected areas, critical habitats and other sensitive areas according to the relevant legislation of the country in which the operation is carried out and the international norms that apply, financing projects in these areas insofar as this guarantees that the project does not jeopardize the objective of establishing the protected area, nor the sustainability of critical habitats and sensitive areas. ▪ CAF considers it essential that all credit operations consider the potential negative impacts from investments on biodiversity and that appropriate measures to prevent, mitigate, control and compensate such impacts are applied.
S04: Pollution prevention and management	<ul style="list-style-type: none"> ▪ CAF recognizes that pollution is a critical factor that deteriorates the living conditions of people and contributes to the degradation of natural resources and loss of biodiversity in the region. It is thus essential that all credit operations include pollution prevention, mitigation and control measures in all environmental components, and promotes in its operations the introduction of measures oriented in this sense. ▪ Likewise, in industrial operations, CAF ensures that such measures are integrated into the production process, including the reduction of pollution and the consumption of natural resources, and the use of clean or renewable energies that contribute to the reduction of GHGs, in the framework of cleared production and energy efficiency.

CAF Environmental and Social Safeguard	Description
	<ul style="list-style-type: none"> ▪ CAF applies the precautionary principle, that is, the application of protective measures is requested before the suspicion that certain products or technologies create a serious risk to public health or the environment, in cases where it is deemed necessary.
S05: Cultural Heritage	<ul style="list-style-type: none"> ▪ CAF recognizes the importance of cultural heritage for communities, and in some cases the global population. Therefore, when there is physical or intangible cultural heritage in the area of influence of the project, CAF requests the presentation of plans for the protection of archaeological, historical or sacred sites, which must be approved by the competent scientific and/or cultural institutions and relevant legislation of the respective country. ▪ In the operations to be developed in areas where archaeological, historical or sacred sites of indigenous peoples and/or people of African descent, the client must guarantee protection and avoid actions that directly or indirectly may cause damage.
S06: Ethnic Groups	<ul style="list-style-type: none"> ▪ CAF recognizes the importance of human cultural diversity in the region and ensures its preservation and strengthening. In this context, for the cases of projects whose area of influence includes ethnic groups or important sacred places, CAF requests the preparation of a specific plan for said groups in order to safeguard their physical, territorial, social, cultural and economic integrity, ensure a participatory process of Free, Prior and Informed Consent (FPIC), and to provide benefits that are culturally appropriate.
S07: Resettlement	<ul style="list-style-type: none"> ▪ In operations that require the acquisition or use of lands that imply the physical or economic displacement of the people residing there and/or deriving their livelihood, and/or the resettlement and/or relocation of human groups, CAF requests the elaboration of a Resettlement Plan or Socio-Economic Conditions Resettlement Plan. Such plans will be established in order to improve or at least restore the living conditions of displaced people, as well as of any organization or entity that develops a project or activity on a territory that causes compulsory displacement, resettle people to reduce the risk of impoverishment of the displaced and the deterioration of the quality of life of the people who will continue to live in the place.
S08: Working Conditions and Training	<ul style="list-style-type: none"> ▪ CAF ensures the voluntary, dignified and just work of the people, and that workers have the right to safe and healthy working conditions, through prevention and control of diseases and accidents, and the elimination of factors and conditions that put in danger the health and safety of workers. CAF does not finance projects that involve the direct or indirect exploitation of minors. In addition, CAF promotes the training of workers in the operation it finances.
S09: Gender Equity	<ul style="list-style-type: none"> ▪ CAF promotes gender equity in the operations it finances. For this, it demands in operations that finance there is no gender discrimination, women's access is encouraged to positions of decision and equal remuneration for men and women in similar positions, as well as the positive differentiation towards women who are in a situation of accentuated vulnerability, risk or inequality.

Source: CAF 2016a

4.2. WWF

WWF's⁴ safeguard policies require that any potentially adverse environmental and social impacts be identified, avoided or mitigated. The safeguard policies that are relevant to this program are as follows.

a) Policy on the Protection of Natural Habitats

WWF supports and applies the precautionary approach to its programs and programs. Thus, where there are threats of serious or irreversible damage, lack of full scientific certainty will not be used as a reason for postponing cost-effective measures to prevent environmental degradation.

b) Involuntary Resettlement Policy

This policy is "used to assess, address and monitor potential restrictions on resource access and use and the involuntary resettlement impacts of proposed programs. The Community Rights and Resources Policy also includes measures to avoid or minimize involuntary resettlement and to help ensure that program-affected people improve or at least regain their standard of living" (pp 14).

c) Indigenous Peoples Policy Introduction.

"Many of the remaining areas of high biodiversity and critical ecosystems that provide services coincide with lands owned, occupied and/or used by Indigenous Peoples (IP). WWF is engaged with Indigenous Peoples in a variety of ecosystems and capacities, from community work to support the sustainable and traditional use of medicinal plants and animals to working with Indigenous groups in the management of traditional lands to support the conservation of biodiversity and ecological processes that sustain their lives and livelihoods" (pp 18).

d) Standard on Stakeholder Engagement

This standard on stakeholder engagement was developed in 2018 and ensures that WWF is committed to meaningful, effective and informed stakeholder engagement in the design and implementation of all programs. Effective stakeholder engagement can contribute significantly to successful program design and implementation, while enhancing the social and environmental sustainability of programs and increasing program uptake. Stakeholder consultations provide input to, among other things, social and environmental program evaluation(pp24).

e) Pest Management Standard

Ensures that, in any program that applies or promotes the use of pesticides, environmental and health risks associated with pesticide use are minimized and managed, and that sound pest management is promoted and supported in a safe, effective and environmentally sound manner (pp 20).

4.3. FAO⁵

These Environmental and Social Management Guidelines (ESMG, GES in Spanish) are important for realizing FAO's vision for sustainable development and they establish guidelines for FAO headquarters and decentralized offices to manage environmental and social risks in the organization's strategies, policies and field programs. FAO's vision,

⁴ Extracted from: "Políticas, Estándares y Procedimientos" (Policies, Standards and Procedures), WWF.

⁵ From: FAO, 2015.

strategic objectives, key principles to sustainability, and environmental and social standards provide a limit to FAO programs and projects.

FAO's environmental and social standards refer to the following fields:

- ESS 1: Natural resources management
- ESS 2: Biodiversity, ecosystems and natural habitats
- ESS 3: Plant genetic resources for food and agriculture
- EES 4: Animal (livestock and aquatic) genetic resources for food and agriculture
Agriculture
- EES 5: Pest and pesticide management
- ESS 6: Involuntary resettlement and displacement
- EES 7: Decent work
- ESS 8: Gender equality
- EES 9: Indigenous Peoples and cultural heritage

4.4. CFN

The CFN⁶ is the financial entity accredited to implement loans anticipated for the Program, which shall be implemented within the ESMS framework, in response to World Bank policies, which are aligned to and relate to the procedures of the other entities implementing the Program.

The standards applicable to this program include the following⁷:

- Environmental and Social Standard 1: Evaluation and management of environmental and social risks and impacts
- Environmental and Social Standard 2: Labor and working conditions
- Environmental and Social Standard 3: Resource use efficiency and pollution prevention and management
- Environmental and Social Standard 4: Community health and safety
- Environmental and Social Standard 5: Land acquisition, restrictions on land use and involuntary resettlement
- Environmental and Social Standard 6: Biodiversity conservation and sustainable management of living natural resources
- Environmental and Social Standard 7: Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities.
- Environmental and Social Standard 8: Cultural Heritage
- Environmental and Social Standard 9: Financial Intermediaries
- Environmental and Social Standard 10: Stakeholder engagement and information disclosure

4.5. Comparative Analysis of Safeguards Alignment

Considering the dynamics of each organization and their guidelines and requirements, a table is introduced herein summarizing the alignment of the various standards and safeguards applicable to this Program: Interim environmental and social safeguards of the Fund (Performance standards of the International Finance

⁶ [Sistema de Gestión Ambiental y Social \(SGAS\) de los Componentes 2b, 2c Y 3 del Proyecto de Acceso a Financiamiento Productivo para Micro, Pequeñas y Medianas Empresas https://www.cfn.fin.ec/wp-content/uploads/downloads/2020/04/banco-mundial/8-dir-017-2021-Sistema-de-Gestion-Ambiental-y-Social-SGAS.pdf](https://www.cfn.fin.ec/wp-content/uploads/downloads/2020/04/banco-mundial/8-dir-017-2021-Sistema-de-Gestion-Ambiental-y-Social-SGAS.pdf)

⁷ [Environmental-Social-Framework-Spanish.pdf \(worldbank.org\)](https://www.worldbank.org/Environmental-Social-Framework-Spanish.pdf)

Corporation)⁸ (Adopted by decision B.07/02 (c). Adopts the interim environmental and social safeguards to identify, measure, and mitigate environmental and social risks based on IFC standards; will remain in effect until the Fund develops its own standards), CAF Environmental and Social Safeguards⁹, WWF's Environmental and Social Safeguards Framework¹⁰ and FAO's Environmental and Social Standards¹¹– partners upon implementation.

Table 2: Safeguards Alignment Chart / Preliminary Analysis

SAFEGUARDS ALIGNMENT CHART / PRELIMINARY ANALYSIS					
GCF	CAF	FAO	WWF	CFN	APPLICABLE
ESS 1: Assessment and Management of Environmental and Social Risks and Impacts.	S01: Environmental and Social Assessment	ESS1: Natural Resources Management	Standard on Community Stakeholder Engagement	Evaluation and management of environmental and social risks	Yes / High
	<p>Preliminary Analysis</p> <p>This document is part of the social and environmental assessment process, which also includes an appropriate and timely information socialization process. A communication process with the beneficiary groups is also provided.</p>				
ESS 2: Labor and Working Conditions	S08: Working conditions and training	ESS7: Decent work	Indigenous Peoples and cultural heritage	Labor and working conditions	Yes / Low
	<p>Preliminary Analysis</p> <p>The entire staff working under the Program will abide by the provisions of work laws, working hours, and fair pay offering equal opportunities for men and women, mainly equal pay for equal jobs.</p> <p>Also, and considering ethnic and cultural diversity of the islands, a sensitization process for the staff on interculturality is anticipated to be held.</p> <p>All of the employees of the Programme are required to have a Galapagos Temporal Permit which is given by the CGREG.</p> <p>The Programme by the implementation of the Environmental and Social Management Plan will ensure that; all employees have a fair treatment, non-discrimination, equal opportunity; promote a good worker–management relationship; protect workers, in particular those in vulnerable categories; promote safety and health; and avoid use of forced labour or child labour.</p>				
ESS 3: Resource Efficiency and Pollution Prevention.	S04: Prevention and management of pollution	ESS5: Pest and pesticide management	Standard on Pest management		Yes / High
	<p>Preliminary Analysis</p> <p>The Programme activities may generate wastewater and/or solid waste that would end up in water bodies.</p>				

⁸ <https://www.greenclimate.fund/document/interim-environmental-and-social-safeguards-fund-performance-standards-international>

⁹ <https://www.caf.com/media/30035/salvaguadas-ambientales-y-sociales.pdf>

¹⁰ https://wwf.panda.org/wwf_news/?351401/WWFs-Environmental-and-Social-Safeguards-Framework

¹¹ <https://www.fao.org/environmental-social-standards/en/>

**SAFEGUARDS
ALIGNMENT CHART / PRELIMINARY ANALYSIS**

GCF	CAF	FAO	WWF	CFN	APPLICABLE
	<p>Investments that potentially have wastewater issues are the Fishery/Seafood Enterprises, Livestock Farms, Agro-Processing Plants/Facilities, Wet Processing Center for Coffee.</p> <p>Under the activities of Energy Generation, the disposal of discarded PV Panels both from the Conolophus Plant and the Roof-mounted PVs at of the GCCL, as well as from the beneficiaries of the Micro PV financing scheme which targets to benefit some 200 beneficiaries.</p> <p>Integrated Crop Management (ICM) is a basic strategy that will allow the development of a healthy agricultural system resilient to climate change. ICM will be incorporated into daily management of the production systems, through technical assistance, monitoring and adaptation cycle. The application of agroecological practices, ICM, will generate greater climate change adaptive capacity to the production system, by: (a) improved soil moisture and nutritional growing conditions, (b) increased agrobiodiversity into the agri-food productive systems, (c) increased the biodiversity and the organic material in soil, reducing pest and disease problems as a consequence of more resilient systems; (d) reduced impact of rainfall variability and droughts on yields and improved rainfall infiltration, minimum runoff, and soil erosion; (e) increased soil carbon sequestration.</p> <p>This practice will replace the use of synthetic fertilizers in at least 25% of the productive area in the implemented farms.</p> <p>The Program will promote the procurement, supply and use of biological control inputs (already used in Galapagos). Therefore, it will not result in the in the management or disposal of pesticide waste and pesticide contaminated materials, or any adverse effects to health and/or environment</p>				
ESS 4: Community Health, Safety and Security	S01: Environmental and Social Assessment	ESS7: Decent work	Standard on community health and security	Labor and working conditions	YES / Low
	S08: Working conditions and training				
	<p>Preliminary Analysis</p> <p>Project-related community health and safety risks may include: risks due to accidental and natural hazards, risks associated with structural elements (general infrastructure), community exposure to disease and other relevant health risks, traffic and road safety risks, risks of provisioning and regulating ecosystem services on community health and safety, risks present in conflict and post-conflict contexts, and risks associated with security arrangements.</p> <p>To anticipate and avoid adverse impacts on the health and safety of the affected community; and to safeguard personnel and property in accordance with relevant human rights principles; appropriate measures shall be designed, implemented and monitored to prevent or avoid any adverse impacts on community health, safety and security, where feasible, or minimized or mitigated, where avoidance or prevention are not feasible. The previous, will be included in the Programme by the implementation of the Environmental and Social Management Plan.</p>				
ESS 5: Land Acquisition and Involuntary Resettlement	S07 Population resettlement	ESS6: Involuntary resettlement and displacement	Standard on restriction of access and resettlement	Land acquisition, restrictions on land use and involuntary resettlement	YES / Low

**SAFEGUARDS
ALIGNMENT CHART / PRELIMINARY ANALYSIS**

GCF	CAF	FAO	WWF	CFN	APPLICABLE
	<p>Preliminary Analysis</p> <p>The Program does not anticipate resettlements or displacements of any kind.</p> <p>The Programme will not work in land acquisition. It will not result in any changes to tenure rights.</p> <p>For the previous, the ESMP will include the verification of legal documentation of ownership for land use in rural areas.</p> <p>The Conolophus Project will be developed in governmental land. the ESMP will include the verification of legal documentation of ownership and the delivery of land as asset of the project.</p>				
ESS 6: Biodiversity Conservation and Sustainable Management of Living Natural Resources	S02: Sustainable use of natural resources	ESS1: Natural Resources Management	Protection of Natural Habitats.	Biodiversity conservation and sustainable management of living natural resources.	YES / Low
	S03: Conservation of biological biodiversity	ESS2: Biodiversity, ecosystems and natural habitats ESS3: Plant genetic resources for food and agriculture ESS4: Livestock and aquaculture - genetic resources for food and agriculture	Policies on protection of natural habitats		
	<p>Preliminary Analysis</p> <p>There is the possibility of introduction of exotic species of plants that may turn out to be invasive.</p> <p>Possible encroachment into protected areas/forests</p> <p>However, the Program has objectives and results contributing to nature conservation.</p> <p>The Program includes natural resource management for fishing, agricultural and tourist-related activities.</p> <p>Agricultural producers with lands located in fragile areas will apply conservation practices depending on the physical, geographic, and climate specificities of their lands.</p> <p>Some agricultural activities, such as chemical pesticides, will not be applied in protected areas.</p> <p>For fishing, the increased use of efficient boats during activities will be promoted. Tourist-related activities will be subject to improvement through the use of clean energy.</p> <p>The Program will use species adapted to the islands ecosystems.</p> <p>The Program will not result in the degradation (biological or physical) of natural resources or undermine sustainable management practices that established by local regulations.</p>				

**SAFEGUARDS
ALIGNMENT CHART / PRELIMINARY ANALYSIS**

GCF	CAF	FAO	WWF	CFN	APPLICABLE
	<p>Agricultural farmers will apply conservation practices depending on the physical, geographic, and climate specificities of their lands. Agriculture activities will only take place in the area already dedicated for agriculture and will not be expanded in other areas. It will not affect natural habitats, decrease the biodiversity or alter the ecosystem functionality</p> <p>Potential risk of increasing the current impact on the surrounding environment for example by using more water, chemicals or machinery than previously will be prevented through technical training and permanent ESS risk and measures monitoring.</p> <p>The Program will no use an alien/exotic species which has exhibited an invasive behavior as it is forbidden by the Galapagos regulations and strictly monitored by the ABG. Seed for farmers will follow the local regulation for its distributions and use which will not represent a risk or disturb in the ecosystem.</p> <p>The Program will not introduce crops and varieties and will not provide seeds/planting material for cultivation previously not grown in Galapagos. On the contrary, it will allow access to quality seeds that are adapted to dry seasons and high temperatures. Community-based actions will explore, restore, preserve and distribute seeds, to recover and promote the use of existing cultivars resistant to different biotic changes generated by climate change. Biosecurity measures will be followed with ABG to facilitate seed use and provision considering the restrictions established for the islands.</p> <p>Silvopastoral systems will be promoted in existing livestock farms of Galapagos. Silvopastoral model in the islands, integrates an efficient management of invasive plants, mainly Psidium guajava, in the livestock production system (guava-grass-breeding association), since it is considered highly invasive in Galapagos and its eradication is not feasible. The silvopastoral systems seek to control the actual expansion of this particular alien species at lower density providing water and shadow facilities in guaranteeing the continuous production of the herd. Additionally, native trees species will be integrated in the landscape as generators of shade and ecological services and reduce guava density on farms.</p> <p>A monitoring system on emerging synergistic management and its effects on the Guava-Pasture-Breeding Bovine association will be implemented with the support of competent institutions. The monitoring process will be carried out after the first 6 months of activity implementation and will be conduct a monthly regular monitoring visit to ascertain the progress of activities</p> <p>For the previous, the ESMP will include the mitigation measures to ensure the protection and conservation of biodiversity; maintenance of benefits from ecosystem services; promote sustainable management of living natural resources; and integrate conservation needs and development priorities.</p>				
ESS 7: Indigenous peoples	S06: Safeguard - Ethnic groups and biological diversity	ESS9: Indigenous Peoples and cultural heritage	Standard on Indigenous Peoples	Indigenous communities	No
	<p>Preliminary Analysis</p> <p>Even though different inland ethnic groups have been identified living in Galapagos, as immigrants of Tungurahua. They are <i>not considered indigenous people properly of the Galapagos</i>.</p> <p>The Salasakas or Salasacas are one of the ethnic peoples of the Kichwa indigenous nationality of the Andes Region of Ecuador. Their main town is located in the Salasaca parish, Pelileo canton, province of Tungurahua.</p> <p>The "Ecuadorianization" of the Galapagos did not really begin until the 1940s with the progressive integration of the islands into the national territory through a policy that the State successively implemented along two lines. The first, during the 1940s and 1950s, confirmed Ecuadorian sovereignty over the archipelago through</p>				

SAFEGUARDS ALIGNMENT CHART / PRELIMINARY ANALYSIS					
GCF	CAF	FAO	WWF	CFN	APPLICABLE
	international treaties on the traditional use of this open space. Then, in the 1960s and 1970s, the State "fills this physical-legal area with social substance", as A. Moreano: it created the conditions for a more significant settlement of its island territory by developing a tourism economy capable of attracting migrants to the Galapagos, establishing institutions to accommodate them, and striving, through management plans, to make the whole area compatible with the conservation of the GNPS. ¹²¹³				
	They have been identified and were made part of the Program's initial consultation process.				
ESS 8: Cultural Heritage.	S05: Safeguard of cultural heritage		Standard on community health and safety	Cultural Heritage	No
	Preliminary Analysis				
	We have not found any cultural heritage specificity worthy of safeguarding in Galapagos.				
Engagement of stakeholders	Included within guidelines for safeguards		Stakeholder engagement and information disclosure	Yes	
	Across the different safeguard standards and the various partner institutions, stakeholder engagement processes have been defined at project design level and project implementation level. There is a document stating the steps to follow through the Stakeholder Engagement Plan.				
Gender policy¹⁴	S09 Gender equity	ESS8: Gender equity			Yes / High
	Preliminary Analysis				
	Given the scope of the program and the existing socio-cultural dynamics on the islands, as well as the identification of structural gaps between men and women within the tourism chain, gender relations are to be identified on each one of the links in the chain. Such exercise will allow to generate a plan of action to allow, on one hand, mainstream the gender approach, and on the other hand, contribute with affirmative actions to improve women's situation in the tourism's productive chain in view of climate change.				

¹² Galapagos: Los Primeros Habitantes De Algunas Islas <https://core.ac.uk/download/pdf/11021863.pdf>

¹³ Conservación Contra Natura: Las Islas Galápagos | Christophe Grenier <https://books.openedition.org/ifea/5534?lang=es>

¹⁴ <https://www.greenclimate.fund/document/gender-policy>

**SAFEGUARDS
ALIGNMENT CHART / PRELIMINARY ANALYSIS**

GCF	CAF	FAO	WWF	CFN	APPLICABLE
<p>Revised environmental and social policy¹⁵</p> <p>Avoid, and where avoidance is impossible, mitigate the risks of SEAH to people impacted by GCF-financed activities</p> <p>ESS1, ESS2 and ESS4</p>	<p>S01: Evaluation and management of environmental and social impacts</p> <p>S08: Working conditions and training</p> <p>S09: Gender equity</p>	<p>ESS7: Decent work</p> <p>Administrative Circular PSEA - Zero Tolerance on Sexual Harassment and Sexual Exploitation Abuse</p>	<p><u>WWF Code of Ethics</u></p> <p><u>WWF Network Standard Discrimination- & Harassment-free Gender Policy</u></p> <p>Standard on community health and security</p>	<p>Labor and working conditions</p>	<p>YES / Low</p>

¹⁵ <https://www.greenclimate.fund/document/revised-environmental-and-social-policy>

**SAFEGUARDS
ALIGNMENT CHART / PRELIMINARY ANALYSIS**

GCF	CAF	FAO	WWF	CFN	APPLICABLE							
	<p>Preliminary Analysis</p> <p>Given the scope of the program and the existing socio-cultural dynamics on the islands the executing entities of the Programme with the CGREG will carry out under a common approach the implementation of the Programme under a <i>Programme Sexual Exploitation, Abuse and Harassment Plan</i> “PSEAH Plan” complying the principles and requirements provided by the ESS standards and the ES Policy of the GCF.</p> <p>The PSEAH Plan must be designed and implemented considering the national institutional organizations on stakeholder engagement presented in Annex H, considering all “Mitigation Measures in the Prevention of Sexual Exploitation, Abuse and Harassment Management” of Table 6, all “Mitigation measures for management of environmental and social impacts and risks” related to SEAH of Table 5 and including the responsible specialists presented in Table 5 “Environmental and Social Management Plan” presented in this document. The PSEAH Plan should be design during the first 3 months of implementation of the Programme in conjunction with the Local Government and the EEs</p> <p>The common approach will meet the principles and requirements to provide the highest level of ES protection following the ESS standards and the ES Policy of the GCF.</p> <p>Guiding Principles for the highest level of protection (GCF SEAH):</p> <p>Zero-tolerance of SEAH. GCF has zero tolerance for all forms of SEAH in GCF-financed activities. Sexual Exploitation, Sexual Abuse and Sexual Harassment violate human dignity and have always been unacceptable behavior. SEAH is based on unequal relations and power dynamics resulting in a culture of discrimination and privilege. To give effect to the principle of zero-tolerance, GCF recognizes the imperative for Accredited Entities and GCF-financed activities to prevent and respond effectively to SEAH in a survivor-centred and gender-responsive way. This includes protecting persons, especially persons in vulnerable positions and situations, and survivors of SEAH in GCF-financed activities. These protections are essential to strengthen integrity and accountability throughout GCF;</p> <p>All the activities are committed to avoid, and where avoidance is impossible, mitigate the risks of SEAH to people impacted by GCF-financed activities. An initial risk assessment at the activity level is held to understand any risks or potential adverse impacts on women, men, girls, and boys with regard to SEAH.</p> <p>The Programme understands:</p> <ul style="list-style-type: none"> - Sexual exploitation means any actual or attempted action to exploit a position of vulnerability, differential power or trust for sexual purposes. It includes, profiting financially socially or politically from the sexual exploitation of another person. -Sexual abuse means an actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions. -Sexual harassment means unwanted sexual attention and advances (physical, verbal and non-verbal), sexual remarks, jokes, showing pornography, and causing a hostile work environment. -SEAH is that type of harm caused by and to <i>Stakeholders involved in the Programme</i> Funded Activities such as; staff, volunteers, other associates as well as beneficiaries presented in the table (without discrimination between women, men, girls and boys). <p><i>Table 3: Programme beneficiaries</i></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="text-align: center;">Component 1</td> <td style="text-align: center;">Component 2</td> <td style="text-align: center;">Component 3</td> </tr> </table>					Component 1	Component 2	Component 3				
Component 1	Component 2	Component 3										

SAFEGUARDS ALIGNMENT CHART / PRELIMINARY ANALYSIS					
GCF	CAF	FAO	WWF	CFN	APPLICABLE
	<ol style="list-style-type: none"> 1. Galapagos population 2. Galapagos Livelihoods <ul style="list-style-type: none"> ● Tourism value chain (hotels, restaurants, boats, logistics operators, commercial, services). ● Agriculture ● Small-scale fisheries Other: Educational and sport centers Office, residential and private buildings 3. Local Financial Institutions 4. Conolophus tender winner; Gransolar/Total Eren consortium (beneficiary of the Loan Agreement) 		<ol style="list-style-type: none"> 1. Galapagos Livelihoods <ul style="list-style-type: none"> ● Agriculture ● Small-scale fisheries ● Tourism (hotels, restaurants, boats, logistics operator). 		<ol style="list-style-type: none"> 1. Main governmental institutions. 2. Galapagos Livelihoods <ul style="list-style-type: none"> ● Agriculture ● Small-scale fisheries ● Tourism (hotels, restaurants, boats, logistics operator). 3. Education sector (youth, schools, universities).

4.6. Summary of objectives and focus areas of the gender action plan

The gender analysis and action plan document pertains to Annex 6 of the documents defined for the generation of a Funding Proposal for the Green Climate Fund. The program under development is called “Climate Change: The New Evolutionary Challenge for The Galapagos”.

The purpose of this document is to show and address the gender specificities in the Galapagos as regards livelihoods of the Galapagos population. It seeks to identify structural gaps limiting active participation of women in terms of livelihoods, including farming, fishing and tourism.

The current document has been elaborated in two different moments; in 2019 and after a mission held during the last week of November 2021.

The first field trip brought a Gender Consultant to two of the islands, Santa Cruz and San Cristóbal. During the second visit the project team, among which where Gender Experts from CAF, FAO and WWF’ staff, was based in Santa Cruz but held workshops with people from three islands, Santa Cruz itself, San Cristóbal and also Isabella, which shows several different social dynamics, slight differences in its gender relations and specific productive and environmental challenges. Through several bilateral interviews, two general gender workshops and a specific rural women-entrepreneurs meeting we reached local authorities, representatives from civil society, decision-makers of financial institutions, women leader, workers and producers of each of the livelihoods targeted by the project. The raw materials from a first systematization of the workshops are presented as Annex IV.

Of course, the COVID-19 Pandemic also marked an inflection in all activities, dynamics, attitudes and perceptions of the population. The particularities on the pandemic impacts on Galapagos’ society and gender regime can be mostly attributed to two features: its high dependence on tourism and its isolation.

As above mentioned, the first version of this gender analysis was conducted and referred to two of the Galapagos Islands, most precisely Santa Cruz and San Cristóbal, considered to be among the world's most renowned natural sites and with greatest conservation status. These islands hold near 95% of their original species, 97% of their land surface, and 100% of their marine area, and have been declared protected areas (González, et.al, 2008). However, the islands face significant challenges: i) reducing their reliance on fossil fuels, ii) reducing their population vulnerability and that of the ecosystems in the face of climate change adverse impacts.

Galapagos Is politically organized into 3 cantons and 5 rural parishes. There are small towns that have a high percentage of basic services. For example, electricity coverage is almost 100%, only 3% of the inhabited islands does not have electric coverage. Also, in terms of energy, 16% comes from renewable sources.

In this context, we will work on the gender analysis, describing in detail the different groups of actors and their gender dynamics¹⁶.

The document contains:

- a. The summary of the program and its extent for each component.
- b. Objectives of the gender analysis and action plan
- c. The section after that introduces the document methodology.
- d. There follows the analysis itself, in section 1, introducing the national and international regulatory legal framework ensuring women's rights.
- e. A section with the gender evaluation.
- f. And the GAP itself

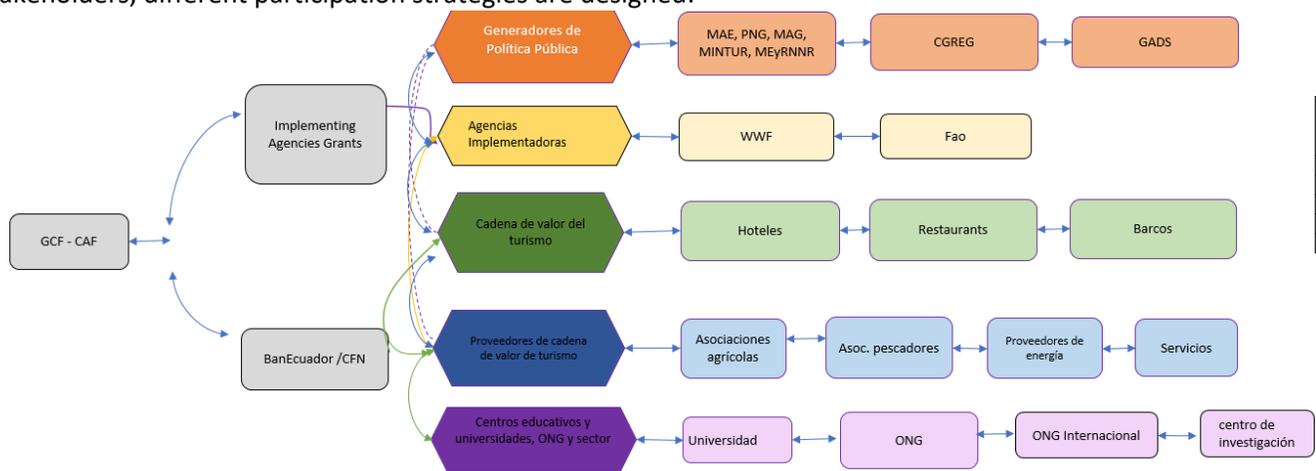
¹⁶ The gender analysis focused on women in Galapagos because, according to the baseline data, the greatest gender gaps are among women. They have the least access to health services, education, job opportunities, land ownership, among others.

SECTION 5: Stakeholder Engagement Plan

This section describes the key stakeholders related to the design and implementation of the Program, and it directly relates to the stakeholder engagement annex.

5.1. Analysis of key stakeholders

For stakeholders engagement during the program, it is anticipated to incorporate the different groups of stakeholders so as to engage them and so that program’s executing parties can learn their needs and receive feedback throughout implementation. Depending on the engagement and interest level of each one of the key stakeholders, different participation strategies are designed:



Next, there follows the detail of the stakeholder analysis:

Main stakeholders	Role	Connection with the program
State institutions		
Ministry of Environment, Water and Ecological Transition (MAATE)	The Ministry of Environment, Water and Ecological Transition is the State agency seeking to ensure a sustainable model of development, environmentally balanced and respectful of cultural diversity, conserving biodiversity and the capacity of natural regeneration of ecosystems, and ensuring satisfaction of the needs of present and future generations This is the State agency responsible for designing environmental policies and coordinating strategies, programs and projects of ecosystem conservation and sustainable use of natural resources. It promotes participation of all social stakeholders in environmental management through coordinated work to contribute to consolidate the State’s capacity and the capacity of sectional governments for the democratic and decentralized management of the environmental agenda, while engaging different stakeholders - universities, research centers, and	The MAATE is a key actor being the governing institution responsible for environmental and biodiversity conservation policies.

NGOs.

This State department has several under-secretariats and national directorates which have direct action and participation in Galapagos. Within the MAAE, the Under-Secretariat of Climate Change is responsible for monitoring the planning and execution of policies, as well as for programming activities and practices around climate change adaptation and mitigation. Also, it is responsible for the continuance of multilateral agreements and serves as focal point of climate change communications, as its functions include enabling implementation of mechanisms for transfer of technologies, financing and communication.

This under-secretariat comprises (a) the National Directorate of Climate Change Adaptation, and b) the National Directorate of Climate Change Mitigation. Both are responsible for sensitizing and training in terms of climate-resilient practices. Both try to influence politically in the regulatory and institutional framework. In this regard, its functions are to reduce social, economic and environmental vulnerability in face of climate change impacts. More specifically, the National Directorate of Climate Change Mitigation is responsible for consolidating information to generate mitigation related public policies, and to reduce Greenhouse Gas (GHG) emissions and increase carbon sumps in strategic sectors.

There is also the Under-secretariat of Natural Heritage responsible for the National Forestry System (SAF, in Spanish), which registers forestry stakeholders, issues forest management and wood circulation licenses nationwide to conduct the control of that sector. It is also entrusted with the Biodiversity Information System (SIB, in Spanish) whereby tour operators get their licenses, tour operation patents (“patentes de operacion turistica”) are requested and generated, protected areas management effectiveness is evaluated, information is provided on financial management of protected areas, and wildlife possession and management centers are handled. The State Natural Areas Program (PANE, in Spanish) is responsible for building or revamping public use or administrative infrastructure and for physically outlining the protected areas for an optimal rendering of services, and for physically consolidating protected areas and implementing an effective management model of top priority Protected Areas with a view of

	<p>optimizing or economizing resources of the Ministry of Environment. It is also responsible for meeting the social and economic demands of natural areas within PANE through sustainable tourism. Furthermore, it is entrusted with improving financial sustainability of PANE and promoting sustainable development of the communities living within, or in the areas of influence of, protected areas.</p> <p>The National Biodiversity Directorate and the National Forestry Directorate fall under its sphere.</p>	
Ministry of Agriculture and Livestock (MAG)	<p>The MAG is the governing entity of the farming sector, responsible for generating and promoting public policies for commercial and family agriculture, and for coordinating financial and non-financial services to enable the development of the above processes. In Galapagos, through the Provincial Agricultural Directorate, its role is to strengthen the livestock sector in cooperation with public and private entities, leaders of livestock associations, independent farmers, research and conservation institutes, non-governmental organizations. Chief among the recently developed campaigns and programs, there is the Local Consumption Campaign, with the support of Conservation International. Another recent campaign is “Yo Prefiero Producto Local” (“I prefer local produce”), developed together with Conservation International Ecuador (CI), officially campaigning for natural, healthy and fresh produce.</p>	<p>The MAG is a key institution to enhance the results of the production value chain with emphasis on sustainable agriculture.</p>
Ministry of Electric and Renewable Energy (MEER)	<p>This is the governing and planning entity of the electricity, renewable energy, atomic energy and energy efficiency sector. It is entrusted with developing, managing, and evaluating the energy and mining public policy subject to the institutional strategic directives and within the legal framework in force. This department seeks to promote the sustainable development and use of energy and mining resources, with social and environmental responsibility, through the formulation, execution, monitoring and evaluation of public policies.</p>	<p>The MEER is a key institution to enhance the results of component 1 related to sustainable energy.</p>
Governing Council of the Special Regime of Galapagos (CGREG)	<p>The Governing Council is the entity responsible for the province’s administration, territorial planning and land management, resource management and organization of activities conducted in the Galapagos, province-wide, while guaranteeing conservation of the natural heritage. The Galapagos Islands constitute a Special Regime based on reasons of conservation and specific</p>	<p>The CGREG is one of the main stakeholders at the local level because of the planning involved in the change of matrix, in the strengthening of sustainable tourism and in the improvement of life quality of the population in the context of the pandemic.</p>

	<p>environmental characteristics. This archipelago is politically and financially run by the Governing Council, to attain integrated management of its population centers and its protected areas, to achieve balance in terms of mobility and residence of visitors and inhabitants.</p>	
<p>Galapagos National Park</p>	<p>The Galapagos National Park is the institution that administers the two protected areas of the archipelago: the national park and the marine reserve, which have over 330 park rangers working in their seven directorates including Ecosystems, Public Use, Environmental Management, Education and Social Participation, Planning, Legal Advise, and Financial Administration, in the island of Santa Cruz, plus two Decentralized Technical Units in San Cristóbal and Isabela, and a Technical Office in Floreana. Both protected areas are administered by the Galapagos National Park Directorate, subject to the Organic Law of the Special Regime of Conservation and Sustainable Development of the Galapagos Province. In Galapagos, only five islands have some form of human settlement, which are, typically, the largest islands of the archipelago, and which have natural resources to sustain life and development of the communities in the place. To improve the management of the protected areas, the Galapagos National Park Directorate has established land management zoning dividing the national park in terms of conservation status and capacity to sustain some human activities. This way, the 330 islands, islets and rocks have been grouped into:</p> <ul style="list-style-type: none"> - Absolute Protection Zone, covering pristine or almost pristine areas, free of human-made impacts known; - Ecosystem Conservation and Restoration Zone, which covers areas with some degree of alteration, with or without presence of introduced species or human impact. - Impact Buffering Zone, comprising the peripheral areas of the national park with significant degree of alteration, located in the surroundings of urban or farming areas. <p>The current director of the Galapagos National Park (DPNG), appointed by the MAE, is Jorge Carrión, who had previously been appointed to the director's office</p>	<p>The PNG has specific policies for biodiversity conservation. Under this approach, work is conducted towards the achievement of Component 2: Resilience strengthening of Galapagos livelihoods. And Component 3: Sustainability mechanisms for climate resilience and low-emission livelihoods.</p>

	of Environmental Management, and who has worked as a technical expert in this institution since 2012.	
ABG	The Agency of Regulation and Control of Biosecurity and Quarantine of Galapagos (ABG) reports to the Ministry of Environment, and its mission is to control, regulate and reduce the risk of introduction and scattering of alien species through any means as may endanger the islands' biodiversity, local economy and human health.	The PGN has specific policies for biodiversity conservation. Under this approach, work is conducted towards the achievement of Component 2: Resilience strengthening of Galapagos livelihoods. And Component 3: Sustainability mechanisms for climate resilience and low-emission livelihoods.
Ministry of Tourism	Its objective is to promote tourism competitiveness through participatory and consensus-built processes to position tourist-related activities in the strategic center of the economic development in Ecuador through a decentralized, effective and efficient management model.	The MINTUR is key to positioning sustainable tourism and the possibility of generating certification under components 1 and 3.
Governing Council of the Special Regime of the Province of Galapagos, CGREG.	According to Resolution 031-CGREG-21-07-2020, the CGREG has the power to "Issue ordinances, agreements and resolutions in the sphere of action of the Governing Council;" "The National Development Plan is the instrument governing all public policies, programs and projects; programming and execution of State budget; investments and assignment of public resources; coordination of exclusive powers between the central State and the decentralized autonomous governments. The enforcement of the National Development Plan shall be mandatory for the public sector and shall be guiding in nature for the rest of the sectors."	The CGREG is a key stakeholder to generating and implementing energy efficiency, clean energy and sustainable production policies. It is also a key stakeholder as it develops policies that allow generating initiatives to tend to the needs of the local population and their livelihoods.
Isabela GAD San Cristobal GAD Santa Cruz GAD	Positive, in terms of generation of planning documents in a participatory manner (PDOT or Land Management and Development Plans, budgets, and other participatory planning instruments for management of urban areas of the islands).	Positive influence, interested in improving their capacities to address climate change issues, and in supporting increased resilience of the population.
Stakeholders connected to livelihoods		

Hotels	<p>Tourism is one of the main economic activities of the archipelago. Presently, an average stay is estimated of 4,501 daily tourists and the tourist arrival dynamics at Galapagos is estimated to maintain a constant annual growth of 7,066 visitors (2015-2020 Galapagos Plan, p.91.)</p> <p>“Even though the analysis of the economically active population, province-wide, shows 1,163 persons related to the categories of lodging activities and food service (INEC, 2010), the figures of the Ministry of Tourism as of 2014 show that direct jobs generated by tourism amount to 2,894, 70.7 % of which are in Santa Cruz (2,046 jobs), 17.7% are in San Cristóbal (512 jobs), 11.1% are in Isabela (321 jobs) and 0.5% are in Floreana (15 jobs).” (Plan Galápagos 2015-2020, 93, 94).</p> <p>According to the Tourism Observatory of Galapagos, there are 864 regulated businesses in the islands’ system and 3962 direct jobs related to tourism in the area.</p>	<p>Key to reducing emissions in the tourism chain. Their participation and commitment are key to achieving results.</p>
Restaurants		
Waterborne transport		
Airborne transport		
Non-governmental organizations		
Charles Darwin Foundation	<p>The Charles Darwin Foundation for the Galapagos Islands (FCD in Spanish) is an international, non-for-profit, scientific organization. The FCD has worked in Galapagos since 1959 under an agreement with the Government of Ecuador with a vocation for maintaining close collaboration with the governmental institutions, providing scientific knowledge and technical assistance to ensure conservation in Galapagos.</p>	<p>Strategic partners for the achievement of the program results.</p> <p>Several NGOs identified are implementing initiatives for ecosystem conservation and restoration as well as initiatives</p>
Conservation International	<p>This is an international, non-governmental organization. Since 2004, CI-Ecuador has developed initiatives for land and sea ecosystem conservation of the Galapagos Archipelago. “Galapagos is a living natural laboratory to study life-sustaining evolutionary and ecological processes of our planet. Natural resources of the islands are the cornerstone for local development of residents mainly devoted to tourism, artisanal fishing and agricultural production” (Galapagos - conservation.org)</p>	
Island Conservation	<p>Island Conservation is a non-for-profit organization with the mission of preventing species extinction by removing invasive species from islands. That is why, Island Conservation has devoted efforts on the islands with species classified as Endangered and Critically Endangered in the UICN Red List. In close collaboration</p>	

	with local communities, governments’ management entities and conservation organizations, Island Conservation develops plans and removes alien invasive species, while conducting field research to document the work’s benefits and to inform on future programs.	for improving the population’s life quality.
HEIFER Foundation	Heifer International is a worldwide non-for-profit organization working “to end hunger and poverty through sustainable community development based on values.” It has been in Ecuador since 1993, and their approach is to support and defend small scale (“campesino”) farming processes. In Galapagos, and in the rest of the country, they have promoted the implementation of sustainable agroecological practices as well as the management of local agro-food systems. In 2016, Conservation International Ecuador (CI-Ecuador) signed a Cooperation Agreement with the Heifer Ecuador Foundation (Heifer Ecuador) to design a sustainable agriculture model for Galapagos that fits the ecological conditions of the islands. The proposal consists in promoting local production - based on a participatory approach - to ensure environmental care and human welfare. In the beginning, a pilot initiative will be implemented in the island of Santa Cruz, in close cooperation with the Provincial Directorate of the Ministry of Agriculture, Livestock, Aquaculture and Fishing (MAGAP), with the purpose of replicating the model and scaling up its geographical extent to other populated islands of the archipelago. This will be a participatory process engaging local communities to ensure effectiveness.	
Intercultural Outreach Initiative (IOI) Foundation	“The IOI foundation is a transnational nonprofit organization that empowers isolated communities to grow sustainably and responsibly through the support to programs developed by local institutions through financial and technical assistance.” Part of their offices and activities are in the island of Isabela, where their goal is to “create a model within the Galapagos archipelago providing strategies of support to the local community to reach a profitable, ecologically sustainable and socially stable economy.” They are focused on promoting volunteer work in conservation, education and social development.	
Providers from the tourism chain		
Agricultural producers and	They are the main beneficiaries of the program. The local population is who will implement the bio-	They are the main beneficiaries of the program. The local

farmers (“finqueros”)	enterprises and the strengthening of sustainable production models to maximize food sovereignty and the tourism chain.	population is who will implement the bio-enterprises and the strengthening of initiatives to reduce climate change impacts on local population, resilience and sustainable production.
Association of fishers	The main activities of small and large scale farmers include the growing of coffee, potato, cacao, and some vegetables and fruits. Farmers are grouped in the islands of Santa Cruz, San Cristóbal, Isabela and Floreana. According to the 2010 Population Census, farmers and skilled workers represented 4.3% of the archipelago’s population (Plan Galapagos 2015-2020, 86). There are two Centers for Bio-knowledge and Agricultural development (CBDA in Spanish) where farmers exchange knowledge and agricultural practices promoting appropriate crop use and management, set up by the CGREG.	
Civil Society Organizations (CSOs)		
Provincial Planning Assembly	CSOs in Galapagos mainly focus on conservation of diversity and environmental education.	The CSOs will connect to the program under Component 3. They have been in the area and their knowledge and connections will contribute to capacity building.
Frente Insular		
Cooperative of coffee growers		
CECFOR-FLOREANA		
Tri Team		
Colectivo MAGMA	The MAGMA organization helps guarantee women’s rights and eliminate violence against women.	
Academic institutions		
Central University of Ecuador, Catholic University of Santa Cruz, University of San Francisco de Quito, University of Loma Linda in Galapagos, Private Technical University of Loja, Yachay Tech University,	These academic institutions use the islands as “laboratory” for research, particularly their ecosystems and land and sea flora and fauna. In addition, young people have had their chances enhanced for professionalization and opportunities.	The academic institutions will contribute through an advisory committee mainly in connection with Component 3: Sustainability mechanisms for climate resilience and low-emission livelihoods.

Simón Rodríguez Technological Institute, ESPOL Polytechnic University		
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5.2. Stakeholder engagement process

The stakeholder engagement plan pertains to two processes. The first is related to the stakeholder engagement plan for the program’s design stage, and the second, to the recommendations for the engagement of stakeholders in program implementation.

Program design stage

The following mechanisms have been identified to enable engagement and active participation of the different stakeholders in the program:

a) Initial meeting for program kick-off, to allow stakeholders to learn the starting point of program implementation.

The program was launched at an initial meeting in June 2019. The meeting included key stakeholders and points of contact on the part of the client and the consultancy team. The meeting will also provide the opportunity for all stakeholders to learn the most up to date information on the program, work plan and task assignment, together with the identification of the main partners and beneficiaries of the program.

That meeting provided the foundations for future consultation as the program goes into implementation for the identification of key stakeholders from the beginning. At this meeting, the program, its approach and scope were introduced. The commencement of the program’s participatory design and timeline for completion thereof were mentioned. It was also sought to confirm the high level of interest in and commitment to the engagement of the municipal, provincial and national authorities across all program’s activities, and of the local stakeholders as well.

b) Initial meeting with local stakeholders

In October 2019, a set of meetings took place in Galapagos with authorities from the Decentralized Autonomous Governments (GADs) and with the Governing Council of Galapagos (CGREG). In addition, work was performed with local stakeholders, namely: civil society organizations (CSOs), Non-governmental organizations (NGOs), representatives of fishers, farmers and tour operators and hotel managers.

Some of the objectives of this activity included:

- To inform the stakeholders of the scope, components, results, and activities of the program; to create a space where potential adjustments could be made (procurement plan, work plan, supervision plan) to relevant aspects within time and cost constraints;
- To socialize the Green Climate Fund, the implementation process and information collection efforts going into program implementation, and socialization of the program annexes, particularly that of the Social and Environmental Safeguards Framework, and the grievance and complaint resolution mechanism;
- To present the main institutions connected with the program;

- To discuss the program's timeline for program implementation and clarify roles and responsibilities, with emphasis on support requirements for specific points of the program at the local level;
- To agree on ways of communication.

c) Technical meetings and other instruments for program design

The program has a rather wide scope and intends to understand and improve the local population's livelihoods in a climate change adaptation and mitigation scenario.

In this regard, additional activities were performed to gather information, which contributed to the identification of elements to address the specificities of the components.

The annexes include a summary chart with the instruments used to such end.

d) Program socialization

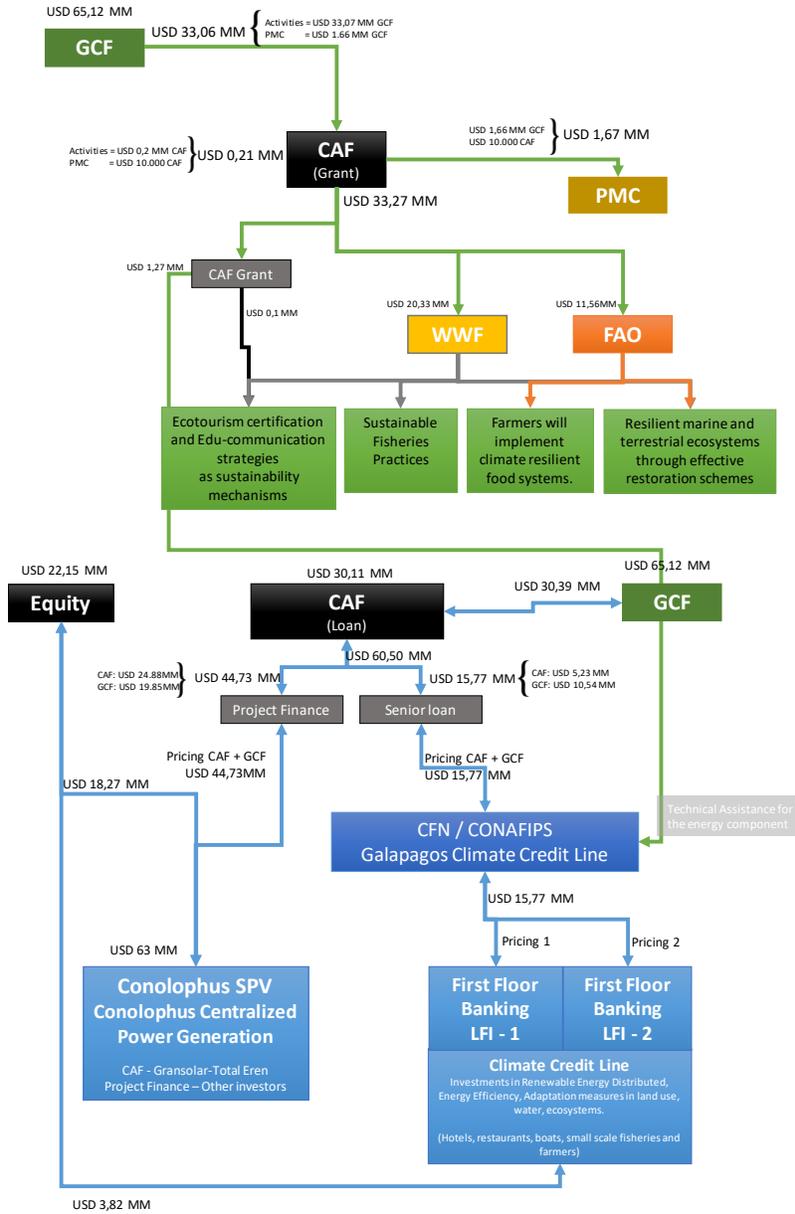
The program's final stage was introduced to key stakeholders through:

- Bilateral meetings with State institutions: MEER, Mintur, MAAE, ABG, PNG
- Program socialization meeting, to be conducted by the end of March.

5.3. Program implementation arrangements

For the Program implementation stage, it is necessary to provide institutional arrangements to ensure program governance, including an implementing agency and several partners. There follows a description thereof:

Operational Structure of the Programme



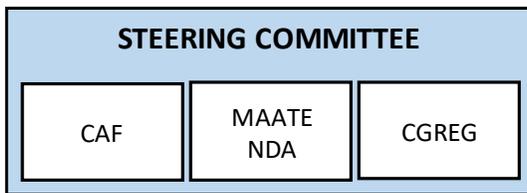
The program will have two levels of coordination:

- A level of strategic coordination that will include a Steering Committee and three Technical Committee, and
- An operational structure of the program that will be organized according to each of the 3 components, which in turn will meet under a transversal coordination of the program.

Strategic coordination level

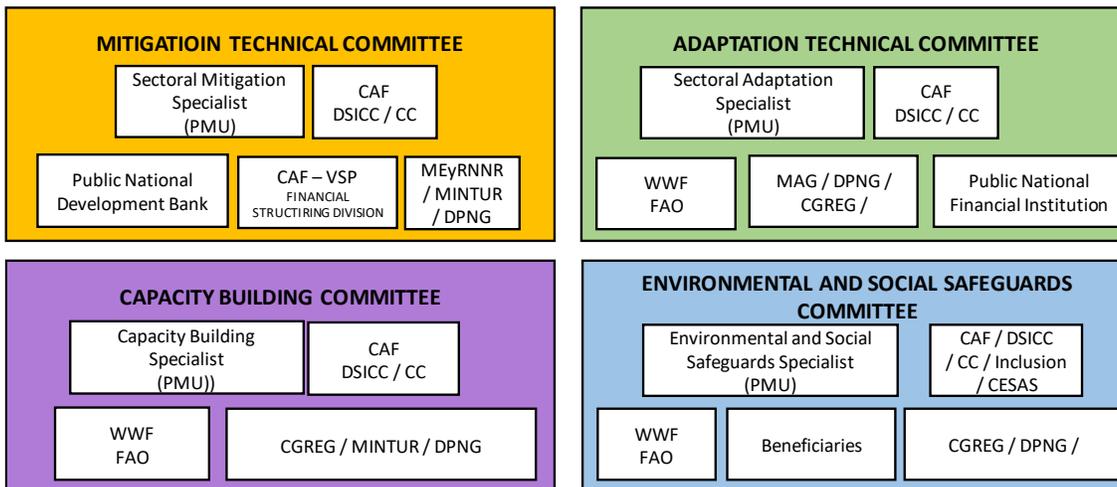
Programme Steering Committee

Maximum decision-making authority, consisting of high representatives of CAF, the Ecuadorian Ministry of Environment, Water and Ecological Transition and the Governing Council of the Special Regime for Galapagos (CGREG).



Sectoral Technical Committee

Committee responsible for presenting execution results to the Steering Committee. The Sectoral Technical Committee is made up of the Climate Change Secretariat at the MAATE, the Management and Promotion Division of Energy Efficiency Projects and the Expansion of the Generation and Transmission of Electrical Energy Division, and Elecgalapagos from the MEyRNNR, the Insular Zonal Division of the Ministry of Tourism, the Planning and management of the territory Division of the CGREG, the Galapagos National Park, the Provincial Agricultural Division of Galápagos of the MAG, the Climate Change Unit of CAF as Accredited Entity of the Programme, the Programme coordinators, CFN, CONAFIPS, FAO and WWF as Executing Entities.



CAF as executing entity is part has an active role in the four Sectoral Technical Committees. At the Mitigation and Adaptation Committees the Climate Change Coordination as part of the will act as technical supervisor working hand in hand in the committee. On the Environmental and Social Safeguards Committee two specialists of the Directorate of Sustainability, Inclusion and Climate Change will participate. The person from the Environmental and Social Evaluation and Monitoring Coordination is in charge of giving monitoring the good implementation of the Program safeguarding the Environmental and Social policy of CAF and the GCF. The person of the Social Inclusion and Gender Coordination will be in charge of safeguarding the good implementation of the Gender Action Plan of the Programme. For the Capacity Building Committee there will be a person in charge of the Education Coordination from the Directorate of Analysis and Evaluation Sustainable Development Technique. All of the technical team of CAF are part of the Sustainable Development Vice-presidency

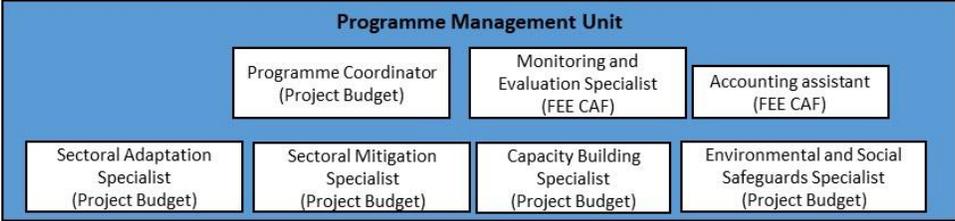
Operational coordination level

The Programme Management Unit (PMU) will be established in Galapagos and will have a dedicated team to guarantee all components and activities are carried out according to the Programme design. It will articulate with the monitoring and evaluation activities (covered by CAF as Accredited Entity) to ensure that all expected results will be achieved on time and within budget.

This PMU will have a Programme Coordinator, a Monitoring and Evaluation Specialist, a Sectoral Adaptation Specialist, a Sectoral Mitigation Specialist, a Capacity Building Specialist, an Environmental and Social Safeguards Specialist and an Accounting Assistant. The latter will be in charge of overseeing the implementation of the ESMF and the Gender Action Plan in liaison with CAF’s Coordination of Environmental and Social Assessment and Monitoring (CESAS) and CAF’s Gender Coordination. They will report to the Programme Coordinator. The coordinator and the mentioned specialists to be financed by the Programme budget.

The PMU will work closely with the Sectorial Business (private and public) and Administrative (Legal, Procurement, Human Resources, etc.) areas within CAF.

Principal Executives of the Private Sector and Public Sector that are already part of CAF for the management of intermediated programmes, will be assigned for this Programme.



5.4. Safeguards Plan implementation arrangements

For the implementation of a Safeguards Plan, there is Social and Environmental Safeguards Specialist.

This person is part of the operating team and will be responsible for:

- a. Adapting and evaluating the safeguards plan for appropriate implementation.
- b. Setting a specific calendar for the application of mitigation measures and reporting on achievement of results. Reporting will be every six months.
- c. Monitoring of consultants and contractors in the generation and implementation of management plans. In the case of subcontractors, it is necessary to agree on a reporting calendar depending on the duration of their participation in the project’s execution and on the activities entrusted to them.
- d. Generating and maintaining ties with the evaluation unit of CAF’s climate change area. Furthermore, it being the executing entity of component 1, it has the Manual of Loan and Capital Investment Processing, which provides a specific procedure for the sector to guide decision-making on the conceptual framework and the types of investment that can be supported by CAF as well as the possibility of ensuring that legal documents include, both in letter and in essence, the environmental and social conditions and the relevant budget set forth in the Environmental and Social Safeguards Framework.

5.5. Engagement of stakeholders in program implementation

Bearing in mind the diversity of stakeholders and the scope of the components, two platforms to engage stakeholders throughout the program are defined. Next, their detail follows:

Engagement space	Stakeholder group	Objective	Implementation time schedule
Program's advisory group	Universities Research centers NGO PNG Galápagos CELEC	Generate information to reflect on the adaptation and mitigation measures defined for the program.	Every six months, upon the end of year two.
Adaptation activities advisory platform	Farmers' organizations Fishers' organizations Civil Society Organizations	Identifying specificities in implementation of climate-resilient measures. Maximizing results in implementation of measures through exchange of knowledge. Contributing to the program's monitoring and transparency activities	Every six months, from year two
Mitigation activities advisory platform	Hotels Restaurants Boats Tour guides Tour operators	Identifying specificities in implementation of energy efficiency measures. Show lessons learned for the improvement of energy efficiency measures. Contributing to the program's monitoring and transparency activities	

SECTION 6: MANAGEMENT MEASURES

Even though the Program falls within the group of “high-risk” (A) programs because of the area where it is implemented - the Galapagos Islands - a clear social and environmental benefit under the Program is patent. To maximize benefits, reduce, minimize or eliminate potential negative impacts, mitigation measures are provided. In order to commence evaluation of the social and environmental dynamics, an initial assessment was conducted. Subsequently, the main environmental and social benefits and risks are analyzed, and lastly, the safeguards plan is introduced.

6.1. Safeguards evaluation

The program seeks to implement a multi-sectoral, cross-cutting climate-related initiative to catalyze a transformative change towards a self-sufficient insular system with low-carbon emissions and greater adaptive capacity to climate change and variability. The program anticipates a comprehensive approach combining ecosystem-based climate change mitigation and adaptation measures pointing at the tourism value chain as main driver of GHG emissions on the islands, since the islands are a highly vulnerable destination.

The assessment was conducted considering the objective, components, and the activities defined for the program. There follows the analytical chart proposed:

Exclusion criteria	Yes	No
Will the activities entail related facilities or will they generate cumulative impacts that would require a more detailed due diligence and management planning?	<input type="checkbox"/>	x
<p>The program has a pretty wide scope, connecting the entire tourism chain. That being said, the following is essential:</p> <p>a. For component 1, the construction of a solar energy power plant is expected. The plant will be located on the islands, with Santa Cruz - Baltra being the first one. The anticipated location of the site is an area where there was a military base first and then an airfield, in the past.</p> <p>On account of the foregoing, lesser environmental impacts are expected, as it is an area where there are buildings which will potentially be used for setting up the solar panels. The power generated in this place will contribute to a large extent to the energy demand identified for the Islands.</p> <p>One portion of the power generated will be directed to tourist related services and another portion, to the domestic use on the Islands.</p> <p>In addition, the generation of incentives and loans for the installation of solar panels and improved construction to reduce energy demand are expected.</p> <p>b. Regarding component 2, related to the food chain, sustainable and resilient agriculture will be promoted, as well as a reduced reliance on products from the mainland.</p> <p>c. As regards components 3 and 4,</p>		

Tourism may be considered an added stress factor. However, the nature and size of its impacts is different and lesser compared with the other stress factors, and is mainly related to unchecked tourism, which typically exceeds the load capacity and lacks planning of visitors spots management. In this scenario, tourist related activities in this document are deemed a sustainable practice based on the sustenance of Galapagos wildlife and healthy ecosystems. However, best practices will be taken into account to reduce as much as possible tourist related practices as part of the adaptation measures proposed.

Will activities entail cross-border repercussions, including those requiring greater due diligence and notice to the affected States?	<input type="checkbox"/>	x
No, the program is located in the Galapagos archipelago, 1000 km off the coast of Ecuador. This comprises thirteen large islands with a surface area of over 10 km ² , nine mid-sized islands with a surface area of 1 km ² to 10 km ² , and other 107 islets of small size.		
Will the activities adversely affect the working conditions and health and safety of the workers? Or will the activities potentially use vulnerable categories of workers, including women and children?	<input type="checkbox"/>	x
By working to steer tourism towards sustainability, work, health and safety of workers from hotels, restaurants, means of transport sectors are also guaranteed. Similarly with the promotion of sustainable production activities. In this scenario, affirmative action will be proposed for women to participate of the tourism chain.		
Will the activities potentially generate hazardous and contaminating waste, including pesticides? And will they contaminate land to the extent of requiring more studies on management, minimization and control, compliance with national and international standards of environmental quality?	<input type="checkbox"/>	x
Appropriate management is expected of the waste generated by the building of the solar power plant. Also, waste sustainable management will be promoted across the entire tourism chain, food chain, and ecosystem-based adaptation strategies.		
Will the activities entail the construction, maintenance and reclamation of critical infrastructure (such as dams, water reservoirs, coastal and river bank infrastructure) requiring further technical assessment and safety studies?	x	<input type="checkbox"/>
The infrastructure anticipated will incorporate all safety resources defined for this program through management plans.		

6.2. Potential Positive Impacts

Knowing the scope of the program, and the rationale behind it, connected with conservation, reduced emissions and implementation of measures to tend to specific environmental and social needs, potential positive impacts are:

Natural resources benefits:

- Agricultural diversity, soil and water resources protection.
- Appropriate management of residual waters
- Decrease uncertainty related to climate conditions: farmers, authorities and public officers will be timely informed of the potential conditions that could affect their crops, animals, investments, so that they can make informed decisions on their investments.
- Protect the nature-based tourism resource: by conserving biodiversity, these areas can become an attraction for tourists, which would increase economic benefits for local residents.
- Increasing resilience of people by protecting ecosystems: Healthy and well-functioning ecosystems enhance natural resilience to the adverse impacts of climate change and reduce people's vulnerability.
- This Program focuses on the restoration and conservation of ecosystems and on reducing the impacts of human activity.
- Maximization of knowledge for ecosystem integrated management and climate change adaptation activities.
- Protection of income of fishers through the protection of sea ecosystems: Scientific evidence suggests that the creation of the RMG has contributed to increasing yellowfin tuna and skipjack tuna productivity around the Galapagos through a trickle-down effect.
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Agriculture benefits:

- Increased climate change resilience of ecosystems and agroecosystems services at the scale of agricultural landscape.
- Transformation of agriculture towards sustainable and resilient agriculture.
- Chemicals use reduction
- To have space for product storage and handling.
- Restoration and reduction of environmental contamination
- Healthy food environment: The Program will promote food systems fostering a diversified, balanced and healthy diet for both the tourist and local population, mainly for children.
Water security: By conserving and protecting natural spaces, the islands' global water security is improved. This includes not only the agricultural sector, but also the supply of water for human consumption.
- Climate change losses reduction: The silvopastoral design provides multiple services to help farmers adapt to a more variable and extreme weather resulting from climate change. During severe droughts, livestock sustains high death rates due to unbearable levels of temperature and dehydration. High temperatures and low precipitation can also trigger grasses decay, leaving cattle without food.
- Sustainable agro-business models.

Social economy - Job creation benefits:

- Ownership of knowledge and capacities by the local population, more specifically, the potential for improving people's life quality.
- Having better and more income resulting from the strengthening of the tourism chain.
- Maximization of income through the strengthening of sustainable productive chains.
- Capacity generation in program related subjects.
- On the energy sector side, jobs will be created based on technological development, production, installation and maintenance. Besides the investments promoted through loans, the Program will provide specific capacity development for the creation of those new jobs.

- On the other hand, investments in land use typically create additional jobs, since the more efficient any surface unit gets, the more complex the systems get. Likewise, the agro-processing phases will be enhanced, which will create jobs. For example, the different stages of coffee agro-processing (wet processing, tasting, roasting) will create direct employment opportunities for the local population.
- The Program will promote the settlement of businesses within the framework of the Social and Solidarity Economy (SSE). Initiatives such as the promotion of coffee agro-processing within the framework of the Social and Solidarity Economy will distribute the economic gains among coffee growers, based on the effort they have invested to obtain high-quality gourmet products.
- Mobilized funding: The Program will mobilize 26.85 million dollars' worth of private investments/ private loans connected to the centralized photovoltaic plant, and at least 10% of the matching funds to be invested by the beneficiaries from the credit line.
- Local banks with capacity to channel green investments: identifying, administering, monitoring and informing climate change related loans (energy, land use, and new technologies for boats).

Gender co-benefits.

- Making women and their specific knowledge as regards tourism visible.
- Women's access to climate funding: The Program will demand the local banks to have gender strategies, policies or procedures, or else financial products aimed at women. Gender will be a priority criterion in credit lines, and specific training will be provided to women to foster their participation.
- Women farmers: The Program will reinforce women participation in the agricultural production, in terms of women's access capacity and of women's control over their agricultural resources.
- Women participating in training and workshops: Monitoring will be conducted on the number of women and men attending workshops, training, and the conferences supported by the Program. The list of attendants broken down per gender will be collected.
- The Gender Action plan ensures that cross-cutting measures related to gender are mainstreamed in all activities and in the Program's monitoring framework. Also, the Program's Environmental and Social Specialist must have the relevant training and knowledge gender-wise. This specialist will supervise the enforcement of the Gender Action Plan, will provide support for gender training and activities, and will accompany the Executing Entities in the enforcement of gender measures within the Program (for further information, see the Gender Evaluation and Action Plan, in Annex 6).

6.3. Potential Environmental and Social Risks

For program implementation, it is necessary to develop an environmental and social management plan, which will include specific measures for all program activities.

The following section analyzes the social and environmental risks depending on the Program's components and activities, including also specific measures to prevent and mitigate adverse environmental and social risks and impacts identified.

As previously argued, the program will only support initiatives with a low or moderate risk level and will not finance "category A" or high-risk programs. This refers mostly to component 1. It is likely for program-wide investments to have limited environmental and social impacts, which are typically site-specific and limited to the program's direct scope. Adverse impacts can be mitigated, prevented or managed using proven approaches

subject to a socio-environmental management plan including appropriate management or reduction of contamination with a proven history in Ecuador.

There follow examples of potential positive and adverse impacts resulting from investments in energy efficiency, renewable energy, food system, and sea and land ecosystem restoration, with the support of the program, together with potential mitigation measures.

Table 4. Mitigation measures for management of environmental and social impacts and risks

Activity Identified risks in accordance with GCF's E&SP ¹⁷ and Impact			
Activity	Identified risks in accordance with the E&SP	Scale	Mitigation Measures
1.1.1.1. Promotion of Centralized renewable energy generation	<ul style="list-style-type: none"> ▪ Inappropriate recycling of batteries containing potential environmental contaminants (lead-acid batteries, lithium batteries). This could lead to environmental contamination, as well as health and safety risks. ▪ Health and safety risks from equipment installation, inappropriate waste disposal. ▪ Inappropriate waste disposal practices could lead to high lifetime emissions. ▪ Informal workers, whose informality means they may either be more vulnerable to Gender-Based Violence and Harassment (GBVH) due to lack of contracts or that potential perpetrators may go unidentified due to lack of background checks. ▪ The project could generate bullying or harassment to women considering them not able to work on the energy sector. 	High	<ul style="list-style-type: none"> ▪ Environmental and Social Management Plan for appropriate waste management based on good practices (e.g. WHO guidelines on lead acid battery recycling)¹⁸ ▪ Enforcement of occupational health and safety (OHS) standards ▪ Awareness raising and trainings on best practices, protocols and other key considerations ▪ Life-cycle emissions can be reduced by utilizing appropriate technology decommissioning practices, supporting the recycling of parts possible (e.g. steel towers, plastics and fiberglass within wind energy turbines), to the greatest extent possible and based on good practices. ▪ E&S impact Assessment shall be delivered by the Concessionaire. ▪ Environmental License shall be delivered by the Concessionaire. ▪ Put in place the monitoring system in the PSEAH Plan at the highest levels for regular reporting on PSEAH ▪ Deliver periodic mandatory training on PSEAH under the PSEAH Plan to all stakeholders such as workers, including contractors, subcontractors and core suppliers, as well as relevant consultants, clients, governmental organizations in Galapagos. ▪ Design a PSEAH Plan to prevent, mitigate, investigate and remedy situations or acts perpetrated of sexual exploitation, abuse and harassment during the direct execution of activities related to the Programme, to be applied by AE, EEs and partners.
1.1.1.2. Distributed renewable power generation projects.	<ul style="list-style-type: none"> ▪ Inappropriate recycling of batteries containing potential environmental contaminants (lead-acid batteries, lithium batteries). This could lead to environmental contamination, as well as health and safety risks. ▪ Health and safety risks from equipment installation, inappropriate waste disposal. 	Medium	<ul style="list-style-type: none"> ▪ Environmental and Social Management Plan for appropriate waste management based on good practices (e.g. WHO guidelines on lead acid battery recycling)¹⁹ ▪ Enforcement of occupational health and safety (OHS) standards ▪ Awareness raising and trainings on best practices, protocols and other key considerations ▪ Life-cycle emissions can be reduced by utilizing appropriate technology decommissioning practices, supporting the recycling of parts possible (e.g. steel

¹⁷ <https://www.greenclimate.fund/sites/default/files/document/revised-environmental-and-social-policy.pdf>

¹⁸ Good practice example: WHO manual for control measures for lead-acid batteries:

<http://apps.who.int/iris/bitstream/handle/10665/259447/9789241512855-eng.pdf;jsessionid=FBF0AFCD3FBFAA6ADAD26B077818EB7F?sequence=1>

¹⁹ Good practice example: WHO manual for control measures for lead-acid batteries:

<http://apps.who.int/iris/bitstream/handle/10665/259447/9789241512855-eng.pdf;jsessionid=FBF0AFCD3FBFAA6ADAD26B077818EB7F?sequence=1>

Activity Identified risks in accordance with GCF's E&SP ¹⁷ and Impact			
Activity	Identified risks in accordance with the E&SP	Scale	Mitigation Measures
	<ul style="list-style-type: none"> ▪ Inappropriate waste disposal practices could lead to high lifetime emissions. ▪ Informal workers, whose informality means they may either be more vulnerable to Gender-Based Violence and Harassment due to lack of contracts or that potential perpetrators may go unidentified due to lack of background checks in the tourism, fishery, and agricultural sector in Galapagos. ▪ The activity could generate bullying or harassment to women because they don't comply with the financial requirements of the LFI to benefit of a GCCL loan. ▪ The activity could generate bullying or harassment to women considering them not able to work on the energy sector. 		<p>towers, plastics and fiberglass within wind energy turbines), to the greatest extent possible and based on good practices.</p> <ul style="list-style-type: none"> ▪ PV systems financed under this activity will result in minimum 80% reductions in GHG emissions and energy consumption based on current market analysis and baseline ▪ PV systems would comply with ESS Category B and C standards as included in the ESMF for the programme, and no PV system with Category A related ESS risks shall be financed under the activity ▪ The PV system must be a proven RE technology and must comply with the current regulation on equipment specifications and protection requirements ▪ Loans provided under this activity shall only be used to finance small scale solar PV systems with a capacity of up to 100 kW ▪ Each loan will have a financing threshold between USD 5,000 to 40,000 ▪ As part of the Grant for the LFI there is the development of a Web Platform Information Systematized Project Implementation. The LFI loan officers will be able to easily include the projects in the platform and assess the eligibility. E&S category: B or C (category A is not eligible) ▪ Put in place the monitoring system in the PSEAH Plan at the highest levels for regular reporting on PSEAH. ▪ Ensure with the LFIs that the GCCL has differentiated requirements taking into account gender.
1.2.1.1 Promotion of efficient energy consumption by the Galapagos' livelihoods	<ul style="list-style-type: none"> ▪ Inappropriate waste management/ disposal of cooling materials or industrial waste ▪ Health and safety risks due to inappropriate waste management/ disposal ▪ Health and safety risks from equipment installation ▪ Size of co-generation project may not be appropriately calibrated to the existing on-site agricultural waste. ▪ Income-earning opportunities for women through energy reduction consumption caused by energy efficiency products can produce, may also increase household tension and create community backlash 	Medium	<ul style="list-style-type: none"> ▪ ESMP for waste disposal/ management to ensure appropriate measures are adopted. Old equipment should be properly decommissioned, recycled and/or disposed of to avoid GHG emission leakages. ▪ Enforcement of occupational health and safety (OHS) standards ▪ Awareness raising and trainings ▪ Attention to project procedures for acquisition of additional waste in instances where additional waste is required to support co-generation investments. ▪ The activity will only replace energy efficient split air conditioners and refrigerants with inverter technology that must guarantee the highest range of the applied standard of Ecuadorian Technical Regulation – RTE 035-2009 ▪ The equipment must meet range A level of energy consumption according to RTE 035-2009 ▪ The refrigerant gas must not contain any agent that affects the Ozone layer and the global warming potentials must be minimal, such as R290, R22 Split A/C and R600a refrigeration.

Activity Identified risks in accordance with GCF's E&SP¹⁷ and Impact

Activity	Identified risks in accordance with the E&SP	Scale	Mitigation Measures
	<p>against women in areas where the perception is that they should not work outside the home.</p>		<ul style="list-style-type: none"> ▪ Only equipment that is compliant with Category B or C ESS risk categorization as set out in the programme's ESMF would be eligible to be financed under the activity ▪ Each loan will have a financing threshold between USD 300 to 10,000 ▪ Air conditioners financed under the activity must result in a minimum of 20% GHG emissions and 20% energy consumption reductions compared with baseline data and market analysis ▪ Refrigerators financed under the activity must reduce 15% of GHG emissions and 15% energy consumption compared with baseline data and market analysis. ▪ Life-cycle emissions can be reduced by utilizing appropriate technology decommissioning practices, supporting the recycling of parts possible (e.g. steel towers, plastics and fiberglass within wind energy turbines), to the greatest extent possible and based on good practices. ▪ As part of the Grant for the LFI there is the development of a Web Platform Information Systematized Project Implementation. The LFI loan officers will be able to easily include the projects in the platform and assess the eligibility. E&S category: B or C (category A is not eligible) ▪ Put in place the monitoring system in the PSEAH Plan at the highest levels for regular reporting on PSEAH.
<p>1.2.2.1. Technical Assistance facility for energy investments</p>	<ul style="list-style-type: none"> ▪ Develop wrong interpretation of the information generated. ▪ Local population may not learn about the program for production, trading and technical assistance oriented to sustainable production. ▪ Little sense of ownership by local financial institution. ▪ Don't include all stakeholders. 	<p>Low</p>	<ul style="list-style-type: none"> ▪ Enforcement of occupational health and safety (OHS) standards ▪ Awareness raising and trainings on best practices, protocols and other key considerations ▪ Sensitization campaigns and incentives to capitalize capacities and implementation of sustainable initiatives. ▪ Design a stakeholder engagement strategy for knowledge generation and management. ▪ Set up capacity-building spaces to introduce the potential of sustainable agricultural systems of sustainable fishery systems. ▪ Lay down stakeholders mapping to identify their potential and their negative practices
<p>2.1.1.1. Implement a capacity building program for governmental staff with practical information, knowledge and</p>	<ul style="list-style-type: none"> ▪ Extension programs and technical assistance delivered by public institutions and subnational governments do not meet the needs of local population ▪ Key stakeholders are not included in the capacity building program 	<p>Low</p>	<ul style="list-style-type: none"> ▪ Capacity building programs for governmental staff will emphasize technical knowledge so they can improve their extension program (S08). Furthermore, capacity building programs will pay special attention to gender training in order to respond to women's needs and interests (S09). ▪ Extension programs will be based on a long term vision through the implementation of Farmers Field Schools (FFS) model which is built on concepts of non-formal education and experiential learning education addressed to adults. FFS will promote

Activity Identified risks in accordance with GCF's E&SP ¹⁷ and Impact			
Activity	Identified risks in accordance with the E&SP	Scale	Mitigation Measures
training about climate change and climate resilient agricultural practices.	<ul style="list-style-type: none"> Dissemination of agricultural techniques and practices do not consider gender perspective and local conditions. Possible gender inequalities may arise if women and men are not given equal opportunities, for example for training programs, climate information interpretation and other project activities 		<p>agricultural practices based on local conditions to improve resilience in the agricultural areas of Galapagos and will take into account local knowledge and practical and technical demands from farmers (S08, S04)).</p> <ul style="list-style-type: none"> Due to the hands-on requirement of FFS, training activities will be carried directly on local farms selected, considering a culturally sensitive schedule. FFS supports farmer-farmer networking through the sharing of knowledge, problems resolution, alternatives found and resource sharing. Therefore, it will allow escalation of extension services through knowledge dissemination. The growing importance of women in agricultural activities leads to the adoption of gender sensitive techniques and practices (S09).
2.1.1.2. Install a hydro/agro-meteorological monitoring system to inform and tailor the information to the needs of vulnerable smallholder farmers.	<ul style="list-style-type: none"> Lack of information in temperature, precipitation, humidity, etc., hinders crop planning, as well as adaptive capacities of the rural areas to climate change. Insufficient technical knowledge to analyze and interpret information and lack of dissemination channels Bad practices and ignorance of water flows cause available water to be wasted 	Medium	<ul style="list-style-type: none"> At the same time as the installation of a hydro/agro meteorological monitoring system, training will be provided to government technicians and farmers to collect, analyze and interpret data in order to plan agricultural tasks and improve the management of crops, soil, and water (S08) Train technical staff for implementation of sensors and management of the information system. Under this sub activity, capacity building for farmers will take place to ensure that protocols are followed by all the key actors. Training sessions will be given by technical staff of INAMHI and GSC. Data will be available for different users, at different scales and platforms, including a web portal, a radio program and an app. To minimize water to be wasted, farmers will be trained, among other topics, in sustainable water management techniques and wastewater treatment systems will be built for the processing plants foreseen in the project (S04).
2.1.2.1. Develop a physical and knowledge network for conservation and use of phytogenic resources through in-situ and ex-situ conservation activities.	<ul style="list-style-type: none"> Develop wrong interpretation of the information generated. Don't include all relevant stakeholders Little sense of ownership by local population or local government concerning the Seed Banks Lack of interest by the various stakeholders in being a part to the capacity-building processes of Galapagos as a sustainable tourist destination Little awareness from local stakeholders as to the importance of agrobiodiversity use and conservationWeaknesses in the 	Low	<ul style="list-style-type: none"> Awareness raising and trainings on best practices, protocols and other key considerations Participatory research aiming at identifying genetic materials involving farmers Sensitization campaigns and incentives to capitalize capacities and implementation of sustainable initiatives. Design a stakeholder engagement strategy for knowledge generation and management. Set up capacity-building spaces to introduce the potential of sustainable agricultural systems Development of protocols for quality control and quality assessment processes, to ensure compliance with the minimum quality and biosecurity standards Capacity building process and discussions on legal frameworks

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Activity	Identified risks in accordance with the E&SP	Scale	Mitigation Measures
	<p>availability and application of regulatory frameworks</p> <ul style="list-style-type: none"> Sexual abuse of a position of vulnerability and position of power could happen. 		<ul style="list-style-type: none"> Biosecurity issues will be promoted with ABG to facilitate seed interchange considering the restrictions established for the islands. Put in place the monitoring system in the PSEAH Plan at the highest levels for regular reporting on PSEAH.
2.1.2.2. Implement an integrated climate-resilient crop management system at farm level.	<ul style="list-style-type: none"> Clearing of critical ecosystems for agricultural activities, habitat fragmentation. Clearing of forested land for agricultural activities leading to emissions from deforestation, and loss of biodiversity. Inappropriate use of agrochemicals can lead to air, soil and water contamination, and negatively impact the health of workers Lack of infrastructure to manage the inputs packaging Soil salinization due to accumulation of salts from irrigation water Extreme weather events or natural disasters could lead to damage of production systems Disruption of hydrological flows and water bodies due to clearance of vegetation in upper catchments and over-abstraction of surface- and groundwater for irrigation 	Medium	<ul style="list-style-type: none"> Activities will be developed under local territorial planning and considering local and national regulations, as well as land use suitability and with a landscape approach, minimizing social and environmental impacts. Develop a diagnosis/baseline of the situation of the ecosystems and the activities implemented. Strengthen the management of agricultural inputs in the stages of introduction, distribution, commercialization, use, and final disposal of containers and residues. Review and/or update legal frameworks related to pesticide management, in accordance with the special regime for Galapagos. Training workshops and on-site assistance by lead farmers to facilitate farmer-to-farmer learning Design instruments for container and waste management Develop strategies to strengthen soil governance and conservation, aligned with international and national guidelines. (SO1) Establish an early warning system and instruments to prevent or mitigate disasters.
2.1.2.3. Implement silvopastoral practices at the farm level.	<ul style="list-style-type: none"> Onset or spread of animal disease Low yield of forage species Low milk production and below-standard milk protein and fat percentages Poor waste management 	Medium	<ul style="list-style-type: none"> Disease monitoring and control plans, immunization and vaccination schedules. Adequate selection of forage species in terms of adaptation, management and yield. Use of registered supplies and according to technical recommendations. Animal health and wellness monitoring plan. Monitoring the feeding of adequate amounts of forage, water, and mineral salts, considering their quality, as well as the need to supplement diets. Monitoring system to quantify the reduction of GHG, production of domestic biogas and use and quality of biofertilizers.

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Activity	Identified risks in accordance with the E&SP	Scale	Mitigation Measures
2.1.2.4. Develop and implement water collection and water management systems for climate-resilient food production.	<ul style="list-style-type: none"> Discontent local population over water access, use and control new regulations. Little sense of the population towards the protection of water resources 	Medium	<ul style="list-style-type: none"> Design a communication and participation strategy containing all activities and manners for each group of producers to participate. Financial incentives associated with benefits of water management systems
2.1.3.1 Improve the design and management effectiveness of Galapagos marine zoning, based on conclusive scientific evidence of the impact of climate change on fishery resources, marine biodiversity, and fishers' livelihoods.	<ul style="list-style-type: none"> Lack of credibility and legitimacy of the new marine zoning due to an inefficient and weak participation of stakeholders in the Consultative Board of Participatory Management (CBPM) and other coordination platforms. No agreement among stakeholders and local authorities to reconcile conservation, fishery management, and tourism operations objectives. Participation of suspected perpetrators at workshops (As facilitators or consulted stakeholders) 	Medium	<ul style="list-style-type: none"> The project will set recommendations for the new marine zoning based on a comprehensive understanding and evidence about how Galapagos fishery resources and marine biodiversity have been impacted by the interactions of the ENSO, overfishing and IUU fishing, and other drivers of change. This will enforce fishers trust and buy-in on the new marine zoning The program will give strong technical and financial support to CGREG and the GNPD, for the effective implementation of the Consultative Board of Participatory Management (CBPM) and other stakeholder coordination platforms. Stakeholders in the re-zoning process will be engaged, through extensive and participatory consultation in the CBPM and other coordination platforms, through innovative participatory methods that involve not only small-scale fishers but also tour operators, naturalist guides, conservationists, scientists, representatives of local governments, and the public The program shall prevent any harassment behavior through collective rules for participation and ensuring that workshops are held in safe places. Mitigation measures to protect actual or suspected survivors of SEAH must be implemented
2.1.3.2 Design and implement an advanced data system for the adaptive co-management of the Galapagos marine zoning.	<ul style="list-style-type: none"> The information delivered by the data system is not adequate and accessible for all the stakeholders. Any form of Sexual Exploitation, Sexual Abuse, or Sexual Harassment among the EE staff or its partners 	Medium	<ul style="list-style-type: none"> Local management authorities, scientists, NGO, and relevant stakeholders will be trained to facilitate the integration of the information generated by the Subtidal Ecological Monitoring module into GMR management decisions. Knowledge and technological transfer for different stakeholders will be promoted. Design a PSEAH Plan to prevent, mitigate, investigate and remedy situations or acts perpetrated of sexual exploitation, abuse and harassment during the direct execution of activities related to the Programme, to be applied by AE, EEs and partners. Implement capacity building process to personnel form AE, EEs and partners, to ensure full understanding of SEAH concepts, risks, prevention/ mitigation measures and program policy

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Activity	Identified risks in accordance with the E&SP	Scale	Mitigation Measures
2.1.3.3 Strengthen the current decision-making framework to inform the adaptive co-management of the Galápagos Marine Reserve.	<ul style="list-style-type: none"> ▪ The Decision- Making Framework is not developed with all relevant stakeholders and therefore does not contribute to the GMR co-management. ▪ The Framework does not include social aspects such as economic and governance information, as part of the monitoring system. ▪ Any form of Sexual Exploitation, Sexual Abuse, or Sexual Harassment among the EE staff or its partners 	Medium	<ul style="list-style-type: none"> ▪ Install capacities in the GNPD, CGREG, fishers' associations to ensure inclusive decision-making framework. ▪ Integrate social and economic indicators into the monitoring framework ▪ Design a PSEAH Plan to prevent, mitigate, investigate and remedy situations or acts perpetrated of sexual exploitation, abuse and harassment during the direct execution of activities related to the Programme, to be applied by AE, EEs and partners. ▪ Implement capacity building process to personnel form AE, EE and partners, to ensure full understanding of SEAH concepts, risks, prevention/mitigation measures and program policy. ▪ Ensure the grievance mechanism is open, secure and accessible to all stakeholders
2.1.4.1 Management conditions of small-scale tuna fisheries, strengthened to reduce the ecological impact of the fishery over secondary and endangered, threatened and protected (ETP) species.	<ul style="list-style-type: none"> ▪ Small-scales tuna fisheries do not meet the C-FIP standards and therefore ecological impact of the fishing activities on Galapagos endangered, threatened, or protected species, such as sharks, mantas, and marine turtles, remains. ▪ Any form of Sexual Exploitation, Sexual Abuse, or Sexual Harassment among the EE staff or its partners. 	Medium	<ul style="list-style-type: none"> ▪ Build from the alliance created by 12 governmental and non-governmental organizations in 2019 to develop the C-FIP for the Galapagos tuna fishery. - ▪ Support through technical and technological assistance to small-scale fishers on practices to meet the C-FIP standards ▪ Training on implementation of best practices according with the C-FIP standards. ▪ Communicate benefits for fishers of adopting C-FIP standards. ▪ C-FIP Steering Committee will be set up with representatives of the GNPD, CGREG, NGO and small-scale fishing sector. Such committee will meet every six months to follow-up the implementation of the C-FIP. ▪ Put in place the monitoring system in the PSEAH Plan at the highest levels for regular reporting on PSEAH. ▪ Implement a PSEAH Plan to prevent, mitigate, investigate and remedy situations or acts perpetrated of sexual exploitation, abuse and harassment during the direct execution of activities related to the Programme, to be applied by AE, EEs and partners. ▪ Ensure the grievance mechanism is open, secure and accessible to all stakeholders.

Activity Identified risks in accordance with GCF's E&SP¹⁷ and Impact

Activity	Identified risks in accordance with the E&SP	Scale	Mitigation Measures
<p>2.1.4.2 Management of sailfin groupers fishery strengthened to mitigate climate change impacts while restoring the species ecological role.</p>	<ul style="list-style-type: none"> ▪ The C-FIP model for the sailfin grouper is not accepted by local authorities and the small-scale fishing sector. ▪ Any form of Sexual Exploitation, Sexual Abuse, or Sexual Harassment among the EE staff or its partners 	<p>Medium</p>	<ul style="list-style-type: none"> ▪ The program will work with the GNPDP, Galapagos Governing Council, small-scale fishing sector, private sector, and other relevant actors to define a C-FIP action plan and a bankable business plan that helps to attract the investment required for the holistic, participatory, and community-based improvement of the Galapagos sailfin grouper. ▪ As a fundamental part of this framework, with this outcome the program will elaborate and promote the adoption of a participatory management plan for the sailfin grouper, considering the effects of climate change; this plan will include landing regulations, improve fishing practices and monitoring activities ▪ C-FIP Steering Committee will be set up with representatives of the GNPDP, CGREG, NGO and small-scale fishing sector. Such committee will meet every six months to follow-up the design and implementation of the C-FIP. ▪ Put in place the monitoring system in the PSEAH Plan at the highest levels for regular reporting on PSEAH. ▪ Implement a PSEAH Plan to prevent, mitigate, investigate and remedy situations or acts perpetrated of sexual exploitation, abuse and harassment during the direct execution of activities related to the Programme, to be applied by AE, EEs and partners. ▪ Ensure the grievance mechanism is open, secure and accessible to all stakeholders.
<p>2.1.4.3 Small-scale aquaculture and experimental allocation of Territorial Use Rights for Fishing (TURFs) implemented to rebuild sea cucumber stocks and diversify fishers' livelihoods.</p>	<ul style="list-style-type: none"> ▪ Ecological and genetic integration of wild and cultured stocks is not achieved., and therefore characteristics of the wild population are not maintained. ▪ Fishing intensity is not well regulated through the experimental allocation of Territorial Use Rights for Fishing (TURF), affecting restocking process. ▪ Any form of Sexual Exploitation, Sexual Abuse, or Sexual Harassment among the staff or partners 	<p>Medium</p>	<ul style="list-style-type: none"> ▪ Diversification of practices and management opportunities ▪ Use validated technology for larval rearing, juvenile production and asexual reproduction by transverse fission in captivity developed at the Centro Nacional de Acuicultura e Investigaciones Marinas of the Escuela Superior Politécnica del Litoral of Ecuador, which is helping to restore wild population at the El Pelado, a marine protected area located in mainland Ecuador. ▪ Strengthen capacities of the GNPDP as administrator of the GMR to enforce the TURFs, through the vessel monitoring system (VMS) and Automatic Identification System (AIS) already in place, in collaboration with the group of fishers who are granted the TURFs. ▪ Implement a PSEAH Plan to prevent, mitigate, investigate and remedy situations or acts perpetrated of sexual exploitation, abuse and harassment during the direct execution of activities related to the Programme, to be applied by AE, EEs and partners. ▪ Ensure the grievance mechanism is open, secure and accessible to all stakeholders. ▪ SEAH screening mechanisms applied when hiring personnel and establishing partnerships.

Activity Identified risks in accordance with GCF's E&SP¹⁷ and Impact

Activity	Identified risks in accordance with the E&SP	Scale	Mitigation Measures
<p>2.1.5.1 Implement strategies to improve the livestock/meat and milk value chain.</p>	<ul style="list-style-type: none"> ▪ Inadequate or insufficient infrastructure (slaughterhouses, cold chain equipment) affects quality of meat and dairy products, along with the lack of regulations. ▪ Livestock management remains extensive, generating environmental impacts and limited economic returns for livestock farmers. ▪ Income-earning opportunities for women through direct employment in livestock/meat and milk value chain, which may also increase household tension and create community backlash against women in areas where the perception is that they should not work outside the home. 	<p>Medium</p>	<ul style="list-style-type: none"> ▪ Promoting environmentally friendly practices (improvement of pastures, animal nutrition/health, management of livestock and crops) ▪ Strengthen local capacities and the use of more efficient technologies in meat processing practices, pasteurized milk and dairy products to improve their positioning in the local market and increase their profitability at all stages of the value chain. Involvement of local governments in the delivery of incentives or certificates that promote sustainable practices. ▪ Provision of alternatives for establishing adequate meat processing infrastructure in the islands, including infrastructure that minimize effluents generated in slaughterhouses, refrigerated trucks and management plans. ▪ Operation of direct loan lines for the improvement of local productive infrastructure linked to an eligibility strategy for accessing loans. ▪ Improve the reliability and quality of meat and dairy products and establish local markets where producers and consumers directly relate to each other, in coordination with local governments. <p>Eligibility for accessing loans for investment in sustainable land use</p> <ul style="list-style-type: none"> ▪ Silvopastoral systems. Storage, distribution, use. ▪ Value chains - machinery, equipment, working capital (seed fund, seed capital to start the process) ▪ Placed in most vulnerable zones subject to changes in water availability. ▪ Lower income and small farm size will be prioritized. ▪ Participation on farming field schools. ▪ Those who have previously participated in technical assistance activities and capacity building processes will be favored. ▪ No purchase of additional livestock, no expansion of the agricultural frontier. ▪ As part of the Grant for the LFI there is the development of a Web Platform Information Systematized Project Implementation. The LFI loan officers will be able to easily include the projects in the platform and assess the eligibility. E&S category: B or C (category A is not eligible) ▪ Put in place the monitoring system in the PSEAH Plan at the highest levels for regular reporting on PSEAH. ▪ Ensure the grievance mechanism is open, secure and accessible to all stakeholders.

Activity Identified risks in accordance with GCF's E&SP ¹⁷ and Impact			
Activity	Identified risks in accordance with the E&SP	Scale	Mitigation Measures
2.1.5.2 Implement strategies to improve the Galapagos coffee value chain.	<ul style="list-style-type: none"> ▪ Limited volumes and quality constraints prevent producers from integrating into a value chain. ▪ Wastewater and emissions from processing plants impact negatively over the environment. ▪ Income-earning opportunities for women through direct employment in the Galapagos coffee value chain, which may also increase household tension and create community backlash against women in areas where the perception is that they should not work outside the home. ▪ Any form of Sexual Exploitation, Sexual Abuse, or Sexual Harassment among the staff or partners 	Medium	<ul style="list-style-type: none"> ▪ Promote quality and productivity improvement and support processing systems to strengthen coffee producers' capacities to integrate value chains and improve their income. ▪ Promotion of direct loan lines to improve coffee value chain, linked to an eligibility strategy for accessing loans. ▪ Support the implementation of two coffee processing plants, infrastructure and equipment to implement a dry processing center. ▪ The dynamics of agro processing will be addressed by means of an integral and comprehensive approach so as to reduce environmental impacts. Wastewater will be treated and capture on-site and serve as biofertilizers for coffee plantations (S04). ▪ Involvement of local governments in the implementation of market sites where local producers are directly related to consumers, reducing dependence on intermediaries. ▪ Implementation of adequate traceability systems and communication for consumers about the content, origin and processing of coffee, including social and environmental impacts they may have. ▪ Increased income for coffee growers will lead to a renewed interest in coffee production, enhancing the local economy. <p>Eligibility for accessing loans for investment in sustainable land use</p> <ul style="list-style-type: none"> ▪ Silvopastoral systems. Storage, distribution, use. ▪ Value chains - machinery, equipment, working capital (seed fund, seed capital to start the process) ▪ Placed in most vulnerable zones subject to changes in water availability. ▪ Lower income and small farm size will be prioritized. ▪ Participation on farming field schools. ▪ Those who have previously participated in technical assistance activities and capacity building processes will be favored. ▪ No purchase of additional livestock, no expansion of the agricultural frontier. ▪ As part of the Grant for the LFI there is the development of a Web Platform Information Systematized Project Implementation. The LFI loan officers will be able to easily include the projects in the platform and assess the eligibility. E&S category: B or C (category A is not eligible) ▪ Put in place the monitoring system in the PSEAH Plan at the highest levels for regular reporting on PSEAH. ▪ Ensure the grievance mechanism is open, secure and accessible to all stakeholders.

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Activity	Identified risks in accordance with the E&SP	Scale	Mitigation Measures
2.1.5.3 Implement strategies to improve the Galapagos vegetables value chain.	<ul style="list-style-type: none"> ▪ Environmental pollution from agro processing. ▪ Low prices for agricultural products discourage farmers, affect their livelihoods and could impact on food security. ▪ Low consumption of local products deepens dependence on imports from mainland Ecuador. ▪ Income-earning opportunities for women through direct employment in the Galapagos vegetables value chain, which may also increase household tension and create community backlash against women in areas where the perception is that they should not work outside the home. ▪ Any form of Sexual Exploitation, Sexual Abuse, or Sexual Harassment among the staff or partners 	Medium	<ul style="list-style-type: none"> ▪ Prevention with communication and mandatory training of the PSEAH Plan to all stakeholders. ▪ Promote producers' associativity to strengthen economies of scale. ▪ Develop micro-enterprises that add value to products grown using agroecological practices (S03). ▪ Promotion of direct loan lines to improve coffee value chain, linked to an eligibility strategy for accessing loans. ▪ Implementation of two processing plants for flours and chips (cassava, banana and plantain), two processing plants for preserves and pulps, and two agro-processing plants for aromatic herbs, through direct loan lines. ▪ Design and application of public policy to position a local brand for agricultural products, including incentives and affirmative measures for women producers (S09) and market sites. ▪ Waste and water management, wastewater treatment, environmentally friendly production systems (S04). <p>Eligibility for accessing loans for investment in sustainable land use</p> <ul style="list-style-type: none"> ▪ Silvopastoral systems. Storage, distribution, use. ▪ Value chains - machinery, equipment, working capital (seed fund, seed capital to start the process) ▪ Placed in most vulnerable zones subject to changes in water availability. ▪ Lower income and small farm size will be prioritized. ▪ Participation on farming field schools. ▪ Those who have previously participated in technical assistance activities and capacity building processes will be favored. ▪ No purchase of additional livestock, no expansion of the agricultural frontier. ▪ As part of the Grant for the LFI there is the development of a Web Platform Information Systematized Project Implementation. The LFI loan officers will be able to easily include the projects in the platform and assess the eligibility. E&S category: B or C (category A is not eligible) ▪ Put in place the monitoring system in the PSEAH Plan at the highest levels for regular reporting on PSEAH. ▪ Guarantee the grievance mechanism is open, secure and accessible to all stakeholders.
2.1.5.4 Promotion of a blue circular economy through	<ul style="list-style-type: none"> ▪ Local population not interested in initiating seafood product enterprises. 	Medium	<ul style="list-style-type: none"> ▪ Apply the behavioral change approach to incentivize local population and design the G-Lab methodologies. ▪ Develop a communication strategy to engage the local population

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Activity	Identified risks in accordance with the E&SP	Scale	Mitigation Measures
new sustainable and socially responsible seafood enterprises.	<ul style="list-style-type: none"> ▪ Informal workers in seafood enterprises, whose informality means they may either be more vulnerable to GBVH due to lack of contracts or that potential perpetrators may go unidentified due to lack of background checks. ▪ Income-earning opportunities for women through direct employment in small-scale tuna fisheries, which may also increase household tension and create community backlash against women in areas where the perception is that they should not work outside the home. ▪ Participation of suspected perpetrators in supported seafood enterprises (As facilitators, consultants, employees) 		<ul style="list-style-type: none"> ▪ Put in place the monitoring system in the PSEAH Plan at the highest levels for regular reporting on PSEAH. ▪ The program shall prevent any harassment behavior through the establishment of collective rules, protocols and agreements at participating businesses and ensuring mitigation measures to protect actual or suspected survivors ▪ Guarantee the grievance mechanism is open, secure and accessible to all stakeholders.
2.1.5.5 Put in place a long-term financing mechanism to improve sustainability and competitiveness of Galapagos small-scale fishing sector.	<ul style="list-style-type: none"> ▪ Local population is not interested in acquiring a loan for these activities. ▪ Seafood ventures promoted through long term financing mechanism, do not comply with sustainability and social standards (including labor and gender considerations). ▪ Seafood ventures are not financially sustainable. ▪ Women don't comply with the financial requirements of the LFI to benefit of a GCCL loan. ▪ Income-earning opportunities for women through direct employment in the Galapagos small-scale fishing sector, which may also increase household tension and create community backlash against women in areas where the perception is that they should not work outside the home. 	Medium	<ul style="list-style-type: none"> ▪ A behavior insights analysis will be performed to identify adequate strategies to address potential beneficiaries to achieve their interest and willingness to acquire the loan. Through this analysis, the program will explore what barriers might impede this behavior, as well as existing enablers we could draw on to encourage change ▪ To the extent feasible, business plans for pilot seafood ventures should incorporate and demonstrate their alignment with three principles. ▪ Economic efficiency: ensure productivity and profitability of fisheries, particularly a strong value proposition for investment under prospective pilot operations. ▪ Social equity: promote positive social welfare outcomes for beneficiaries and effective distribution of wealth from enhanced fisheries, including income and livelihood opportunities, development of value-added products, and market access and diversification, recognizing the key role of women in fisheries value chains. ▪ Biodiversity conservation and ecosystem health: reduce the ecological impact of fishing on marine biodiversity and ecosystems by minimizing fishing pressure over commercial and protected species. ▪ An investment proposal fulfilling the three principles described should include most of the following conditions: ▪ Demonstrate that the pilot seafood venture creates business opportunities that are attractive from a financial point of view. ▪ Increase seafood consumption at the domestic market to improve food security.

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Activity	Identified risks in accordance with the E&SP	Scale	Mitigation Measures
	<ul style="list-style-type: none"> ▪ Requests for sexual favors in exchange for financing ▪ Use intimidation or threats to limit the access to financing. 		<ul style="list-style-type: none"> ▪ Promote consumption of pelagic species, mainly tuna, rather than species with signs of overexploitation (e.g., sailfin grouper). ▪ Promote the adoption of state-of-the-art technology to reduce IUU fishing, by-catch, habitat destruction, and marine pollution, including emission of greenhouse gasses. ▪ Promote e-commerce and the adoption of blockchain traceability system. ▪ Promote market diversification and development of value-added seafood products. ▪ Increase quality rather than seafood quantity. ▪ Maximizing the use and value of seafood by-products. ▪ Promote mechanisms to adopt appropriate tenure rights to deal with the common pool resource problems and avoid the dissipation of fishery rents. ▪ Propose market-based strategies that maximize net social benefits (profits and social welfare), while minimizing social costs (social negative impacts and environmental negative externalities). ▪ As part of the Grant for the LFI there is the development of a Web Platform Information Systematized Project Implementation. The LFI loan officers will be able to easily include the projects in the platform and assess the eligibility. E&S category: B or C (category A is not eligible) ▪ Put in place the monitoring system in the PSEAH Plan at the highest levels for regular reporting on PSEAH. ▪ Guarantee the grievance mechanism is open, secure and accessible to all stakeholders. ▪ Capacity building on prevention of any form of Sexual Exploitation, Sexual Abuse, or Sexual Harassment to stakeholders accessing the loans
2.2.1.1 Strengthen marine biosecurity programs in the GMR, to prevent and control marine bioinvasions by Nonindigenous Species (NIS) that could proliferate due to the effects of climate change.	<ul style="list-style-type: none"> ▪ Fisheries and marine operations inside and outside the GMR promote the incursion of invasive species that could proliferate in climate change scenarios ▪ Vessels do not comply with the regulations and controls of the ABG in the GMDP ▪ Participation of suspected perpetrators as EEs/partners staff/consultants 	Medium	<ul style="list-style-type: none"> ▪ Creating risk analysis and ranking systems for biosecurity, and effective Early Detection and Rapid Response (EDRR) protocols to diminish new NIS invasions in the marine environment and create an alert system to announce new incursions of marine invasive species in the GMR. This will allow for rapid detection of threats, improve coordination between local stakeholders and authorities, and will develop both an informal and formal detection network and engage the public through citizen science. Complementary, the program will implement a regional outreach campaign to showcase and promote the replica of the GMR NIS Alert System and EDRP, in other ETP region marine protected areas (MPAs). WWF will engage GNPDP as a procured party/service provider to implement the monitoring protocols with support of the FCD and integrated to the GNPDP management procedures. ▪ SEAH screening mechanisms applied when hiring personnel and establishing partnerships.

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Activity	Identified risks in accordance with the E&SP	Scale	Mitigation Measures
			<ul style="list-style-type: none"> ▪ The program shall prevent any harassment behavior through collective rules for participation and ensuring mitigation measures to protect actual or suspected survivors. ▪ Ensure the grievance mechanism is open, secure and accessible to all stakeholders.
2.2.1.2 Restore high ecological value coral reefs through coral planting and exclusion areas, to enhance their ecological role in the GMR.	<ul style="list-style-type: none"> ▪ Transplanted corals do not survive. ▪ Any form of Sexual Exploitation, Sexual Abuse, or Sexual Harassment among the staff or partners 	Low	<ul style="list-style-type: none"> ▪ Knowledge exchange and technical assistance from Nova Southeastern University (NSU), to the GNPD and CDF will take place to apply proven techniques and methodologies to grow and transplant corals. ▪ Implement a PSEAH Plan to prevent, mitigate, investigate and remedy situations or acts perpetrated of sexual exploitation, abuse and harassment during the direct execution of activities related to the Programme, to be applied by AE, EEs and partners. ▪ Ensure the grievance mechanism is open, secure, and accessible to all stakeholders.
2.2.1.3 Reduce the impact of diving, anchoring and pollution related to tourism operations in selected marine HEVAs, to enhance ecosystems resilience and adaptive capacity to the effects of climate change	<ul style="list-style-type: none"> ▪ Local population is not interested in adopting best practices and technologies through loans. ▪ Cruises that have access to the credit do not comply with environmental and financial conditions. ▪ Lack of information to control diving tourism activities that have an impact on ecosystems. ▪ Participation of suspected perpetrators at enterprises (As facilitators, consultant stakeholders, employees) ▪ Use intimidation or threats to limit the access of benefits or financing ▪ 	Medium	<ul style="list-style-type: none"> ▪ A behavior insights analysis will be performed to identify adequate strategies to address potential beneficiaries to achieve their interest and willingness to acquire the loan. Through this analysis, the program will explore what barriers might impede this behavior, as well as existing enablers we could draw on to encourage change. <p>Eligibility conditions for accessing credit for investment in Digital Positioning Systems.</p> <ul style="list-style-type: none"> ▪ Diving cruises operating in the Galapagos selected based on their willingness to engage. ▪ Digital Positioning Systems (DPS). ▪ Boats meet minimum required engine and electric technological standards. ▪ Operators' capacity to finance further maintenance of equipment, and signature of a commitment letter with the GNPD and Navy ▪ Operator availability of human and time resources to be trained in related aspects. ▪ O&M Plan developed. ▪ As part of the Grant for the LFI there is the development of a Web Platform Information Systematized Project Implementation. The LFI loan officers will be able to easily include the projects in the platform and assess the eligibility. E&S category: B or C (category A is not eligible) ▪ Develop a Decision Support System (DSS) portal for policymakers, with information regarding marine tourism, including impacts from the tourism activities and the health of sites

Activity Identified risks in accordance with GCF's E&SP ¹⁷ and Impact			
Activity	Identified risks in accordance with the E&SP	Scale	Mitigation Measures
			<ul style="list-style-type: none"> ▪ The program shall prevent any harassment behavior through collective rules, protocols and agreements at business and ensuring mitigation measures to protect actual or suspected survivors ▪ Design a PSEAH Plan to prevent, mitigate, investigate and remedy situations or acts perpetrated of sexual exploitation, abuse and harassment during the direct execution of activities related to the Programme, to be applied by AE, EEs and partners. ▪ Ensure the grievance mechanism is open, secure, and accessible to all stakeholders.
2.2.1.4 Improve surveillance and control measures for adequate sea turtle nesting and foraging in the GMR, to counteract potential effects of climate change in their reproductive success	<ul style="list-style-type: none"> ▪ Inadequate application of the protocols for translocating turtles' nests ▪ Tourism operators are not willing to adopt practices to reduce impact on turtle nesting and foraging. ▪ Any form of Sexual Exploitation, Sexual Abuse, or Sexual Harassment among the staff or partners 		<ul style="list-style-type: none"> ▪ The identification of the beaches for translocation of turtle's nests and foraging sites will be based on scientific analysis as well as an analysis of public uses. ▪ Implement a PSEAH Plan to prevent, mitigate, investigate and remedy situations or acts perpetrated of sexual exploitation, abuse and harassment during the direct execution of activities related to the Programme, to be applied by AE, EEs and partners. ▪ Ensure the grievance mechanism is open, secure, and accessible to all stakeholders. ▪ SEAH screening mechanisms applied when hiring personnel and establishing partnerships.
2.2.2.1 Strengthen control programs for invasive plant species, especially blackberry, in protected and agricultural areas, based on projected dynamics of their expansion under climate change scenarios	<ul style="list-style-type: none"> ▪ To overlook a group of stakeholders related to the use and trading of guava and blackberry. ▪ Perception by the local population that their possibilities of trading those products narrow down. ▪ Native species affected, water contamination and human health affected due to the use of chemicals for invasive species control 	Low	<ul style="list-style-type: none"> ▪ Lay down stakeholders mapping to identify their potential and their negative practices in using guava and blackberry as a productive initiative. ▪ Design a stakeholder engagement strategy for the appropriate management of guava and blackberry. ▪ Establish high level protocols on methods, quantities, chemicals, and protection of human health ▪ Through capacity building within GNP staff, farmers and the ABG, invasive plant species control capacities will be strengthened by monthly meetings on-site, with evaluation of visual impressions, followed up by data-supported results from the monitoring activities. This way applied control techniques will be constantly monitored and evaluated to ensure high efficacy, while at the same time minimizing negative impacts on non-target species and human health.

Activity Identified risks in accordance with GCF's E&SP ¹⁷ and Impact			
Activity	Identified risks in accordance with the E&SP	Scale	Mitigation Measures
2.2.2.2 Restore key remnant forest fragments inside and outside the GNP, to enhance ecosystems adaptive capacity and provision of environmental services.	<ul style="list-style-type: none"> ▪ Lack of commitment for farmers to engage in long-term restoration processes. Therefore, forest remnants are not restored and ecosystem services such as water provision for cities and agriculture are affected. ▪ Any form of Sexual Exploitation, Sexual Abuse, or Sexual Harassment among the staff or partners 	Medium	<ul style="list-style-type: none"> ▪ Training courses in restoration practices will be held for farmers to improve their management skills, who can then be involved in the project activities as qualified workers. Outreach activities will engage with local farmers from the project onset to ensure their support. This will be done through roundtable discussions on the proposed activities and the benefit to them, through workshops and training on <i>Scalesia</i> cultivation, as well as field trips to project sites. ▪ Implement a PSEAH Plan to prevent, mitigate, investigate and remedy situations or acts perpetrated of sexual exploitation, abuse and harassment during the direct execution of activities related to the Programme, to be applied by AE, EEs and partners. ▪ Ensure the grievance mechanism is open, secure, and accessible to all stakeholders. ▪ SEAH screening mechanisms applied when hiring personnel and establishing partnerships.
2.2.2.3 Monitor success and impacts of invasive species control and restoration measures	<ul style="list-style-type: none"> ▪ Prioritization of control and management practices is not based on evidence of the impacts of climate change and management measures. ▪ Any form of Sexual Exploitation, Sexual Abuse, or Sexual Harassment among the staff or partners ▪ 	Low	<ul style="list-style-type: none"> ▪ Permanent evaluation of the monitoring, control, and restoration measures to: (a) identify the areas that are in need for active restoration with <i>Scalesia</i> species and other native species, and (b) select areas where a passive restoration is still possible. This distinction is important to be able to allocate scarce restoration funding accordingly ▪ Implement a PSEAH Plan to prevent, mitigate, investigate and remedy situations or acts perpetrated of sexual exploitation, abuse and harassment during the direct execution of activities related to the Programme, to be applied by AE, EEs and partners. ▪ Ensure the grievance mechanism is open, secure, and accessible to all stakeholders. ▪ SEAH screening mechanisms applied when hiring personnel and establishing partnerships.
3.1.1.1 Implement an ecotourism certification scheme to adopt best practices across the tourism value chain.	<ul style="list-style-type: none"> ▪ Little awareness from local stakeholders as to the importance of sustainable tourism. ▪ Lack of capacities for providing sustainable tourism services ▪ Weak control and monitoring of local regulations. ▪ The tourism sector that can access to an Ecotourism Certification (hotels and restaurants, primarily) does not have a PSEAH or guidelines. 	Low	<ul style="list-style-type: none"> ▪ Implement a capacity and awareness process with different stakeholders ▪ The program will work with the GNP, Galapagos Governing Council for the enforcement tourism management and monitoring ▪ Ensure contracts of the Tourism Sector (hotels and restaurants) include clauses on PSEAH (for example all workers and staff sign codes of conduct). ▪ Ensure the certification includes the tourist from the beginning and arrival to the Galapagos islands with in the CGREG and the GNP. ▪ The program shall prevent any harassment behavior through collective rules, protocols and agreements at business and ensuring mitigation measures to protect actual or suspected survivors

Activity Identified risks in accordance with GCF's E&SP ¹⁷ and Impact			
Activity	Identified risks in accordance with the E&SP	Scale	Mitigation Measures
	<ul style="list-style-type: none"> ▪ Customer–worker power imbalances, where there is a culture of ‘the customer is always right’, which can be exploited by customers to harass or abuse hospitality workers not encouraging the ecotourism certification with not ecofriendly consumption. ▪ The use of women as branding of ecotourism services. ▪ Participation of suspected perpetrators at ecotourism services (As customer, colleague, stakeholders, employees) ▪ Use intimidation or threats to limit the access to certification. 		<ul style="list-style-type: none"> ▪ Implement a PSEAH Plan to prevent, mitigate, investigate and remedy situations or acts perpetrated of sexual exploitation, abuse and harassment during the direct execution of activities related to the Programme, to be applied by AE, EEs and partners. ▪ Ensure the grievance mechanism is open, secure, and accessible to all stakeholders. ▪ Capacity building on prevention of any form of Sexual Exploitation, Sexual Abuse, or Sexual Harassment to stakeholders accessing the certification
3.1.2.1 Strengthen the educational system of Galapagos to provide quality education to face climate change and promote sustainable development.	<ul style="list-style-type: none"> ▪ Lack of interest and capacities in the educational system. ▪ Participation of suspected perpetrators as facilitators or consultants ▪ Any form of Sexual Exploitation, Sexual Abuse, or Sexual Harassment from the staff or partners towards beneficiaries. ▪ Requests for sexual favors in exchange of of something. Use intimidation or threats to limit the access to benefits. ▪ 	Low	<ul style="list-style-type: none"> ▪ Generate a learning and capacity building process with key stakeholders ▪ Design a communicational campaign about climate change and sustainable development ▪ Coordinate educational activities with the National Services on Risk and Emergencies, MAATE and Ministry of Education ▪ Implement a PSEAH Plan to prevent, mitigate, investigate and remedy situations or acts perpetrated of sexual exploitation, abuse and harassment during the direct execution of activities related to the Programme, to be applied by AE, EEs and partners. ▪ Ensure the grievance mechanism is open, secure, and accessible to all stakeholders. ▪ Capacity building on prevention of any form of Sexual Exploitation, Sexual Abuse, or Sexual Harassment to education institutions engaged in the project. ▪ SEAH screening mechanisms applied when hiring personnel and establishing partnerships.

Activity Identified risks in accordance with GCF's E&SP ¹⁷ and Impact			
Activity	Identified risks in accordance with the E&SP	Scale	Mitigation Measures
3.1.2.2 Strengthen knowledge and foster engagement of the general public and key stakeholders on climate change impacts and solutions.	<ul style="list-style-type: none"> ▪ Lack of interesting and capacities in the local population and key stakeholders. ▪ Participation of suspected perpetrators in the programa activities (As facilitators or consultant stakeholders) ▪ Any form of Sexual Exploitation, Sexual Abuse, or Sexual Harassment among the staff or partners ▪ Requests for sexual favors in exchange of of something. Use intimidation or threats to limit the access to benefits. 	Low	<ul style="list-style-type: none"> ▪ Design a communicational campaign about climate change and sustainable development ▪ Coordinate educational activities with the National Services on Risk and Emergencies, MAATE and Ministry of Education ▪ The program shall prevent any harassment behavior through collective rules for participation and ensuring mitigation measures to protect actual or suspected survivors ▪ Implement a PSEAH Plan to prevent, mitigate, investigate and remedy situations or acts perpetrated of sexual exploitation, abuse and harassment during the direct execution of activities related to the Programme, to be applied by AE, EEs and partners. ▪ Ensure the grievance mechanism is open, secure, and accessible to all stakeholders. ▪ Capacity building on prevention of any form of Sexual Exploitation, Sexual Abuse, or Sexual Harassment.
3.1.2.3 Facilitate non-formal education and mobilization opportunities to encourage youth and local community empowerment on climate action.	<ul style="list-style-type: none"> ▪ Lack of interesting and capacities in the youth and local community. ▪ Participation of suspected perpetrators in the programa activities (As facilitators or consultants) ▪ Any form of Sexual Exploitation, Sexual Abuse, or Sexual Harassment among the staff or partners ▪ Requests for sexual favors in exchange of of something. Use intimidation or threats to limit the access to benefits. 	Low	<ul style="list-style-type: none"> ▪ Design a communicational campaign about climate change and sustainable development ▪ Create a youth community and promote advocacy action, exchanges and dialogues with different social organizations ▪ The program shall prevent any harassment behavior through collective rules for participation and ensuring mitigation measures to protect actual or suspected survivors ▪ Implement a PSEAH Plan to prevent, mitigate, investigate and remedy situations or acts perpetrated of sexual exploitation, abuse and harassment during the direct execution of activities related to the Programme, to be applied by AE, EEs and partners. ▪ Ensure the grievance mechanism is open, secure, and accessible to all stakeholders. ▪ Capacity building on prevention of any form of Sexual Exploitation, Sexual Abuse, or Sexual Harassment.
3.1.3.1 Mainstream climate change into regulations and planning instruments and define a financial	<ul style="list-style-type: none"> ▪ Do not integrate social aspects of climate change ▪ Do not mainstream climate change priorities into the public budged and financing ▪ Lack of coordination with different stakeholders 	Low	<ul style="list-style-type: none"> ▪ Technical cooperation for integrating social aspects of climate change and SDG in the climate change planning ▪ Include resources distribution in the planning process, combining development and climate policies ▪ Implement a PSEAH Plan to prevent, mitigate, investigate and remedy situations or acts perpetrated of sexual exploitation, abuse and harassment during the direct execution of activities related to the Programme, to be applied by AE, EEs and partners.

Activity Identified risks in accordance with GCF's E&SP ¹⁷ and Impact			
Activity	Identified risks in accordance with the E&SP	Scale	Mitigation Measures
sustainability strategy.	<ul style="list-style-type: none"> Any form of Sexual Exploitation, Sexual Abuse, or Sexual Harassment among the staff or partners 		<ul style="list-style-type: none"> Ensure the grievance mechanism is open, secure, and accessible to all stakeholders. Capacity building on prevention of any form of Sexual Exploitation, Sexual Abuse, or Sexual Harassment.

6.4. Environmental and Social Management Plan

The safeguards plan has to be implemented in close rapport with the various specialists and with the monitoring plan anticipated for the program.

The plan monitoring will be conducted to control compliance therewith, and to evidence specific additional actions which may arise during the implementation of each one of the activities.

The direct responsibility of the plan monitoring is vested in the safeguards specialist. However, that specialist will work in close cooperation with the monitoring specialist, and with the knowledge management specialist.

Table 5. Environmental and Social Management Plan

Activity Identified risks in accordance with GCF's E&SP ²⁰ and Impact			
Activity	Mitigation Measures	Responsible	Phase
1.1.1.1. Promotion of Centralized renewable energy generation	<ul style="list-style-type: none"> ▪ Environmental and Social Management Plan for appropriate waste management based on good practices (e.g. WHO guidelines on lead acid battery recycling)²¹ ▪ Enforcement of occupational health and safety (OHS) standards ▪ Awareness raising and trainings on best practices, protocols and other key considerations ▪ Life-cycle emissions can be reduced by utilizing appropriate technology decommissioning practices, supporting the recycling of parts possible (e.g. steel towers, plastics and fiberglass within wind energy turbines), to the greatest extent possible and based on good practices. ▪ E&S impact Assessment shall be delivered by the Concessionaire. ▪ Environmental License shall be delivered by the Concessionaire. ▪ Put in place the monitoring system in the PSEAH Plan at the highest levels for regular reporting on PSEAH ▪ Deliver periodic mandatory training on PSEAH under the PSEAH Plan to all stakeholders such as workers, including contractors, subcontractors and core suppliers, as well as relevant consultants, clients, governmental organizations in Galapagos. ▪ Design a PSEAH Plan to prevent, mitigate, investigate and remedy situations or acts perpetrated of sexual exploitation, abuse and harassment during the direct execution of activities related to the Programme, to be applied by AEs, EEs and partners. 2. 	<p>ESS Specialist</p> <p>Mitigation Specialist</p> <p>PNG</p> <p>Gender Specialist</p>	<p>Previous to FAA</p> <p>During construction</p> <p>During Operation</p>
1.1.1.2. Distributed renewable power generation projects.	<ul style="list-style-type: none"> ▪ Environmental and Social Management Plan for appropriate waste management based on good practices (e.g. WHO guidelines on lead acid battery recycling)²² ▪ Enforcement of occupational health and safety (OHS) standards ▪ Awareness raising and trainings on best practices, protocols and other key considerations ▪ Life-cycle emissions can be reduced by utilizing appropriate technology decommissioning practices, supporting the recycling of parts possible (e.g. steel towers, plastics and fiberglass within wind energy turbines), to the greatest extent possible and based on good practices. ▪ PV systems financed under this activity will result in minimum 80% reductions in GHG emissions and energy consumption based on current market analysis and baseline 	<p>ESS Specialist</p> <p>Mitigation Specialist</p> <p>PNG</p> <p>Local Financial Institution -</p>	<p>Previous to the Credit approval.</p> <p>During construction</p> <p>During Operation</p>

²⁰ <https://www.greenclimate.fund/sites/default/files/document/revised-environmental-and-social-policy.pdf>

²¹ Good practice example: WHO manual for control measures for lead-acid batteries:

<http://apps.who.int/iris/bitstream/handle/10665/259447/9789241512855-eng.pdf;jsessionid=FBF0AFCD3FBFAA6ADAD26B077818EB7F?sequence=1>

²² Good practice example: WHO manual for control measures for lead-acid batteries:

<http://apps.who.int/iris/bitstream/handle/10665/259447/9789241512855-eng.pdf;jsessionid=FBF0AFCD3FBFAA6ADAD26B077818EB7F?sequence=1>

Activity Identified risks in accordance with GCF's E&SP ²⁰ and Impact			
Activity	Mitigation Measures	Responsible	Phase
	<ul style="list-style-type: none"> ▪ PV systems would comply with ESS Category B and C standards as included in the ESMF for the Programme, and no PV system with Category A related ESS risks shall be financed under the activity ▪ The PV system must be a proven RE technology and must comply with the current regulation on equipment specifications and protection requirements ▪ Loans provided under this activity shall only be used to finance small scale solar PV systems with a capacity of up to 100 kW ▪ Each loan will have a financing threshold between USD 5,000 to 40,000 ▪ As part of the Grant for the LFI there is the development of a Web Platform Information Systematized Project Implementation. The LFI loan officers will be able to easily include the projects in the platform and assess the eligibility. E&S category: B or C (category A is not eligible) ▪ Put in place the monitoring system in the PSEAH Plan at the highest levels for regular reporting on PSEAH. ▪ Ensure with the LFIs that the GCCL has differentiated requirements taking into account gender. 	<p>Execution Entity (LFI – EE)</p> <p>Gender Specialist</p>	
1.2.1.1 Promotion of efficient energy consumption by the Galapagos' livelihoods	<ul style="list-style-type: none"> ▪ ESMP for waste disposal/ management to ensure appropriate measures are adopted. Old equipment should be properly decommissioned, recycled and/or disposed of to avoid GHG emission leakages. ▪ Enforcement of occupational health and safety (OHS) standards ▪ Awareness raising and trainings ▪ Attention to project procedures for acquisition of additional waste in instances where additional waste is required to support co-generation investments. ▪ The activity will only replace energy efficient split air conditioners and refrigerants with inverter technology that must guarantee the highest range of the applied standard of Ecuadorian Technical Regulation – RTE 035-2009 ▪ The equipment must meet range A level of energy consumption according to RTE 035-2009 ▪ The refrigerant gas must not contain any agent that affects the Ozone layer and the global warming potentials must be minimal, such as R290, R22 Split A/C and R600a refrigeration. ▪ Only equipment that is compliant with Category B or C ESS risk categorization as set out in the Programme's ESMF would be eligible to be financed under the activity ▪ Each loan will have a financing threshold between USD 300 to 10,000 ▪ Air conditioners financed under the activity must result in a minimum of 20% GHG emissions and 20% energy consumption reductions compared with baseline data and market analysis 	<p>ESS Specialist</p> <p>Mitigation Specialist</p> <p>PNG</p> <p>Local Financial Institution - Execution Entity (LFI – EE)</p> <p>Gender Specialist</p>	<p>Previous to the Credit approval.</p> <p>During construction</p> <p>During Operation</p>

Activity Identified risks in accordance with GCF's E&SP ²⁰ and Impact			
Activity	Mitigation Measures	Responsible	Phase
	<ul style="list-style-type: none"> Refrigerators financed under the activity must reduce 15% of GHG emissions and 15% energy consumption compared with baseline data and market analysis. Life-cycle emissions can be reduced by utilizing appropriate technology decommissioning practices, supporting the recycling of parts possible (e.g. steel towers, plastics and fiberglass within wind energy turbines), to the greatest extent possible and based on good practices. As part of the Grant for the LFI there is the development of a Web Platform Information Systematized Project Implementation. The LFI loan officers will be able to easily include the projects in the platform and assess the eligibility. E&S category: B or C (category A is not eligible) Put in place the monitoring system in the PSEAH Plan at the highest levels for regular reporting on PSEAH. 		
1.2.2.1. Technical Assistance facility for energy investments	<ul style="list-style-type: none"> Enforcement of occupational health and safety (OHS) standards Awareness raising and trainings on best practices, protocols and other key considerations Sensitization campaigns and incentives to capitalize capacities and implementation of sustainable initiatives. Design a stakeholder engagement strategy for knowledge generation and management. Set up capacity-building spaces to introduce the potential of sustainable agricultural systems of sustainable fishery systems. Lay down stakeholders mapping to identify their potential and their negative practices 	<p>Programme Coordinator</p> <p>Capacity Building Specialist</p> <p>WWF – FAO</p>	<p>From the Beginning of the implementation of the Programme.</p> <ul style="list-style-type: none"> This Process has to be continue during all the implementation to ensure the success of the other activities.
2.1.1.1. Implement a capacity building program for governmental staff with practical information, knowledge and training about climate change and climate resilient	<ul style="list-style-type: none"> Capacity building programs for governmental staff will emphasize technical knowledge so they can improve their extension program (S08). Furthermore, capacity building programs will pay special attention to gender training in order to respond to women's needs and interests (S09). Extension programs will be based on a long-term vision through the implementation of Farmers Field Schools (FFS) model which is built on concepts of non-formal education and experiential learning education addressed to adults. FFS will promote agricultural practices based on local conditions to improve resilience in the agricultural areas of Galapagos and will take into account local knowledge and practical and technical demands from farmers (S08, S04)). Due to the hands-on requirement of FFS, training activities will be carried directly on local farms selected, considering a culturally sensitive schedule. 	<p>Local Technical Coordinator</p> <p>Capacity Building Specialist</p> <p>Social Specialist</p> <p>WWF – FAO</p>	<p>From the Beginning of the implementation of the Programme.</p> <ul style="list-style-type: none"> This Process has to be continued during all the implementation to ensure the success of the other activities.

Activity Identified risks in accordance with GCF's E&SP ²⁰ and Impact			
Activity	Mitigation Measures	Responsible	Phase
agricultural practices.	<ul style="list-style-type: none"> ▪ FFS supports farmer-farmer networking through the sharing of knowledge, problems resolution, alternatives found and resource sharing. Therefore, it will allow escalation of extension services through knowledge dissemination. ▪ The growing importance of women in agricultural activities leads to the adoption of gender sensitive techniques and practices (S09). 		
2.1.1.2. Install a hydro/agro-meteorological monitoring system to inform and tailor the information to the needs of vulnerable smallholder farmers.	<ul style="list-style-type: none"> ▪ At the same time as the installation of a hydro/agro meteorological monitoring system, training will be provided to government technicians and farmers to collect, analyze and interpret data in order to plan agricultural tasks and improve the management of crops, soil, and water (S08) ▪ Train technical staff for implementation of sensors and management of the information system. Under this sub activity, capacity building for farmers will take place to ensure that protocols are followed by all the key actors. Training sessions will be given by technical staff of INAMHI and GSC. ▪ Data will be available for different users, at different scales and platforms, including a web portal, a radio program and an app. ▪ To minimize water to be wasted, farmers will be trained, among other topics, in sustainable water management techniques and wastewater treatment systems will be built for the processing plants foreseen in the project (S04). 	<p>Local Technical Coordinator</p> <p>Climate, Water and Irrigation Specialist</p> <p>Geographic Specialist</p>	<ul style="list-style-type: none"> ▪ From the second year
2.1.2.1. Develop a physical and knowledge network for conservation and use of phytogenic resources through in-situ and ex-situ conservation activities.	<ul style="list-style-type: none"> ▪ Awareness raising and trainings on best practices, protocols and other key considerations ▪ Participatory research aiming at identifying genetic materials involving farmers ▪ Sensitization campaigns and incentives to capitalize capacities and implementation of sustainable initiatives. ▪ Design a stakeholder engagement strategy for knowledge generation and management. ▪ Set up capacity-building spaces to introduce the potential of sustainable agricultural systems ▪ Development of protocols for quality control and quality assessment processes, to ensure compliance with the minimum quality and biosecurity standards Capacity building process and discussions on legal frameworks. ▪ Biosecurity issues will be promoted with ABG to facilitate seed interchange considering the restrictions established for the islands. ▪ Put in place the monitoring system in the PSEAH Plan at the highest levels for regular reporting on PSEAH. 	<p>Local Technical Coordinator</p> <p>Climate, Water and Irrigation Specialist</p> <p>Geographic Specialist</p>	<p>From the Beginning of the implementation of the Programme.</p> <ul style="list-style-type: none"> ▪ This Process has to be continued during all the implementation to ensure the success of the other activities
2.1.2.2. Implement an integrated	<ul style="list-style-type: none"> ▪ Activities will be developed under local territorial planning and considering local and national regulations, as well as land use suitability and with a landscape approach, minimizing social and environmental impacts. 	Local Technical Coordinator	From the Beginning of the implementation of the Programme.

Activity Identified risks in accordance with GCF's E&SP ²⁰ and Impact			
Activity	Mitigation Measures	Responsible	Phase
climate-resilient crop management system at farm level.	<ul style="list-style-type: none"> ▪ Develop a diagnosis/baseline of the situation of the ecosystems and the activities implemented. ▪ Strengthen the management of agricultural inputs in the stages of introduction, distribution, commercialization, use, and final disposal of containers and residues. Review and/or update legal frameworks related to pesticide management, in accordance with the special regime for Galapagos. ▪ Training workshops and on-site assistance by lead farmers to facilitate farmer-to-farmer learning Design instruments for container and waste management ▪ Develop strategies to strengthen soil governance and conservation, aligned with international and national guidelines. (SO1) ▪ Establish an early warning system and instruments to prevent or mitigate disasters. 	<p>Climate, Water and Irrigation Specialist</p> <p>Geographic Specialist</p>	<ul style="list-style-type: none"> ▪ This Process has to be continued during all the implementation to ensure the success of the other activities
2.1.2.3. Implement silvopastoral practices at the farm level.	<ul style="list-style-type: none"> ▪ Disease monitoring and control plans, immunization and vaccination schedules. ▪ Adequate selection of forage species in terms of adaptation, management and yield. ▪ Use of registered supplies and according to technical recommendations. ▪ Animal health and wellness monitoring plan. ▪ Monitoring the feeding of adequate amounts of forage, water, and mineral salts, considering their quality, as well as the need to supplement diets. ▪ Monitoring system to quantify the reduction of GHG, production of domestic biogas and use and quality of biofertilizers. 	<p>Local Technical Coordinator</p> <p>Climate, Water and Irrigation Specialist</p> <p>Geographic Specialist</p>	<p>From the Beginning of the implementation of the Programme.</p> <ul style="list-style-type: none"> ▪ This Process has to be continued during all the implementation to ensure the success of the other activities
2.1.2.4. Develop and implement water collection and water management systems for climate-resilient food production.	<ul style="list-style-type: none"> ▪ Design a communication and participation strategy containing all activities and manners for each group of producers to participate. ▪ Financial incentives associated with benefits of water management systems 	<p>Local Technical Coordinator</p> <p>Climate, Water and Irrigation Specialist</p> <p>Geographic Specialist</p> <p>Gender Specialist</p>	<p>From the Beginning of the implementation of the Programme.</p> <ul style="list-style-type: none"> ▪ This Process has to be continue during all the implementation to ensure the success of the other activities

Activity Identified risks in accordance with GCF's E&SP ²⁰ and Impact			
Activity	Mitigation Measures	Responsible	Phase
2.1.3.1 Improve the design and management effectiveness of Galapagos marine zoning, based on conclusive scientific evidence of the impact of climate change on fishery resources, marine biodiversity, and fishers' livelihoods.	<ul style="list-style-type: none"> ▪ The project will set recommendations for the new marine zoning based on a comprehensive understanding and evidence about how Galapagos fishery resources and marine biodiversity have been impacted by the interactions of the ENSO, overfishing and IUU fishing, and other drivers of change. This will enforce fishers trust and buy-in on the new marine zoning ▪ The program will give strong technical and financial support to CGREG and the GNPD, for the effective implementation of the Consultative Board of Participatory Management (CBPM) and other stakeholder coordination platforms. ▪ Stakeholders in the re-zoning process will be engaged, through extensive and participatory consultation in the CBPM and other coordination platforms, through innovative participatory methods that involve not only small-scale fishers but also tour operators, naturalist guides, conservationists, scientists, representatives of local governments, and the public ▪ The program shall prevent any harassment behavior through collective rules for participation and ensuring that workshops are held in safe places. ▪ Mitigation measures to protect actual or suspected survivors of SEAH must be implemented 	<p>Program Coordinator</p> <p>WWF-Ecuador</p> <p>Adaptation Specialist</p>	<p>From the Beginning of the implementation of the Programme.</p> <ul style="list-style-type: none"> ▪ This Process has to be continue during all the implementation to ensure the success of the other activities.
2.1.3.2 Design and implement an advanced data system for the adaptive co-management of the Galapagos marine zoning.	<ul style="list-style-type: none"> ▪ Local management authorities, scientists, NGO, and relevant stakeholders will be trained to facilitate the integration of the information generated by the Subtidal Ecological Monitoring module into GMR management decisions. ▪ Knowledge and technological transfer for different stakeholders will be promoted. ▪ Design a PSEAH Plan to prevent, mitigate, investigate and remedy situations or acts perpetrated of sexual exploitation, abuse and harassment during the direct execution of activities related to the Programme, to be applied by AE, EEs and partners. ▪ Implement capacity building process to personnel form AE, EE and partners, to ensure full understanding of SEAH concepts, risks, prevention/ mitigation measures and program policy 	<p>Program Coordinator</p> <p>WWF-Ecuador</p> <p>Adaptation Specialist</p>	<p>From the Beginning of the implementation of the Programme.</p> <ul style="list-style-type: none"> ▪ This Process has to be continue during all the implementation to ensure the success of the other activities.
2.1.3.3 Strengthen the current decision-making framework to inform the adaptive co-management of	<ul style="list-style-type: none"> ▪ Install capacities in the GNPD, CGREG, fishers' associations to ensure inclusive decision-making framework. ▪ Integrate social and economic indicators into the monitoring framework ▪ Design a PSEAH Plan to prevent, mitigate, investigate and remedy situations or acts perpetrated of sexual exploitation, abuse and harassment during the direct execution of activities related to the Programme , to be applied by AE, EEs and partners. 	<p>Program Coordinator</p> <p>Policy Officer</p> <p>WWF-Ecuador</p>	<p>From the Beginning of the implementation of the Programme.</p> <ul style="list-style-type: none"> ▪ This Process has to be continued during all the

Activity Identified risks in accordance with GCF's E&SP ²⁰ and Impact			
Activity	Mitigation Measures	Responsible	Phase
the Galápagos Marine Reserve.	<ul style="list-style-type: none"> ▪ Implement capacity building process to personnel form AE, EE and partners, to ensure full understanding of SEAH concepts, risks, prevention/mitigation measures and program policy. ▪ Ensure the grievance mechanism is open, secure and accessible to all stakeholders 	Adaptation Specialist	implementation to ensure the success of the other activities.
2.1.4.1 Management conditions of small-scale tuna fisheries, strengthened to reduce the ecological impact of the fishery over secondary and endangered, threatened and protected (ETP) species.	<ul style="list-style-type: none"> ▪ Build from the alliance created by 12 governmental and non-governmental organizations in 2019 to develop the C-FIP for the Galapagos tuna fishery. - ▪ Support through technical and technological assistance to small-scale fishers on practices to meet the C-FIP standards ▪ Training on implementation of best practices according with the C-FIP standards. ▪ Communicate benefits for fishers of adopting C-FIP standards. ▪ C-FIP Steering Committee will be set up with representatives of the GNP, CGREG, NGO and small-scale fishing sector. Such committee will meet every six months to follow-up the implementation of the C-FIP. ▪ Put in place the monitoring system in the PSEAH Plan at the highest levels for regular reporting on PSEAH. ▪ Implement a PSEAH Plan to prevent, mitigate, investigate and remedy situations or acts perpetrated of sexual exploitation, abuse and harassment during the direct execution of activities related to the Programme, to be applied by AE, EEs and partners. ▪ Ensure the grievance mechanism is open, secure and accessible to all stakeholders. 	Program Coordinator WWF-Ecuador Adaptation Specialist	From the Beginning of the implementation of the Programme. <ul style="list-style-type: none"> ▪ This Process has to be continued during all the implementation to ensure the success of the other activities.
2.1.4.2 Management of sailfin groupers fishery strengthened to mitigate climate change impacts while restoring the species ecological role.	<ul style="list-style-type: none"> ▪ The program will work with the GNP, Galapagos Governing Council, small-scale fishing sector, private sector, and other relevant actors to define a C-FIP action plan and a bankable business plan that helps to attract the investment required for the holistic, participatory, and community-based improvement of the Galapagos sailfin grouper. ▪ As a fundamental part of this framework, with this outcome the program will elaborate and promote the adoption of a participatory management plan for the sailfin grouper, considering the effects of climate change; this plan will include landing regulations, improve fishing practices and monitoring activities ▪ C-FIP Steering Committee will be set up with representatives of the GNP, CGREG, NGO and small-scale fishing sector. Such committee will meet every six months to follow-up the design and implementation of the C-FIP. ▪ Put in place the monitoring system in the PSEAH Plan at the highest levels for regular reporting on PSEAH. ▪ Implement a PSEAH Plan to prevent, mitigate, investigate and remedy situations or acts perpetrated of sexual exploitation, abuse and harassment during the direct execution of activities related to the Programme, to be applied by AE, EEs and partners. ▪ Ensure the grievance mechanism is open, secure and accessible to all stakeholders 	Program Coordinator WWF-Ecuador Adaptation Specialist	From the Beginning of the implementation of the Programme. <ul style="list-style-type: none"> ▪ This Process has to be continued during all the implementation to ensure the success of the other activities.

Activity Identified risks in accordance with GCF's E&SP ²⁰ and Impact			
Activity	Mitigation Measures	Responsible	Phase
2.1.4.3 Small-scale aquaculture and experimental allocation of Territorial Use Rights for Fishing (TURFs) implemented to rebuild sea cucumber stocks and diversify fishers' livelihoods.	<ul style="list-style-type: none"> ▪ Diversification of practices and management opportunities ▪ Use validated technology for larval rearing, juvenile production and asexual reproduction by transverse fission in captivity developed at the Centro Nacional de Acuicultura e Investigaciones Marinas of the Escuela Superior Politécnica del Litoral of Ecuador, which is helping to restore wild population at the El Pelado, a marine protected area located in mainland Ecuador. ▪ Strengthen capacities of the GNPD as administrator of the GMR to enforce the TURFs, through the vessel monitoring system (VMS) and Automatic Identification System (AIS) already in place, in collaboration with the group of fishers who are granted the TURFs. ▪ Implement a PSEAH Plan to prevent, mitigate, investigate and remedy situations or acts perpetrated of sexual exploitation, abuse and harassment during the direct execution of activities related to the Programme, to be applied by AE, EEs and partners. ▪ Ensure the grievance mechanism is open, secure and accessible to all stakeholders. ▪ SEAH screening mechanisms applied when hiring personnel and establishing partnerships 	<p>Program Coordinator</p> <p>WWF-Ecuador</p> <p>Adaptation Specialist</p>	<p>From the Beginning of the implementation of the Programme.</p> <ul style="list-style-type: none"> ▪ This Process has to be continued during all the implementation to ensure the success of the other activities.
2.1.5.1 Implement strategies to improve the livestock/meat and milk value chain.	<ul style="list-style-type: none"> ▪ Promoting environmentally friendly practices (improvement of pastures, animal nutrition/health, management of livestock and crops) ▪ Strengthen local capacities and the use of more efficient technologies in meat processing practices, pasteurized milk and dairy products to improve their positioning in the local market and increase their profitability at all stages of the value chain. Involvement of local governments in the delivery of incentives or certificates that promote sustainable practices. ▪ Provision of alternatives for establishing adequate meat processing infrastructure in the islands, including infrastructure that minimize effluents generated in slaughterhouses, refrigerated trucks and management plans. ▪ Operation of direct loan lines for the improvement of local productive infrastructure linked to an eligibility strategy for accessing loans. ▪ Improve the reliability and quality of meat and dairy products and establish local markets where producers and consumers directly relate to each other, in coordination with local governments. <p>Eligibility for accessing loans for investment in sustainable land use</p> <ul style="list-style-type: none"> ▪ Silvopastoral systems. Storage, distribution, use. ▪ Value chains - machinery, equipment, working capital (seed fund, seed capital to start the process) ▪ Placed in most vulnerable zones subject to changes in water availability. ▪ Lower income and small farm size will be prioritized. ▪ Participation on farming field schools. 	<p>Local Technical Coordinator</p> <p>Social Specialist</p> <p>Gender Specialist</p>	<ul style="list-style-type: none"> ▪ From the beginning of the project

Activity Identified risks in accordance with GCF's E&SP ²⁰ and Impact			
Activity	Mitigation Measures	Responsible	Phase
	<ul style="list-style-type: none"> ▪ Those who have previously participated in technical assistance activities and capacity building processes will be favored. ▪ No purchase of additional livestock, no expansion of the agricultural frontier. ▪ As part of the Grant for the LFI there is the development of a Web Platform Information Systematized Project Implementation. The LFI loan officers will be able to easily include the projects in the platform and assess the eligibility. E&S category: B or C (category A is not eligible) ▪ Put in place the monitoring system in the PSEAH Plan at the highest levels for regular reporting on PSEAH. ▪ Ensure the grievance mechanism is open, secure and accessible to all stakeholders. 		
2.1.5.2 Implement strategies to improve the Galapagos coffee value chain.	<ul style="list-style-type: none"> ▪ Promote quality and productivity improvement and support processing systems to strengthen coffee producers' capacities to integrate value chains and improve their income. ▪ Promotion of direct loan lines to improve coffee value chain, linked to an eligibility strategy for accessing loans. ▪ Support the implementation of two coffee processing plants, infrastructure and equipment to implement a dry processing center. ▪ The dynamics of agro processing will be addressed by means of an integral and comprehensive approach so as to reduce environmental impacts. Wastewater will be treated and capture on-site and serve as biofertilizers for coffee plantations (S04). ▪ Involvement of local governments in the implementation of market sites where local producers are directly related to consumers, reducing dependence on intermediaries. ▪ Implementation of adequate traceability systems and communication for consumers about the content, origin and processing of coffee, including social and environmental impacts they may have. ▪ Increased income for coffee growers will lead to a renewed interest in coffee production, enhancing the local economy. <p>Eligibility for accessing loans for investment in sustainable land use</p> <ul style="list-style-type: none"> ▪ Silvopastoral systems. Storage, distribution, use. ▪ Value chains - machinery, equipment, working capital (seed fund, seed capital to start the process) ▪ Placed in most vulnerable zones subject to changes in water availability. ▪ Lower income and small farm size will be prioritized. ▪ Participation on farming field schools. ▪ Those who have previously participated in technical assistance activities and capacity building processes will be favored. 	<p>Local Technical Coordinator</p> <p>Climate, Water and Irrigation Specialist</p> <p>Social Specialist</p>	<ul style="list-style-type: none"> ▪ From the beginning of the project

Activity Identified risks in accordance with GCF's E&SP ²⁰ and Impact			
Activity	Mitigation Measures	Responsible	Phase
	<ul style="list-style-type: none"> ▪ No purchase of additional livestock, no expansion of the agricultural frontier. ▪ As part of the Grant for the LFI there is the development of a Web Platform Information Systematized Project Implementation. The LFI loan officers will be able to easily include the projects in the platform and assess the eligibility. E&S category: B or C (category A is not eligible) ▪ Put in place the monitoring system in the PSEAH Plan at the highest levels for regular reporting on PSEAH. ▪ Ensure the grievance mechanism is open, secure and accessible to all stakeholders. ▪ Prevention with communication and mandatory training of the PSEAH Plan to all stakeholders. 		
2.1.5.3 Implement strategies to improve the Galapagos vegetables value chain.	<ul style="list-style-type: none"> ▪ Promote producers' associativity to strengthen economies of scale. ▪ Develop micro-enterprises that add value to products grown using agroecological practices (S03). ▪ Promotion of direct loan lines to improve coffee value chain, linked to an eligibility strategy for accessing loans. ▪ Implementation of two processing plants for flours and chips (cassava, banana and plantain), two processing plants for preserves and pulps, and two agro-processing plants for aromatic herbs, through direct loan lines. ▪ Design and application of public policy to position a local brand for agricultural products, including incentives and affirmative measures for women producers (S09) and market sites. ▪ Waste and water management, wastewater treatment, environmentally friendly production systems (S04). <p>Eligibility for accessing loans for investment in sustainable land use</p> <ul style="list-style-type: none"> ▪ Silvopastoral systems. Storage, distribution, use. ▪ Value chains - machinery, equipment, working capital (seed fund, seed capital to start the process) ▪ Placed in most vulnerable zones subject to changes in water availability. ▪ Lower income and small farm size will be prioritized. ▪ Participation on farming field schools. ▪ Those who have previously participated in technical assistance activities and capacity building processes will be favored. ▪ No purchase of additional livestock, no expansion of the agricultural frontier. ▪ As part of the Grant for the LFI there is the development of a Web Platform Information Systematized Project Implementation. The LFI loan officers will be able to easily include the 	<p>Local Technical Coordinator</p> <p>Climate, Water and Irrigation Specialist</p> <p>Social Specialist</p> <p>Gender Specialist</p>	<ul style="list-style-type: none"> ▪ From the begging of the project

Activity Identified risks in accordance with GCF's E&SP ²⁰ and Impact			
Activity	Mitigation Measures	Responsible	Phase
	<p>projects in the platform and assess the eligibility. E&S category: B or C (category A is not eligible)</p> <ul style="list-style-type: none"> Put in place the monitoring system in the PSEAH Plan at the highest levels for regular reporting on PSEAH. Guarantee the grievance mechanism is open, secure and accessible to all stakeholders. 		
2.1.5.4 Promotion of a blue circular economy through new sustainable and socially responsible seafood enterprises.	<ul style="list-style-type: none"> Apply the behavioral change approach to incentivize local population and design the G-Lab methodologies. Develop a communication strategy to engage the local population Put in place the monitoring system in the PSEAH Plan at the highest levels for regular reporting on PSEAH. The program shall prevent any harassment behavior through the establishment of collective rules, protocols, and agreements at participating businesses and ensuring mitigation measures to protect actual or suspected survivors. Guarantee the grievance mechanism is open, secure, and accessible to all stakeholders. 	<p>Program Coordinator</p> <p>WWF-Ecuador</p> <p>Gender Specialist</p> <p>Adaptation Specialist</p> <p>E&S Specialist</p>	<p>From the Beginning of the implementation of the Programme.</p> <ul style="list-style-type: none"> This Process has to be continued during all the implementation to ensure the success of the other activities.
2.1.5.5 Put in place a long-term financing mechanism to improve sustainability and competitiveness of Galapagos small-scale fishing sector.	<ul style="list-style-type: none"> A behavior insights analysis will be performed to identify adequate strategies to address potential beneficiaries to achieve their interest and willingness to acquire the loan. Through this analysis, the program will explore what barriers might impede this behavior, as well as existing enablers we could draw on to encourage change To the extent feasible, business plans for pilot seafood ventures should incorporate and demonstrate their alignment with three principles. Economic efficiency: ensure productivity and profitability of fisheries, particularly a strong value proposition for investment under prospective pilot operations. Social equity: promote positive social welfare outcomes for beneficiaries and effective distribution of wealth from enhanced fisheries, including income and livelihood opportunities, development of value-added products, and market access and diversification, recognizing the key role of women in fisheries value chains. Biodiversity conservation and ecosystem health: reduce the ecological impact of fishing on marine biodiversity and ecosystems by minimizing fishing pressure over commercial and protected species. An investment proposal fulfilling the three principles described should include most of the following conditions: 	<p>Program Coordinator</p> <p>WWF-Ecuador</p> <p>Gender Specialist</p> <p>Adaptation Specialist</p> <p>E&S Specialist</p>	<p>From the Beginning of the implementation of the Programme.</p> <ul style="list-style-type: none"> This Process has to be continued during all the implementation to ensure the success of the other activities.

Activity Identified risks in accordance with GCF's E&SP ²⁰ and Impact			
Activity	Mitigation Measures	Responsible	Phase
	<ul style="list-style-type: none"> ▪ Demonstrate that the pilot seafood venture creates business opportunities that are attractive from a financial point of view. ▪ Increase seafood consumption at the domestic market to improve food security. ▪ Promote consumption of pelagic species, mainly tuna, rather than species with signs of overexploitation (e.g., sailfin grouper). ▪ Promote the adoption of state-of-the-art technology to reduce IUU fishing, by-catch, habitat destruction, and marine pollution, including emission of greenhouse gasses. ▪ Promote e-commerce and the adoption of blockchain traceability system. ▪ Promote market diversification and development of value-added seafood products. ▪ Increase quality rather than seafood quantity. ▪ Maximizing the use and value of seafood by-products. ▪ Promote mechanisms to adopt appropriate tenure rights to deal with the common pool resource problems and avoid the dissipation of fishery rents. ▪ Propose market-based strategies that maximize net social benefits (profits and social welfare), while minimizing social costs (social negative impacts and environmental negative externalities). ▪ As part of the Grant for the LFI there is the development of a Web Platform Information Systematized Project Implementation. The LFI loan officers will be able to easily include the projects in the platform and assess the eligibility. E&S category: B or C (category A is not eligible) ▪ Put in place the monitoring system in the PSEAH Plan at the highest levels for regular reporting on PSEAH. ▪ Ensure the grievance mechanism is open, secure and accessible to all stakeholders. 		
2.2.1.1 Strengthen marine biosecurity programs in the GMR, to prevent and control marine bioinvasions by Nonindigenous Species (NIS) that could proliferate due to the effects of climate change.	<ul style="list-style-type: none"> ▪ Creating risk analysis and ranking systems for biosecurity, and effective Early Detection and Rapid Response (EDRR) protocols to diminish new NIS invasions in the marine environment and create an alert system to announce new incursions of marine invasive species in the GMR. This will allow for rapid detection of threats, improve coordination between local stakeholders and authorities, and will develop both an informal and formal detection network and engage the public through citizen science. Complementarily, the program will implement a regional outreach campaign to showcase and promote the replica of the GMR NIS Alert System and EDRP, in other ETP region marine protected areas (MPAs). WWF will engage GNPD as a procured party/service provider to implement the monitoring protocols with support of the FCD and integrated to the GNPD management procedures. ▪ Put in place the monitoring system in the PSEAH Plan at the highest levels for regular reporting on PSEAH. ▪ Guarantee the grievance mechanism is open, secure and accessible to all stakeholders. 	Program Coordinator WWF-Ecuador Gender Specialist Adaptation Specialist <ul style="list-style-type: none"> ▪ E&S Specialist 	From the Beginning of the implementation of the Programme. <ul style="list-style-type: none"> ▪ This Process has to be continued during all the implementation to ensure the success of the other activities.

Activity Identified risks in accordance with GCF's E&SP ²⁰ and Impact			
Activity	Mitigation Measures	Responsible	Phase
	<ul style="list-style-type: none"> Capacity building on prevention of any form of Sexual Exploitation, Sexual Abuse, or Sexual Harassment to stakeholders accessing the loans 		
2.2.1.2 Restore high ecological value coral reefs through coral planting and exclusion areas, to enhance their ecological role in the GMR.	<ul style="list-style-type: none"> Knowledge exchange and technical assistance from Nova Southeastern University (NSU), to the GNPD and CDF will take place to apply proven techniques and methodologies to grow and transplant corals. Implement a PSEAH Plan to prevent, mitigate, investigate and remedy situations or acts perpetrated of sexual exploitation, abuse and harassment during the direct execution of activities related to the Programme, to be applied by AE, EEs and partners. Ensure the grievance mechanism is open, secure, and accessible to all stakeholders 	Program Coordinator WWF-Ecuador Gender Specialist Adaptation Specialist <ul style="list-style-type: none"> E&S Specialist 	From the Beginning of the implementation of the Programme. <ul style="list-style-type: none"> This Process has to be continued during all the implementation to ensure the success of the other activities.
2.2.1.3 Reduce the impact of diving, anchoring and pollution related to tourism operations in selected marine HEVAs, to enhance ecosystems resilience and adaptive capacity to the effects of climate change	<ul style="list-style-type: none"> A behavior insights analysis will be performed to identify adequate strategies to address potential beneficiaries to achieve their interest and willingness to acquire the loan. Through this analysis, the program will explore what barriers might impede this behavior, as well as existing enablers we could draw on to encourage change. Eligibility conditions for accessing credit for investment in Digital Positioning Systems. <ul style="list-style-type: none"> Diving cruises operating in the Galapagos selected based on their willingness to engage. Digital Positioning Systems (DPS). Boats meet minimum required engine and electric technological standards. Operators' capacity to finance further maintenance of equipment, and signature of a commitment letter with the GNPD and Navy Operator availability of human and time resources to be trained in related aspects. O&M Plan developed. As part of the Grant for the LFI there is the development of a Web Platform Information Systematized Project Implementation. The LFI loan officers will be able to easily include the projects in the platform and assess the eligibility. E&S category: B or C (category A is not eligible) Develop a Decision Support System (DSS) portal for policymakers, with information regarding marine tourism, including impacts from the tourism activities and the health of sites. 	Program Coordinator WWF-Ecuador Gender Specialist Adaptation Specialist <ul style="list-style-type: none"> E&S Specialist 	From the Beginning of the implementation of the Programme. <ul style="list-style-type: none"> This Process has to be continued during all the implementation to ensure the success of the other activities.

Activity Identified risks in accordance with GCF's E&SP ²⁰ and Impact			
Activity	Mitigation Measures	Responsible	Phase
	<ul style="list-style-type: none"> ▪ The program shall prevent any harassment behavior through collective rules, protocols and agreements at business and ensuring mitigation measures to protect actual or suspected survivors. ▪ Implement a PSEAH Plan to prevent, mitigate, investigate and remedy situations or acts perpetrated of sexual exploitation, abuse and harassment during the direct execution of activities related to the Programme, to be applied by AE, EEs and partners. ▪ Ensure the grievance mechanism is open, secure, and accessible to all stakeholders 		
2.2.1.4 Improve surveillance and control measures for adequate sea turtle nesting and foraging in the GMR, to counteract potential effects of climate change in their reproductive success	<ul style="list-style-type: none"> ▪ The identification of the beaches for translocation of turtle's nests and foraging sites will be based on scientific analysis as well as an analysis of public uses. ▪ Implement a PSEAH Plan to prevent, mitigate, investigate and remedy situations or acts perpetrated of sexual exploitation, abuse and harassment during the direct execution of activities related to the Programme, to be applied by AE, EEs and partners. ▪ SEAH screening mechanisms applied when hiring personnel and establishing partnerships 	Program Coordinator WWF-Ecuador Gender Specialist Adaptation Specialist <ul style="list-style-type: none"> ▪ E&S Specialist 	From the Beginning of the implementation of the Programme. <ul style="list-style-type: none"> ▪ This Process has to be continued during all the implementation to ensure the success of the other activities.
2.2.2.1 Strengthen control programs for invasive plant species, especially blackberry, in protected and agricultural areas, based on projected dynamics of their expansion under climate change scenarios	<ul style="list-style-type: none"> ▪ Lay down stakeholders mapping to identify their potential and their negative practices in using guava and blackberry as a productive initiative. ▪ Design a stakeholder engagement strategy for the appropriate management of guava and blackberry. ▪ Establish high level protocols on methods, quantities, chemicals, and protection of human health ▪ Through capacity building within GNPD staff, farmers and the ABG, invasive plant species control capacities will be strengthened by monthly meetings on-site, with evaluation of visual impressions, followed up by data-supported results from the monitoring activities. This way applied control techniques will be constantly monitored and evaluated to ensure high efficacy, while at the same time minimizing negative impacts on non-target species and human health. 	Program Coordinator WWF-Ecuador Gender Specialist Adaptation Specialist E&S Specialist	From the Beginning of the implementation of the Programme. <ul style="list-style-type: none"> ▪ This Process has to be continued during all the implementation to ensure the success of the other activities.
2.2.2.2 Restore key remnant forest fragments	<ul style="list-style-type: none"> ▪ Training courses in restoration practices will be held for farmers to improve their management skills, who can then be involved in the project activities as qualified workers. Outreach activities will engage with local farmers from the project onset to ensure their 	Program Coordinator	From the Beginning of the implementation of the Programme.

Activity Identified risks in accordance with GCF's E&SP ²⁰ and Impact			
Activity	Mitigation Measures	Responsible	Phase
inside and outside the GNP, to enhance ecosystems adaptive capacity and provision of environmental services.	<p>support. This will be done through roundtable discussions on the proposed activities and the benefit to them, through workshops and training on <i>Scalesia</i> cultivation, as well as field trips to project sites.</p> <ul style="list-style-type: none"> ▪ Implement a PSEAH Plan to prevent, mitigate, investigate and remedy situations or acts perpetrated of sexual exploitation, abuse and harassment during the direct execution of activities related to the Programme, to be applied by AE, EEs and partners. ▪ Ensure the grievance mechanism is open, secure, and accessible to all stakeholders. ▪ SEAH screening mechanisms applied when hiring personnel and establishing partnerships. 	<p>WWF-Ecuador</p> <p>Gender Specialist</p> <p>Adaptation Specialist</p> <p>E&S Specialist</p>	<ul style="list-style-type: none"> ▪ This Process has to be continued during all the implementation to ensure the success of the other activities.
2.2.2.3 Monitor success and impacts of invasive species control and restoration measures	<ul style="list-style-type: none"> ▪ Permanent evaluation of the monitoring, control, and restoration measures to: (a) identify the areas that are in need for active restoration with <i>Scalesia</i> species and other native species, and (b) select areas where a passive restoration is still possible. This distinction is important to be able to allocate scarce restoration funding accordingly. ▪ Implement a PSEAH Plan to prevent, mitigate, investigate and remedy situations or acts perpetrated of sexual exploitation, abuse and harassment during the direct execution of activities related to the Programme, to be applied by AE, EEs and partners. ▪ . Ensure the grievance mechanism is open, secure, and accessible to all stakeholders. ▪ SEAH screening mechanisms applied when hiring personnel and establishing partnerships. 	<p>Program Coordinator</p> <p>WWF-Ecuador</p> <p>Gender Specialist</p> <p>Adaptation Specialist</p> <p>E&S Specialist</p>	<p>From the Beginning of the implementation of the Programme.</p> <ul style="list-style-type: none"> ▪ This Process has to be continued during all the implementation to ensure the success of the other activities.
3.1.1.1 Implement an ecotourism certification scheme to adopt best practices across the tourism value chain.	<ul style="list-style-type: none"> ▪ Implement a capacity and awareness process with different stakeholders ▪ The program will work with the GNP, Galapagos Governing Council for the enforcement tourism management and monitoring ▪ Ensure contracts of the Tourism Sector (hotels and restaurants) include clauses on PSEAH (for example all workers and staff sign codes of conduct). ▪ Ensure the certification includes the tourist from the beginning and arrival to the Galapagos islands with in the CGREG and the GNP. ▪ The program shall prevent any harassment behavior through collective rules, protocols and agreements at business and ensuring mitigation measures to protect actual or suspected survivors ▪ Implement a PSEAH Plan to prevent, mitigate, investigate and remedy situations or acts perpetrated of sexual exploitation, abuse and harassment during the direct execution of activities related to the Programme, to be applied by AE, EEs and partners. ▪ Ensure the grievance mechanism is open, secure, and accessible to all stakeholders. 	<p>Program Coordinator</p> <p>Education Officer</p> <p>Communication Director</p> <p>Gender Specialist</p> <p>E&S Specialist</p> <p>WWF-Ecuador</p>	<p>From the Beginning of the implementation of the Programme.</p> <ul style="list-style-type: none"> ▪ This Process has to be continued during all the implementation to ensure the success of the other activities.

Activity Identified risks in accordance with GCF's E&SP ²⁰ and Impact			
Activity	Mitigation Measures	Responsible	Phase
	<ul style="list-style-type: none"> Capacity building on prevention of any form of Sexual Exploitation, Sexual Abuse, or Sexual Harassment to stakeholders accessing the certification 		
3.1.2.1 Strengthen the educational system of Galapagos to provide quality education to face climate change and promote sustainable development.	<ul style="list-style-type: none"> Generate a learning and capacity building process with key stakeholders Design a communicational campaign about climate change and sustainable development Coordinate educational activities with the National Services on Risk and Emergencies, MAATE and Ministry of Education. Implement a PSEAH Plan to prevent, mitigate, investigate and remedy situations or acts perpetrated of sexual exploitation, abuse and harassment during the direct execution of activities related to the Programme, to be applied by AE, EEs and partners. Ensure the grievance mechanism is open, secure, and accessible to all stakeholders. Capacity building on prevention of any form of Sexual Exploitation, Sexual Abuse, or Sexual Harassment to education institutions engaged in the project. SEAH screening mechanisms applied when hiring personnel and establishing partnerships 	Program Coordinator Education Officer Communication Director Gender Specialist E&S Specialist WWF-Ecuador	From the Beginning of the implementation of the Programme. <ul style="list-style-type: none"> This Process has to be continue during all the implementation to ensure the success of the other activities.
3.1.2.2 Strengthen knowledge and foster engagement of the general public and key stakeholders on climate change impacts and solutions.	<ul style="list-style-type: none"> Design a communicational campaign about climate change and sustainable development Coordinate educational activities with the National Services on Risk and Emergencies, MAATE and Ministry of Education The program shall prevent any harassment behavior through collective rules for participation and ensuring mitigation measures to protect actual or suspected survivors Implement a PSEAH Plan to prevent, mitigate, investigate and remedy situations or acts perpetrated of sexual exploitation, abuse and harassment during the direct execution of activities related to the Programme, to be applied by AE, EEs and partners. Capacity building on prevention of any form of Sexual Exploitation, Sexual Abuse, or Sexual Harassment. 	Program Coordinator Education Officer Communication Director Gender Specialist E&S Specialist WWF-Ecuador	From the Beginning of the implementation of the Programme. <ul style="list-style-type: none"> This Process has to be continue during all the implementation to ensure the success of the other activities.
3.1.2.3 Facilitate non-formal education and	<ul style="list-style-type: none"> Design a communicational campaign about climate change and sustainable development Create a youth community and promote advocacy action, exchanges and dialogues with different social organizations 	Program Coordinator	From the Beginning of the implementation of the Programme.

Activity Identified risks in accordance with GCF's E&SP ²⁰ and Impact			
Activity	Mitigation Measures	Responsible	Phase
mobilization opportunities to encourage youth and local community empowerment on climate action.	<ul style="list-style-type: none"> ▪ The program shall prevent any harassment behavior through collective rules for participation and ensuring mitigation measures to protect actual or suspected survivors. ▪ Implement a PSEAH Plan to prevent, mitigate, investigate and remedy situations or acts perpetrated of sexual exploitation, abuse and harassment during the direct execution of activities related to the Programme, to be applied by AE, EEs and partners. ▪ Capacity building on prevention of any form of Sexual Exploitation, Sexual Abuse, or Sexual Harassment. 	Education Officer Communication Director Gender Specialist E&S Specialist WWF-Ecuador	<ul style="list-style-type: none"> ▪ This Process has to be continue during all the implementation to ensure the success of the other activities.
3.1.3.1 Mainstream climate change into regulations and planning instruments and define a financial sustainability strategy.	<ul style="list-style-type: none"> ▪ Technical cooperation for integrating social aspects of climate change and SDG in the climate change planning ▪ Include resources distribution in the planning process, combining development and climate policies. ▪ Implement a PSEAH Plan to prevent, mitigate, investigate and remedy situations or acts perpetrated of sexual exploitation, abuse and harassment during the direct execution of activities related to the Programme, to be applied by AE, EEs and partners. ▪ Capacity building on prevention of any form of Sexual Exploitation, Sexual Abuse, or Sexual Harassment 	Program Coordinator Education Officer Communication Director Gender Specialist E&S Specialist WWF-Ecuador	From the Beginning of the implementation of the Programme. <ul style="list-style-type: none"> ▪ This Process has to be continue during all the implementation to ensure the success of the other activities.

To ensure there is consistency in preventing and responding to SEAH, the Programme will conduct a risks assessment regularly, at least annually. The review process should be participatory and include staff from across the Programme within the Executing Entities to understand the risks and the role they may play in mitigation measures.

6.5. Mitigation Measures in the Prevention of Sexual Exploitation, Abuse and Harassment Management

Table 6. Mitigation Measures in the Prevention of Sexual Exploitation, Abuse and Harassment Management

Mitigation Measures in the Prevention of Sexual Exploitation, Abuse and Harassment			
Indicator	Common risks	Mitigation measures	Comment on how you meet the indicator and attach evidence
Clear commitment to PSEAH	<ul style="list-style-type: none"> -The Programme doesn't have a common approach to identifying, preventing and responding to SEAH. -There is a lack of clarity on how to identify and address Programme SEAH risks, including staff recruitment, whistleblowing, case management and handling. -There is a lack of capacities about gender approach and prevention of violence based on gender. 	<ul style="list-style-type: none"> -A PSEAH Plan is approved by developed with the measures that will realize that commitment. -The PSEAH Plan meets relevant standards and reflects local laws. 	<ul style="list-style-type: none"> -A Plan that reflects PSEAH risks. -The PSEAH Plan is approved by the Programme Steering Committee. -Minutes from induction and refresher session signed.
Safeguarding measures on PSEAH are monitored, and senior management held accountable	<ul style="list-style-type: none"> -The PMU is not clear on their role and responsibility for safeguarding PSEAH Plan. -Programme Steering Committee does not allocate responsibilities and resourcing for safeguarding in the PMU. -The implementation plan for safeguarding PSEAH is properly funded. -Safeguarding PSEAH measures are not included in the Programme reviews or monitoring processes. 	<ul style="list-style-type: none"> -Safeguarding is a regular agenda item at Programme Steering Committee. -The Gender Specialist is the safeguarding PSEAH focal point. -The PMU is skilled in managing tensions that arise from implementing safeguarding standards in local contexts. -Existing Programme reviews and monitoring processes include progress with implementing safeguarding measures. 	<ul style="list-style-type: none"> -Programme Steering Committee agenda and minutes. -Safeguarding PSEAH implementation plan. -Safeguarding PSEAH Focal Point job description.

Clear expectations on staff, volunteers, consultants and associates on ethical, professional and personal conduct.	<ul style="list-style-type: none"> -Many consultants of the Programme don't recognize that PSEAH is their responsibility. -EE staff of the Programme do not understand that their conduct must meet expectations in both their professional and personal life. -There is a lack of knowledge about protocols and regulations for gender-based violence referrals 	<ul style="list-style-type: none"> -A Code of Conduct²³ for all staff of the Programme that defines appropriate behavior and identifies consequences for breaches. -A Code of Conduct is translated into appropriate local languages. -A referral manual is carried out for the Programme 	<ul style="list-style-type: none"> -A Code of Conduct that reflects PSEAH risks. -A copy of the Code of Conduct signed by staff, volunteers, consultants and associates. -The Code of Conduct is in English and Spanish
All staff, consultants, volunteers and associates are recruited safely recruited according with the terms of the code of ethics and gender policy	<ul style="list-style-type: none"> -Recruitment processes under the Programme are weak and allow candidates with a previous record of SEAH violations to join the Programme or not consider equal treatment and prevention of any way of intimidation for women and men 	<ul style="list-style-type: none"> -The Executing Entities Policies for recruitment include PSEAH course and professional ethics. 	<ul style="list-style-type: none"> -Screening guidelines for staff. -Police clearance certificates for staff.
Effective and appropriate training and awareness on PSEAH is conducted.	<ul style="list-style-type: none"> -Staff, consultants, volunteers and associates are not aware of their safeguarding responsibilities. 	<ul style="list-style-type: none"> -Safeguarding induction training is delivered to new staff, consultants, volunteers and associates. -Regular meetings are used to continuously raise awareness on safeguarding as part of the PSEAH Plan. -Refresher trainings are conducted annually. 	<ul style="list-style-type: none"> -Minutes of regular awareness raising sessions and trainings. -Posters in local languages in places where all staff can see. -Training courses evaluation
PSEAH activities are designed, implemented and monitored to ensure they are safe	<ul style="list-style-type: none"> -PSEAH activities are poorly designed and/or underfunded, which exacerbates the risk of SEAH. -There are no clear standard operating procedures for particularly risky activities like cash programming, distribution activities or interaction with adolescents. -Programme risk registers do not exist or do not include safeguarding. 	<ul style="list-style-type: none"> -Regular context analyses to inform PSEAH activities design and implementation. -Robust PSEAH activities management processes which encourage Programme coordination to assess and mitigate the risks of SEAH. -SEAH risks and mitigation actions are included the PSEAH Plan activities risk register. 	<ul style="list-style-type: none"> -Risk register. -Risk framework or guidance document used by the Programme to determine risks.

²³ The Code of Conduct highlights acceptable and unacceptable behavior and consequences of violation. This has a component that demands that staff, volunteers and associates (partners, visitors, donors) agree to commit in signing to the requirements of the Code of Conduct.

Programme staff, consultants, volunteers and associates are confident and knowledgeable to report concerns.	<ul style="list-style-type: none"> -Staff, consultants, volunteers and associates don't report concerns. -Periodic monitoring is not performed, the grievance mechanism is not adequately used, reports and follow-ups are not performed 	<ul style="list-style-type: none"> -A formal Complaint and Grievance Mechanism – Annex H is designed within the Programme. -Clear and confidential mechanism in place. -Regular communications for staff, consultants, volunteers and associates on reporting channels is available. 	<ul style="list-style-type: none"> -Emails or phone numbers for reporting shared and pinned in locations that everyone can safely access. -A regular report is carried out
Programme beneficiaries are confident and knowledgeable to report concerns.	<ul style="list-style-type: none"> -Programme beneficiaries don't report concerns. 	<ul style="list-style-type: none"> -A formal Complaint and Grievance Mechanism – Annex H is designed within the Programme. -Clear and confidential mechanism in place. -Regular communications with beneficiaries on reporting channels is available. 	<ul style="list-style-type: none"> -Emails or phone numbers for reporting shared and pinned in locations that everyone can safely access.
Allegations and concerns are responded using the Complaint and Grievance Mechanism – Annex H of the Programme.	<ul style="list-style-type: none"> -Poor handling of cases. 	<ul style="list-style-type: none"> -A formal Complaint and Grievance Mechanism – Annex H is designed within the Programme. 	<ul style="list-style-type: none"> -Emails or phone numbers for reporting shared and pinned in locations that everyone can safely access.

6.6. Preliminary Checklist for a PSEAH Plan:

- Include a definition of what it covers
- Explain the scope of the PPSEAH Plan
- State the Programme zero tolerance policy for *Stakeholders involved in the Programme* committing harm, exploitation or abuse
- Outline the *Stakeholders involved in the Programme funded activities* such as; staff, volunteers, other associates as well as beneficiaries presented in the Table 3.
- Outline the responsibilities of the AE and EE
- Outline the responsibilities of the *Stakeholders involved in the Programme funded activities* such as; staff, volunteers, other associates as well as beneficiaries presented in the Table 3.
- Refer to protection of whistleblowers (for anyone who discloses malpractice)
- Outline if the national and local policies together cover all the vulnerable Stakeholders involved in the Programme funded activities ?
- Does the PSEAH Plan involves the National legislation on stakeholder engagement presented in Annex H?
- Does the PSEAH Plan includes all “Mitigation Measures in the Prevention of Sexual Exploitation, Abuse and Harassment Management” presented in Table 6.
- Does the PSEAH Plan includes all “Mitigation measures for management of environmental and social impacts and risks” and “Table 5. Environmental and Social Management Plan with responsables” presented in Table 4 and 5

Clearly state what conduct is prohibited. Include as a minimum:

- Sexual activity with a child under 18 years
- Sexual exploitation or abuse of a child or at-risk adult
- Physical, emotional or psychological abuse, or neglect of a child or at-risk adult
- Exchanging money, employment, goods or services for sexual activity
- Engaging in any sexual relationships with beneficiaries of assistance
- Engaging with sex workers
- Include additional guidelines on behavior with children, such as not travelling alone with a child in a car or not spending a night with children and adult beneficiaries

6.7. Budget

The estimated cost of implementing the mitigation measures of the safeguards plan provides for the salary of a specialist, and for workshops for capacity-building, socialization, and specific social and environmental measures. Considering the above, the anticipated budget is of 43700 USD, throughout the five years of program implementation.

SECTION 7: MONITORING AND SUPERVISION

The Programme will apply the standard procedures established by CAF for monitoring **and** evaluation of investment operations.

CFN and/or CONAFIPS will be the Executing Entities for the GCCL Activities. CAF shall enter into the relevant loan agreements with each relevant Executing Entity, to finance the GCCL with the GCF Reimbursable Funds and CAF Co-financing allocated for the GCCL. Each Executing Entity will on-lend the funds to selected LFIs. The selected LFIs' will provide GCCL Sub-Loans to sub-borrower.

It will be the responsibility of CFN and / or CONAFIPS and local banks or cooperatives, with the technical assistance of FAO and WWF, to ensure that the sub-borrower is eligible for funding from the Programme in accordance with the Programme's eligibility criteria. It will be the responsibility of FAO and WWF to ensure that the beneficiaries of grants are eligible for funding from the Programme in accordance with the Programme's eligibility criteria. Monitoring of disbursements for eligible expenditures will be reviewed by CAF. In coordination with EEs, CAF may schedule supervision visits to monitor and verify the proper use of resources and compliance with contractual conditions of the Programme with regards to the use of funds.

CAF will establish a methodology to follow appropriate commercial practices and procedures in all CAF financed operations under this Programme, as defined in the Operations Manual. In coordination with CAF, CFN / CONAFIPS will compile and maintain all information, indicators, and parameters necessary for the preparation of Program reports, including annual reports, midterm review and final evaluation.

The monitoring process intends to follow up the execution of the Programme in order to identify the intermediate milestones achieved in each phase and evaluate its outcomes and fulfilment of proposed targets. The indicators to be monitored will be those included the log frame in section E.2. Core indicator targets of the Funding Proposal.

The EEs will collect the necessary data for monitoring and present annual reports to CAF. Beneficiaries of the loans will also be trained to be able to contribute with the MRV system and to provide accurate data. In some cases, CAF will make calculations required for some indicators, based on the information provided by the local banks in the annual reports. The EEs' own information systems will undergo a gap assessment by CAF to analyze whether they are sufficient and appropriate for monitoring the proposed indicators.

EEs will deliver these annual reports within thirty (30) calendar days after the end of each year of the Programme's implementation. The reports will include information regarding the evolution of the indicators, as well as financial information regarding the use of the resources. CAF will be entitled to request additional information, if necessary. In addition to the annual reports and the scheduled activities for monitoring of the operations described above, CAF will contract an independent midterm evaluation within thirty (30) months from the effective date of the loan contract or when 50% of the Programme resources have been disbursed – whichever occurs first. Finally, EEs will present a final report to CAF up to six (6) months after the day of the last disbursement and CAF will contract an independent final evaluation. The EEs' final reports shall contain all relevant information to assess if objectives of the Programme and targets for each indicator have been met. Based on this report, CAF will also prepare a Project Completion Report (PCR), which evaluates the fulfilment of targets, reviews the overall results of the operation, and describes lessons learned, among other relevant aspects.

The M&E Specialist will develop a standardized template for the annual reporting of EEs on each of the sub-projects funded with the Programme, which will include information regarding:

- The evolution of the indicators,
- Financial information regarding the use of the resources
- E&S Mitigation Plan progress, when applicable.
- Additional information, to be determined.

CAF will be entitled to request additional information, if necessary. EEs will present a final report to CAF up to six (6) months after the day of the last disbursement and CAF will contract an independent final evaluation. The EEs final reports shall contain all relevant information to assess if objectives of the programme and targets for each indicator have been met. Based on this report CAF will also prepare a Project Completion Report (PCR), which evaluates the fulfilment of targets, reviews the overall results of the operation and describes lessons learned, among other relevant aspects.

It will be the responsibility of CFN / CONAFIPS and CAF to ensure that the LFI is eligible for funding from the programme in accordance with the programme's eligibility criteria.

CFN and CONAFIPS are responsible for the evaluation of LFIs. CFN and CONAFIPS will:

1. Identify the main risk factors of the operation and the client and determine their possible mitigators.
2. Analyze the technical, institutional, market, financial, economic, environmental, and social aspects, anti-money laundering, among others, of the operation and the client, in an exhaustive way to determine its viability.
3. In the case of non-sovereign risk operations, in addition to evaluating the client's ability to fulfill its contractual obligations, paying special attention to the economic-financial situation of the client, its payment profile and the macro-sector environment, as well as to other specific factors of the operation.

In coordination with CFN / CONAFIPS and the participating LFIs, CAF may schedule supervision visits to sub borrowers to monitor and verify the proper use of resources and compliance with contractual conditions of the Programme with regards to the use of funds.

Operations approved by participating LFIs and presented to the Programme Management Unit ("PMU") as representation of CAF to be part of the programme must be properly identified in the LFI's accounting systems and be in compliance with what is stated in the specific loan agreements. The monitoring process intends to follow up the execution of the programme in order to identify the intermediate milestones achieved in each phase and evaluate its outcomes and fulfillment of proposed targets. The indicators to be monitored will be those included in section E of the GCF proposal. Participating LFIs will collect the necessary data for monitoring and present regular reports to CAF. During the first year of lending to each LFI within the programme, participating LFIs will provide quarterly reports to CAF. Reporting for the second and following years will be either based on biannual or quarterly reports, as decided by CAF based on a case-by-case basis. The participating LFIs' own information systems will undergo a gap assessment by CAF to analyze whether they are sufficient and appropriate for monitoring the proposed indicators. If the gap analysis reveals areas for improvement, these will be implemented in the programme set-up phase.

For a more detailed explanation of the Monitoring and Evaluation Plan along with the proposed framework for MRV for Clean Energy and Land Use, please refer to Annex 11: Monitoring and Evaluation Plan for the Programme "Climate Change: The New Evolutionary Challenge for the Galapagos".

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SECTION 9: ANNEXES

9.1. Annex A - Exclusion List

Programme

- The following exclusion list notes the types of projects that CAF will not finance:
- Production or trade of any product or activity considered illegal under the laws of the host country, or international regulations, conventions and agreements, or subject to international prohibitions, such as pharmaceutical products, pesticides/ herbicides, ozone depleting substances, polychlorinated biphenyls (PCBs), wildlife or products regulated by CITES.
- Production or trade of arms and ammunition
- Production or trade of tobacco
- Gambling, casinos and equivalent companies
- Production or trade of radioactive materials. This does not apply to the purchase of medical equipment, quality control equipment (measurement) and any equipment in which CAF considers the radioactive source to be trivial and/or adequately protected.
- Production or trade of un-bonded asbestos fiber. This does not apply to the purchase and use of cement asbestos sheets, where the asbestos content is less than 20%.
- Purchase and use of PCB compounds
- Production of pharmaceutical products that are being progressively withdrawn from the market or have been banned at the international level according to the United Nations Publication Prohibited Products: Consolidated list of products whose consumption or sale have been prohibited, withdrawn, submitted to rigorous restrictions or have not been approved by governments (last version from 2001 in English: www.who.int/medicines/library/qsm/edm-qsm-2001-3/edm-qsm-2001_3.pdf).
- Pesticides or herbicides that are progressively withdrawn from the market or have been banned internationally according to the Rotterdam Convention (www.pic.int) and the Stockholm Convention (www.pops.int).
- Production of substances harmful to the ozone layer and that are being withdrawn progressively from the international market. These substances known as ozone depleting substances (ODS) are regulated by the Montreal Protocol. There is a list of these substances and the dates that were established as a target for their reduction and withdrawal from the market. Some of the chemical compounds regulated by the Montreal Protocol are aerosols, refrigerants, foaming agents, solvents and fire protection agents. More information is available at <https://ozone.unep.org/> and <https://ozone.unep.org/treaties/montreal-protocol>
- Production or use of persistent organic pollutants (POPs)
- Fishing in the marine environments with nets that exceed 2.5 km in length.
- Commercial logging operations harvesting primary material from primary tropical forests
- Production or trade of wood or other forest products that are not from sustainably managed forests.
- Production, trade, storage or transport of large volumes of hazardous chemical products, or the use of hazardous chemicals on a commercial scale.

Production or activities that affect the ownership of the territory or land, or claimed for adjudication, by indigenous peoples without documented Free, Prior and Informed Consent from said peoples.

9.2. Annex B - Eligibility Criteria

For LFIs:

Selected LFI must:

- have a credit line with CFN or CONAFIPS
- have extensive experience in deploying financing to economic sectors with the potential to include eligible mitigation activities
- have a proven history of working with local beneficiaries in the Galapagos
- have in place an environmental and social risk management system that comply with CAF and GCF Environmental and Social Safeguards
- comply with CAF's due diligence and credit eligibility to have access to its resources through a credit line, agreeing with GCF terms and conditions.
- refinancing is not allowed

9.3. Annex C - Initial Eligibility Criteria for Sub-Projects

The following eligibility criteria shall be used for on lending and technical assistance activities to be financed under the Funded Activity as described in the Funding Proposal and in Section 1:

For use of proceeds for activities pursuant to Component 1:

For Activity 1.1.1.2: Distributed renewable power generation projects

General:

- PV systems financed under this activity will result in minimum 80% reductions in GHG emissions and energy consumption based on current market analysis and baseline
- PV systems would comply with ESS Category B and C standards as included in the ESMF for the programme, and no PV system with Category A related ESS risks shall be financed under the activity
- The PV system must be a proven RE technology and must comply with the current regulation on equipment specifications and protection requirements
- Loans provided under this activity shall only be used to finance small scale solar PV systems with a capacity of up to 100 kW
- Each loan will have a financing threshold between USD 5,000 to 40,000

For Borrowers:

- Borrowers must be from the tourism/commercial, agriculture and fisheries sectors in the Galapagos Islands (Santa Cruz Baltra, San Cristobal, Isabela), including ecotourism value chains such as hotels, restaurants, and boat operators; farmers (individuals, cooperatives, associations, MSMEs); and small-scale fisheries;
- Borrower(s) will contribute 20% of total costs of the small-scale solar PV system for which the loan is issued as a minimum beneficiary contribution
- Businesses including tourist operators seeking a loan under the activity should have at least four or more employees working under the establishment
- Hotels and hostels seeking the loan under the activity should have at least 10 rooms in their establishment
- Borrowers must be in operation for three or more years in order to receive a loan under the activity
- Borrowers would comply with current ARCONEL 003/18 regulation and any other relevant regulation that may be required under the law in context of installation, development, implementation, and operation of micro-PV generation systems financed under the activity
- Borrowers will ensure that O&M aspects of the installed PV systems are regularly monitored and sustained during project duration

Table 7. Eligibility conditions for accessing loans for distributed RE generation.

Condition	Description
Beneficiaries	a) Ecotourism value chain such as hotels, restaurants, and boat operators. b) Farmers (individuals, cooperatives, associations, MSMEs). c) Small-scale fisheries.
Eligible investments	<ul style="list-style-type: none"> • Small scale solar PV systems
Minimum objectives	80% GHG emissions reductions 80% reduced Energy consumption

Condition	Description
Financing thresholds	From USD 5,000 to 40,000
Minimum co-financing by the beneficiary	20%
E&S category	B or C (category A is not eligible)
Other conditions	Must be proven RE technologies. Micro distributed PV generation must comply with the current regulation on equipment specifications and protection requirements. Refinancing is not allowed

For activity 1.2.1.1: Promotion of efficient energy consumption by the Galapagos' livelihoods

General:

- The activity will only replace energy efficient split air conditioners and refrigerants with inverter technology that must guarantee the highest range of the applied standard of Ecuadorian Technical Regulation – RTE 035-2009
- The equipment must meet range A level of energy consumption according to RTE 035-2009
- The refrigerant gas must not contain any agent that affects the Ozone layer and the global warming potentials must be minimal, such as R290, R22 Split A/C and R600a refrigeration.
- Only equipment that is compliant with Category B or C ESS risk categorization as set out in the programme's ESMF would be eligible to be financed under the activity
- Each loan will have a financing threshold between USD 300 to 10,000
- Air conditioners financed under the activity must result in a minimum of 20% GHG emissions and 20% energy consumption reductions compared with baseline data and market analysis
- Refrigerators financed under the activity must reduce 15% of GHG emissions and 15% energy consumption compared with baseline data and market analysis

For Borrowers:

- Borrowers must be from ecotourism value chain and commercial sectors such as hotels, restaurants, and boat operators; commercial, agriculture and fisheries sectors, educational and sport centers, office, residential and private buildings would also be eligible provided they demonstrate willingness and ability to pay for the loan amounts
- Priority will be given to beneficiaries that were not part of the first phase of RENOVA program
- Borrower(s) will contribute 20% of total costs of the equipment for which the loan is issued as a minimum beneficiary contribution
- Borrowers must cover O&M aspects of the replaced equipment until its maturity

Table 8. Eligibility conditions for accessing loans for energy efficiency investments.

Condition	Description
Beneficiaries	<ul style="list-style-type: none"> a) Ecotourism value chain such as hotels, restaurants, and boat operators. b) Farmers (individuals, cooperatives, associations, MSMEs). c) Small-scale fisheries.
Eligible investments	<ul style="list-style-type: none"> • Air conditioners. • Refrigerators.
Minimum objectives	<p>Air conditioners:</p> <ul style="list-style-type: none"> • 20% GHG emissions reductions • 20% reduced Energy consumption <p>Refrigerators:</p> <ul style="list-style-type: none"> • 15% GHG emissions reductions • 15% reduced Energy consumption
Financing thresholds	From USD 300 to USD 10,000
Minimum co-financing by the beneficiary	20%

E&S category	B or C (category A is not eligible)
Other conditions	<p>Equipment rated A in energy consumption. Split air conditioners. Inverter technology.</p> <p>Energy efficiency must guarantee the highest range of the applied standard RTE 035.</p> <p>The refrigerant gas must not contain any agent that affects the Ozone layer and the global warming potentials must be minimal, such as R290, R22 Split A/C and R600a refrigeration.</p> <p>Refinancing is not allowed</p>

For Activity 1.2.2.1: Technical Assistance Facility for energy investments

General:

Beneficiaries receiving technical assistance under this activity will receive training on the following:

- Training in mitigation project preparation and management including how to structure bankable projects, environmental and social safeguards, understanding contractual agreements between clients and suppliers: potential and confirmed participating SMEs.
- Training for women at the head of companies in the sector to bridge identified gaps: women-led SMEs of all the eligible sectors.
- Pre-investment activities that will include feasibility studies for the identification of RE, EE development opportunities, environmental and financial assessments, support for business plan development, and other advisory activities necessary for the effective implementation of climate investments: confirmed participating SMEs.
- Technical training on defining baseline and MRV aspects to participating SMEs.
- Matchmaking events will be held between local banks and technical assistance providers to facilitate project development.

For beneficiaries receiving technical assistance:

- Technical assistance will be offered to nominated participants and employees from CFN and CONAFIPS, local financial institutions being provided with credit through the GCCL, and relevant stakeholders from the tourism, agriculture, and fisheries sectors.
- Participants would also attend training activities under Component 3 of the programme on raising awareness on climate change and mitigation.

For use of proceeds for activities pursuant to Component 2:

For technical assistance provided under Activity 2.1.1.1:

- Selected participants will represent Ministry of Agriculture and Livestock (MAG), Ecuadorian Institute of Agricultural Research (INIAP) the Galapagos Government Council (CGREG) and three municipalities in the Galapagos.
- Commitment to attend formal training in its entirety (4 months)
- Participants would be willing to train farmers upon completion of their training depending on their institutional functions as follows:
 - o MAG will deal with resilient agricultural practices.
 - o CGREG will deal with resilient water management.
 - o INIAP with adaptative use of phytogenetic resources, and
 - o the Municipalities with the integration of agricultural products into the value chain.

For technical assistance provide Activity 2.1.1.2:

- Selected participants in the trainings will include representatives nominated by The National Meteorology and Hydrology Institute (INAMHI) and the Galapagos Science Center (GCS)

For activities under Output 2.1.2 and 2.1.5

Table 9. Eligibility for accessing loans for investment in sustainable land use.

Condition	Description
Beneficiaries	Farmers (individuals, cooperatives, associations, MSMEs).
Eligible investments	<ul style="list-style-type: none"> • Silvopastoral systems • Storage, distribution, use

	<ul style="list-style-type: none"> Value chains - machinery, equipment, working capital (seed fund, seed capital to start the process)
Eligibility of beneficiaries	<ul style="list-style-type: none"> Placed in most vulnerable zones subject to changes in water availability. Lower income and small farm size will be prioritized. Participation on farming field schools.
Minimum objectives	30% of the farming area
Financing thresholds	From USD 5,000 to USD 100,000
Minimum co-financing by the beneficiary	20%
E&S category	B or C (category A is not eligible)
Other conditions	<p>Those who have previously participated in technical assistance activities and capacity building processes will be favored.</p> <p>No purchase of additional livestock, no expansion of the agricultural frontier.</p> <p>Refinancing is not allowed</p>

For Activity 2.1.5.5.: Put in place a long-term financing mechanism to improve sustainability and competitiveness of Galapagos small scale fishing sector:

Table 10. Eligibility conditions for accessing credit for investment in sustainable fisheries practices.

Condition	Description
Beneficiaries	Fishers and entrepreneurs from civil society interested in adopting sustainable fishing practices in exchange for receiving financing for the development of seafood ventures with principles sustainability and social responsibility that help improve the productivity, competitiveness, and social inclusion of fishers in the financial system.
Eligible investments	<p>To the extent feasible, business plans for pilot seafood ventures should incorporate and demonstrate their alignment with three principles.</p> <ul style="list-style-type: none"> Economic efficiency: ensure productivity and profitability of fisheries, particularly a strong value proposition for investment under prospective pilot operations. Social equity: promote positive social welfare outcomes for beneficiaries and effective distribution of wealth from enhanced fisheries, including income and livelihood opportunities, development of value-added products, and market access and diversification, recognizing the key role of women in fisheries value chains. Biodiversity conservation and ecosystem health: reduce the ecological impact of fishing on marine biodiversity and ecosystems by minimizing fishing pressure over commercial and protected species.
Financing thresholds	From USD 10,000 to 60,000
Minimum co-financing by the beneficiary	10%
E&S category	B or C (category A is not eligible)
Other conditions	<p>An investment proposal fulfilling the three principles described should include most of the following conditions:</p> <ul style="list-style-type: none"> Demonstrate that the pilot seafood venture creates business opportunities that are attractive from a financial point of view. Increase seafood consumption at the domestic market to improve food security. Promote consumption of pelagic species, mainly tuna, rather than species with signs of overexploitation (e.g., sailfin grouper). Promote the adoption of state-of-the-art technology to reduce IUU fishing, by-catch,

	<p>habitat destruction, and marine pollution, including emission of greenhouse gasses.</p> <ul style="list-style-type: none"> • Promote e-commerce and the adoption of blockchain traceability system. • Promote market diversification and development of value-added seafood products. • Increase quality rather than seafood quantity. • Maximizing the use and value of seafood by-products. • Promote mechanisms to adopt appropriate tenure rights to deal with the common pool resource problems and avoid the dissipation of fishery rents. • Propose market-based strategies that maximize net social benefits (profits and social welfare), while minimizing social costs (social negative impacts and environmental negative externalities). • Establish appropriate mechanisms to ensure an effective distribution of wealth from enhanced fisheries, including income and livelihood opportunities, as wider societal benefits. • Refinancing is not allowed
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For Activity 2.2.1.3: Reduce the impact of diving, anchoring and pollution related to tourism operations in selected marine HEVAs, to enhance ecosystems resilience and adaptive capacity to the effects of climate change

Table 11. Eligibility conditions for accessing credit for investment in Digital Positioning Systems.

Condition	Description
Beneficiaries	Diving cruises operating in the Galapagos selected based on their willingness to engage
Eligible investments	Digital Positioning Systems (DPS).
Financing thresholds	From USD 10,000 to 45,000
Minimum co-financing by the beneficiary	20%
E&S category	B or C (category A is not eligible)
Other criteria	Boats meet minimum required engine and electric technological standards. Operators' capacity to finance further maintenance of equipment, and signature of a commitment letter with the GNPD and Navy Operator availability of human and time resources to be trained in related aspects. O&M Plan developed. Refinancing is not allowed

For use of proceeds for activities pursuant to Component 3:

For technical assistance provided under Output 3.1.1.1: Implement an ecotourism certification scheme to adopt best practices across the tourism value chain

For information and capacity building of tourism businesses:

- Selected businesses would represent one of the following sectors: navigable tour boats, tourism operators and agencies, accommodations and providers, food and beverage services.
- Comply with the requirements of the proposed certification scheme
- Interest to implement good practices on climate change and environmental sustainability in the Galapagos tourism value chain

For training of local auditors:

Local auditors under this output may be members of public institutions or local people interested in improving their knowledge and finding new workspaces.

Programme Exclusion List:

- The following exclusion list notes the types of projects that CAF will not finance:
- Production or trade of any product or activity considered illegal under the laws of the host country, or international regulations, conventions and agreements, or subject to international prohibitions, such as pharmaceutical products, pesticides/ herbicides, ozone depleting substances, polychlorinated biphenyls (PCBs), wildlife or products regulated by CITES.
- Production or trade of arms and ammunition
- Production or trade of tobacco
- Gambling, casinos and equivalent companies
- Production or trade of radioactive materials. This does not apply to the purchase of medical equipment, quality control equipment (measurement) and any equipment in which CAF considers the radioactive source to be trivial and/or adequately protected.
- Production or trade of un-bonded asbestos fiber. This does not apply to the purchase and use of cement asbestos sheets, where the asbestos content is less than 20%.
- Purchase and use of PCB compounds
- Production of pharmaceutical products that are being progressively withdrawn from the market or have been banned at the international level according to the United Nations Publication Prohibited Products: Consolidated list of products whose consumption or sale have been prohibited, withdrawn, submitted to rigorous restrictions or have not been approved by governments (last version from 2001 in English: www.who.int/medicines/library/qsm/edm-qsm-2001-3/edm-qsm-2001_3.pdf).
- Pesticides or herbicides that are progressively withdrawn from the market or have been banned internationally according to the Rotterdam Convention (www.pic.int) and the Stockholm Convention (www.pops.int).
- Production of substances harmful to the ozone layer and that are being withdrawn progressively from the international market. These substances known as ozone depleting substances (ODS) are regulated by the Montreal Protocol. There is a list of these substances and the dates that were established as a target for their reduction and withdrawal from the market. Some of the chemical compounds regulated by the Montreal Protocol are aerosols, refrigerants, foaming agents, solvents and fire protection agents. More information is available at <https://ozone.unep.org/> and <https://ozone.unep.org/treaties/montreal-protocol>
- Production or use of persistent organic pollutants (POPs)
- Fishing in the marine environments with nets that exceed 2.5 km in length.
- Commercial logging operations harvesting primary material from primary tropical forests
- Production or trade of wood or other forest products that are not from sustainably managed forests.
- Production, trade, storage or transport of large volumes of hazardous chemical products, or the use of hazardous chemicals on a commercial scale.
- Production or activities that affect the ownership of the territory or land, or claimed for adjudication, by indigenous peoples without documented Free, Prior and Informed Consent from said peoples.
- Operations in protected areas²⁴ with special legislation, when the operation has the potential to jeopardize the objective of creating/ establishing the protected area.
- CAF does not finance operations to borrowers or executing agencies that carry out the production or activities that involve harmful or exploitative forms of forced labor²⁵ and/or child labor.
- In addition to the aforementioned CAF exclusion list, the program will further exclude investments that:
 - o Are located within protected areas and/or their buffer zones;
 - o Are classified as high-risk, 'Category A' investments;
 - o Involve involuntary resettlement.

²⁴ Also within areas designated in each place, including, among others, world heritage sites (defined in the Convention of World Heritage: <http://whc.unesco.org/nwhc/pages/doc/main.htm>), the list of national parks and protected reserves of the United Nations, wetlands declared as having international importance (Ramsar sites, defined in the Ramsar convention: www.ramsar.org), or determined areas defined by the IUCN (e.g. natural parks, wildlife reserves, natural monuments, among others: www.iucn.org).

²⁵ Forced labor means all work or service, not voluntarily performed that is obtained from an individual under threat of force or punishment.

9.4. Annex D - CAF Environmental and Social Screening Check List

D1. Summary of environmental and social safeguards check list

Environmental and social Safeguards				
No.	Aspect	Fulfilled?		Observations (*)
		Yes	No	
i.	Evaluation and management of environmental and social impacts			Report on the existence of an environmental and social impact assessment document, specific to the operation and satisfactory for adequate environmental and social management. Include the list of technical-administrative instruments that guarantee compliance with the Environmental Legislation in force in the country.
ii.	Use of renewable natural resources			Inform if the operation requires the use of natural resources (e.g. water and soil) for its execution,
iii.	Conservation of biological diversity			Inform if the operation takes place in protected areas, critical habitats and / or sensitive areas, which ones and if measures are included to prevent, mitigate or compensate the impacts in said areas
iv.	Prevention and management of pollution			Inform if the client has identified the possible sources of contamination to the environmental components and if he has proposed the appropriate measures to prevent this contamination, as well as if he has monitoring measures.
v.	Cultural heritage			Report on the risks of affecting the cultural heritage of the region, in case of existing inform the measures to be adopted to prevent and mitigate said risks
vi.	Ethnic groups			Inform if there are ethnic groups in the area that may be affected, and the measures adopted to mitigate the effects on such groups, including the need to carry out prior consultations, their status and results.
vii.	Resettlement			Report if it is necessary to acquire or use lands that imply the physical or economic displacement of the people residing there, and the measures that will be adopted to reduce their effects.
viii.	Work and training conditions			Report if there is a risk of child labor and the measures adopted by the client to avoid it. Also, inform if there are training programs planned.
ix.	Gender Equality			Report if there is a risk of violating gender equity and the measures adopted by the client to avoid it.

Note: (*) In case of total or partial non-compliance, at the time of the DD, the "NO" column should be marked and therefore, in the observations column, measures must be established to reverse this situation, measures that must be reflected in section VIII. Action plan. Environmental and social conditions for financing.

When the condition is not presented, in observations it must be informed that there is no risk and no column should be marked (YES / NO).

Note: (**) In the event that there is no information regarding compliance with the safeguards by the clients of the LFI, no column should be marked, and the conditions for the loan should include the in-corporation of measures into the environmental and social management system that allow the information to be included and verify its adequacy.

D2. Detailed assessment of social and environmental risk categorization

Name of operation:	
Country:	
Client:	
Date of elaboration:	
Environmental executive:	
Risk category of operation:	

Types of operations (TO)

Type of Projects	Characteristics
<a>	Those that by their dimensions and components, are known that can generate multiple and complex environmental and social impacts.
	Those whose possible impacts are less adverse than those of category <a> projects, but can significantly affect some characteristics of the natural, social, economic or cultural environment.
<c>	Those whose possible negative environmental and social impacts are not significant and those impacts can be prevented, mitigated and / or compensated based on good environmental and engineering practices, as well as widely known and accessible environmental management measures.

Type a – excluded from program		Operation (*)
New large scale industrial operations	<ul style="list-style-type: none"> ▪ Mining and cement and brick manufacturing projects ▪ Food manufacturing industry ▪ Textile manufacturing industry ▪ Manufacture of timber products ▪ Paper pulp and paper manufacturing industry ▪ Petroleum refining ▪ Chemical and petrochemical industry ▪ Manufacturing industry of plastics and rubbers ▪ Glass manufacturing industry ▪ Tanneries ▪ Superficial treatments ▪ Manufacture and / or recovery of electrical and electronic equipment ▪ Automotive industry ▪ Manufacturing, transport, employment or secondary generation of hazardous materials or waste ▪ Construction and / or adaptation of Thermoelectric Plants ▪ Pharmaceutical industry ▪ Production of alcohol and biofuels 	
Other(s)	Specify	
Type b		

Projects of environmental improvement	<ul style="list-style-type: none"> ▪ Industrial reconversion ▪ Management and / or recovery of solid waste ▪ Treatment of effluents and gaseous emissions 	
New small scale businesses	<ul style="list-style-type: none"> ▪ Manufacturing industries ▪ Building ▪ Agricultural production and processing ▪ Aquaculture and fisheries ▪ Tourism and Ecotourism ▪ Recycling 	
Amplification of pre-existing industry	<ul style="list-style-type: none"> ▪ Expansion or modification of Type a projects 	
Other projects	<ul style="list-style-type: none"> ▪ New industrial plants that do not use a significant volume of materials and supplies, or dangerous equipment ▪ Working capital in project industries type a 	
Type c		
Other	<ul style="list-style-type: none"> ▪ Financing of management plans or environmental programs ▪ Working capital in industries in Type b projects 	

(*) Mark the rows that correspond

Sensitivity of the Medium (SM)

Sensitivity of the Medium	Characteristics
High Sensitivity(1)	Corresponds to a medium where certain physical, natural, economic, social and cultural characteristics, due to their level of fragility or vulnerability, enhance the level of involvement of the intervention. The mere presence of one of the variables considered high sensitivity is determinant and cancels the others classified as moderate or low sensitivity.
Moderate Sensitivity (2)	Corresponds to a medium where the characteristics or degree of current intervention of the physical, natural, economic, social and cultural environment, determine a lower level of involvement by the intervention, to the extent that the values that can be lost are less than an ecosystem without intervention
Low Sensitivity(3)	Corresponds to a medium where the characteristics or degree of current intervention of the physical, natural, economic, social and cultural environment, determine a scarce to no level of involvement by the intervention.

High sensitivity (1)	Operation (*)
<ul style="list-style-type: none"> ▪ Areas that are pristine/ not intervened ▪ Area near water springs ▪ Territories with indigenous people or with legal protection status ▪ Areas with incompatible uses (for the purpose of the project) ▪ Protected natural areas or areas with sensitive or strategic ecosystems ▪ Activities with complex environmental permits ▪ Use of wood or forest products from primary or secondary natural forests ▪ High water consumption in areas of low abundance or heavy use ▪ High energy consumption in areas of low abundance or heavy use ▪ Areas with a total lack of services (sewage, storm water, natural gas, electricpower, potable water, waste collection) ▪ Areas with possible social conflicts due to the use of water 	
Moderate sensitivity (2)	
<ul style="list-style-type: none"> ▪ Located in non-industrial urban areas, with the possibility of problems with nearby communities, or in urban settlements with moderate levels of services, social facilities and waste disposal. ▪ Sporadically flooded areas ▪ Areas of undefined uses ▪ Use of wood or products from planted forests. ▪ Moderate water consumption in areas of low abundance or intense use ▪ Moderate energy consumption in areas of low abundance or intense use 	
Low sensitivity (3)	
<ul style="list-style-type: none"> ▪ Located in a fully defined industrial zone or highly intervened area. ▪ Permits granted or in progress without complexity ▪ Low water consumption in areas of low abundance or intense use ▪ Low energy consumption in areas of low abundance or intense use ▪ Total availability of services (sewer, storm water, natural gas, electric power, drinking water, waste collection) 	

(*) Mark the rows that correspond

Summary

Name of Operation	TO	SM

Briefly describe the justification of the assignment of the TO and SM categories according to the characteristics of the operation and the corresponding sensitivity.

(Maximum 1 paragraph)

Matrix for the Preliminary Analysis of the Environmental and Social Risks

Category of the operation				Associated Risk
SM \ TO	a	b	c	
1	1a	1b	1c	<ul style="list-style-type: none"> ■ Category I High Risk (1a, 1b, 2a) ■ Category II Moderate Risk (3a, 2b, 3b) ■ Category III Low Risk (1c, 2c, 3c)
2	2a	2b	2c	
3	3a	3b	3c	

Assigned category: _____

9.5. Annex E - Scope of Environmental and Social Assessments
Environmental and Social Due Diligence Suggestion for the EE of LFIs - Template

Name of Operation	
Country	
Date of Evaluation	
Operation Manager	
Executive / Evaluation Consultant	
Safeguards Coordination	

Signature

Executive Summary
(Maximum 2 pages)

This section should be developed as the final point in the preparation of this Environmental and Social Due Diligence Report [IDDAS]. The Executive summary must contain:

- Description of the operation: General characteristics of the LFI, structure of financing, in which the environmental and social budget must be specified.
- Aspects related to the type of portfolio that the LFI has, highlighting the credits granted to projects that reported environmental, social and / or labor conflicts (1 paragraph)
- Aspects related to the Environmental and Social Management System (ESMS) of the LFI, with special attention to its structure and adaptation to the type of portfolio it has (1 paragraph)
- Critical aspects identified (maximum 5 environmental and social critical aspects)
- Environmental and social viability
- Terms and Conditions Sheet

I. Description of the borrower and the operation *(Maximum 2 paragraphs)*

Describe the environmental and social capabilities of the borrower, taking as background the current portfolio, the problems identified in the past, the amount requested, and the most important situation(s) related to the environmental management of the operation.

II. Description of the Environmental and Social Management System of the financial institution (LFI) *Maximum one (1) page*

Based on a brief summary of the characteristics of the Environmental and Social Management System of the LFI, an analysis of the problems anticipated should be carried out based on the type of projects currently financed by the LFI.

III. Evaluation of the adequacy of the environmental and social management system

In this section a summary of the most important risks associated with the development of the operation must be presented, sized - qualitatively and quantitatively - whenever possible.

In any case, the report is intended to be clear, synthetic and exhaustive in the identification and assessment of environmental, social and labor risks, to which the LFI is subjected in the development of its activities, its capacity to attend to said risks. and its response to emergencies, for which the following treatment structure is proposed.

Introduction one (1) paragraph

- a. Human resources** *Maximum half (½) page*
- b. Economic resources** *Maximum half (½) page*
- c. Structure of the environmental and social management system** *Maximum half (½) page*
- d. Emergency response** *Maximum half (½) page*
- e. Collateral requirement for environmental risk** *Maximum half (½) page*

IV. Principle risks and critical aspects *Maximum half (½) page*

a. Principle risks

Based on the analysis carried out in the two preceding chapters, the most relevant risks that may converge in critical situations must be identified.

b. Critical aspects *Maximum five (5) aspects*

The critical aspects are the result of the joint analysis of the most significant findings and conclusions of the two previous sections: the problems foreseen in terms of the type of projects currently financed by the LFI and the capacity of the LFI to attend to environmental, social risks and identified workers, and their response to emergencies.

Among the critical aspects should be considered the situations of risk / vulnerability of the type of operations of the LFI, as well as the risks that have not been properly identified and / or dimensioned and that do not have satisfactory attention within the environmental and social management foreseen by the IF, among others.

V. Principle opportunities to improve the environmental and social management system *Maximum half (½) page*

With the same logic of the analysis of the critical aspects, the two sections mentioned there, also allow identifying the main opportunities for the improvement of the SGAS of the IF, briefly capturing those that have clear possibilities of being promoted or supported in the framework of the operation. In this regard, the following criteria should be considered as a priority:

- Opportunities related to the expansion of personnel capacities and physical and economic re-sources;
- Opportunities related to the improvement of the SGAS, in terms of its structure;
- Opportunities related to improving the response to emergencies; Y

- Opportunities for the promotion of the public image of CAF.

VI. Environmental and social budget *Maximum half (½) page*

With the definition of the budget, the operation is intended to internalize the costs of environmental and social management required to address the risks and opportunities identified throughout the DD process and ensure the continuity of the monitoring and monitoring tasks. environmental and social assumption

Management Measures		Cost (USD)	Source of financing	
A.- Defined by LFI			EE Credit	LFI Counter-part
1.				
2.				
B.- Identified by EE				
1.				
2.				
Total				

VII. Environmental and social viability of the operation

The feasibility of the operation, from the environmental and social perspective, will depend on the fact that it has an ESMS suitable to the portfolio of the LFI, which is backed by the adequate allocation of human, material and economic resources associated, necessary and timely to realize an Adequate monitoring of the operations it finances, both in the financial year of the LFI, and in the DD advanced by EE.

The foregoing is based on compliance with the environmental, social and labor legislation in force in the country and applicable to the operation, as well as compliance with the Environmental and Social Safeguards for EE Operations by the LFI and its clients

Environmental and social Safeguards				
No.	Aspect	Fulfilled?		Observations (*)
		Yes	No	
i.	<i>Evaluation and management of environmental and social impacts</i>			<i>Report on the existence of an environmental and social impact assessment document, specific to the operation and satisfactory for adequate environmental and social management.</i> <i>Include the list of technical-administrative instruments that guarantee compliance with the Environmental Legislation in force in the country.</i>

ii.	<i>Use of renewable natural resources</i>			<i>Inform if the operation requires the use of natural resources (e.g. water and soil) for its execution,</i>
iii.	<i>Conservation of biological diversity</i>			<i>Inform if the operation takes place in protected areas, critical habitats and / or sensitive areas, which ones and if measures are included to prevent, mitigate or compensate the impacts in said areas</i>
iv.	<i>Prevention and management of pollution</i>			<i>Inform if the client has identified the possible sources of contamination to the environmental components and if he has proposed the appropriate measures to prevent this contamination, as well as if he has monitoring measures.</i>
v.	<i>Cultural heritage</i>			<i>Report on the risks of affecting the cultural heritage of the region, in case of existing inform the measures to be adopted to prevent and mitigate said risks</i>
vi.	<i>Ethnic groups</i>			<i>Inform if there are ethnic groups in the area that may be affected, and the measures adopted to mitigate the effects on such groups, including the need to carry out prior consultations, their status and results.</i>
vii.	<i>Resettlement</i>			<i>Report if it is necessary to acquire or use lands that imply the physical or economic displacement of the people residing there, and the measures that will be adopted to reduce their effects.</i>
viii.	<i>Work and training conditions</i>			<i>Report if there is a risk of child labor and the measures adopted by the client to avoid it. Also, inform if there are training programs planned.</i>
ix.	<i>Gender Equality</i>			<i>Report if there is a risk of violating gender equity and the measures adopted by the client to avoid it.</i>

Note: (*) In case of total or partial non-compliance, at the time of the DD, the "NO" column should be marked and therefore, in the observations column, measures must be established to reverse this situation, measures that must be reflected in section VIII. Action plan. Environmental and social conditions for financing.

When the condition is not presented, in observations it must be informed that there is no risk and no column should be marked (YES / NO).

Note: (**) In the event that there is no information regarding compliance with the safeguards by the clients of the LFI, no column should be marked, and the conditions for the loan should include the incorporation of measures into the environmental and social management system that allow the information to be included and verify its adequacy.

VIII. Action plan. Environmental and social conditions for financing Maximum one (1) page

The Action Plan establishes and prioritizes, as conditions, the actions necessary for the operation to comply with the Environmental and Social Safeguards for EE Operations, as well as the current environmental legislation applicable to it; all of them must be fulfilled to the satisfaction of EE.

The Action Plan is composed of: (i) the measures identified by EE , that is, those related to critical aspects and opportunities, identified throughout the DD, and that have not been identified or appropriately sized by the client and (ii) the obligation to report the progress of both the measures identified by EE and those that derive from compliance with the different management instruments established by the LFI and national legislation.

The environmental and social conditions defined in the framework of the DD process must be relevant sufficient and appropriate according to the experience, operational capacity, economic rationality and other factors inherent in the operation and portfolio of the LFI.

9.6. Annex F - LFI ESMS Gap Assessment Tool

Suggestion for the EE - Capacity Assessment of LFIs – Screening Template

Name of Operation	
Country	
Client	
Date of Elaboration	
Environmental Executive	

IX. Description of the borrower Maximum half (½) page

Briefly describe the client, including information on its main activities, types of credit it usually grants, reputational background in environmental and social matters, indicating whether or not there are negative information related to previously funded operations.

X. Productive sectors to which it grants credits

Sector	% of portfolio	Level of Risk (*)
Health		
Education		
Housing		
Commerce		
Tourism		
Agriculture		
Livestock		
Fishing		
Productive Infrastructure		
Transportation		
Energy		
Industry		
Communication		
Mining		
Hydrocarbons		

(*) Risk level as established in Table No. 3 of the Procedure for Evaluation and Monitoring of Corporate and Special Operations

XI. Analysis of the organizational structure of the LFI Maximum one (1) page

Based on the information gathered, a brief description of the organizational structure of the LFI should be made, specifically indicating whether or not it has an ESMS, informing who is responsible for its implementation and the main characteristics of the ESMS.

Include the organizational chart of the organization.

XII. Identification of critical aspects. Maximum five (5) critical aspects

According to the background check and depending on the existence or nonexistence of an ESMS, the critical aspects of the operation must be identified.

XIII. Recommendations for the evaluation stage *Maximum half (½) page*

- Taking into account the characteristics of the FI and in the framework of the critical aspects identified, recommendations for evaluation must be established.
- In the event that the LFI has an ESMS, the recommendations will be oriented to the way of evaluating the system, to verify its adequacy in terms of the amount requested and the predominant portfolio of the LFI.
- In case the LFI does not have an ESMS, the recommendations will be oriented to the needs of implementation of a system, requiring the LFI to design a suitable ESMF before the evaluation stage

9.7. Annex G - Stakeholder Engagement and Information Disclosure Framework

Community and stakeholder engagement is a key component of the Program E&S Framework. Stakeholders are defined as groups or individuals who are directly and/or indirectly affected by a project, who have or may have interest in it, or may influence it in a positive or a negative way. As such, stake-holders can be local communities, individuals, their representatives, governmental bodies, civil society organizations, etc.

CAF approach to Stakeholder Engagement and Information Disclosure

CAF operates in a transparent and accountable manner, requiring that relevant information, including related to E&S issues, is made available to the affected and potentially affected communities, as well to external stakeholders of CAF in general. To that aim, CAF publishes information on financed projects and programs on its website²⁶. CAF involves and develops partnership and/or consultation with civil society at all stages of project life cycle, including project design, implementation, and evaluation. Views and concerns of local authorities, affected communities and local civil society organizations on potential impacts of financed activities, in particular in case of significant E&S issues, is crucial. For that purpose, CAF ensures through contractual commitments and technical assistance that the project owner consults and engages all project stakeholders and local communities in particular. Interests and concerns of stakeholders are also taken into account in project evaluation.

Approach for the Programme

Stakeholder consultation has been carried out during the feasibility phase at country level in all four participating countries. Stakeholders to be involved in the Program at country level are local financial intermediaries and, in some cases, regulatory bodies, NGOs and sector initiatives that these local banks are working with directly. At Subprojects level, stakeholders are SME clients of local financial intermediaries.

In the framework of the Program and in line with GCF approach to stakeholder engagement, CAF requires LFIs to ensure the effective engagement of communities, vulnerable populations, groups and individuals, indigenous peoples, local communities and other marginalized groups of people and individuals that are affected or potentially affected by Program activities, according to national legislation. Information related to E&S issues on activities financed in the framework of the Programme is made available in compliance with GCF Information Disclosure Policy and shall be disclosed on CAF's web-site. This includes the present E&S Framework, which is made available in English and Spanish.

In relation to each Sub-Project that is Category B (pursuant to the Environmental and Social Risk Categories), disclose the ESIA and ESMP and, as appropriate, inclusive of the Land Acquisition and/or Resettlement Action Plan ("LARAP") and any other associated information including those relevant to indigenous peoples required to be disclosed pursuant to the Information Disclosure Policy and the Environmental and Social Policy (each, the "Sub-Project Disclosure Package"). The Accredited Entity or

²⁶ <https://www.caf.com/es/proyectos/>

the LFIs according to their environmental and social management systems requested shall disclose the Project Disclosure Package at least thirty (30) calendar days prior to its approval of the relevant Category B Sub-Project, in English and in local language (if not English), on its website and in locations convenient to the affected peoples, and submit the Sub-Project Disclosure Package to the Fund for subsequent distribution to the GCF Board and the Fund's active observers and for publishing in the GCF website. In the case of disclosure by LFIs, it will be included a link on CAF's website to the aforementioned process.

Pursuant to the procedure agreed by the Parties in relation to Category B Sub-Projects, prior to the finalization of each Sub-Project Disclosure Package, the Accredited Entity shall deliver such documentation for the review and comment by the Fund and take into account such comments in the finalization of the Sub-Project Disclosure Packages and/ or consider these comments in the project ESMP, as applied.

At Program level, stakeholder identification and consultation with LFIs will be ongoing throughout the duration of the program according to their level of interest and influence in the project. In addition, in case an ESIA is needed at sub-project (i.e. SME loan) level, stakeholder analysis must be conducted on aspects of the loan that might generate adverse E&S impact to local communities and individuals and other stakeholders.

As per activities financed through LFIs, LFIs have to ensure compliance of their investments with IFC Performance Standards and provide to affected communities and other stakeholders, where applicable, access to relevant information on: (i) the purpose, nature, and scale of the project, (ii) the duration of proposed project activities, (iii) any risk and potential impacts on such communities and relevant mitigation measures, (iv) the envisaged stakeholder engagement process, and (v) the grievance mechanism. In the particular case of SME loans with adverse impacts to indigenous peoples, it will be required to obtain Free, Prior, and Informed Consent (see Indigenous Peoples Framework).

9.8. Annex H - Complaint and Grievance Mechanism

The complaint and grievance resolution mechanism is defined based on a process of identification of potential conflicts that could arise during the first six months of program implementation. With this, there is a process in place to address potential conflicts regarding program implementation.

To properly and successfully respond to requests, complaints or grievances which may arise during any stage of the program, a mechanism must be designed to respond efficiently and quickly to the needs. All population must be made aware of this mechanism on how to lodge a request, complaint, or grievance, and on the time and manner in which a response should be expected. The mechanism provided must be presented and communicated to the local population with transparency and privacy, if necessary. Periodically, the results of the cases received must be disclosed, and this information will also be used as feedback to improve the operation of the Program.

The principles governing the Mechanism are:

- Accessibility - Everyone must have the chance to submit a complaint, for which reason the claimant must have clear information and in their own language. Claimants must be treated kindly, respectfully and politely.
- Timely response - Any complaints lodged must be registered, and promptly processed to generate a timely response.
- Objectivity - All complaints must be handled objectively, impartially and equitably.
- Confidentiality - Any complaint identified as restricted or confidential must be kept in strict secrecy and handled as such, with disclosure depending on claimant's authorization.
- Obligation to report - the person receiving the complaint is bound to report the complaint, the progress of its processing, and the result of the process.

Also, there must be a typology of complaints to address them according to their specificities and classified as following:

Type of complaint	Seriousness level	Action
Corruption, violence, felonies, others (to be identified) , sexual harassment, abuse or exploitation.	Very serious	Activate accompaniment and access to the judiciary
Participatory processes, consultations, access to benefits, others (to be identified)	Serious	Preventive and corrective actions
To be identified	Mild	Preventive and corrective actions, compromise between parties

Bearing in mind the above typology, the following process is provided:

- The complaint or grievance is received through an inbox located in the program's offices. The complaint or grievance can also be submitted via e-mail to a program's mailbox enabled and in operative conditions (to be defined).
- The complaint is analyzed within the program under the responsibility of the safeguards specialist.
- Depending on the type of conflict, the process to follow will be defined. Serious problems will be solved with the accompaniment of legal services at each town, as a minimum. Preventive and corrective actions

will also be generated under the program and in close cooperation with the governance structures of the community authorities. In the case the complaint is mild, the efforts will be similar.

- Lastly, a report must be prepared systematizing the case, the roadmap to resolution and final agreements. This information will be found on the program's webpage.
- In relation to SEAH-specific complaints, the grievance redress mechanisms need to be survivor-centred and gender-responsive; and with modalities to services including as appropriate medical care, psychosocial support, legal support, community driven protection measures, and reintegration.
- In relation to SEAH-specific complaints it is important to involve the Ecuadorian Institute of Social Security (IESS), Public Defender's Office, the National Directorate of Specialized Police for Children and Adolescents (DINAPEN) of the Ministry of Government, the Ministry of Interior and the Prosecutor's Office.

Approach for the Programme

CAF has a combined approach to grievances and complaints regarding projects implementation:

- An E&S grievance mechanism is an out-of-court recourse mechanism that allows any person or group of persons affected by the E&S impacts of a project to submit a complaint. Purpose of such mechanisms, as per GCF Policy (7.3) is to provide room for grievance and redress and facilitate resolution of grievances about the E&S impacts of the activity. The Program approach to E&S grievance and redress relies on CAF and GCF's E&S grievance procedures, the LFI's approach to E&S grievance and potential grievance mechanisms and grievance mechanisms set up in the framework of sub-projects. As a result, the recourse to GCF Independent Redress Mechanism²⁷ and to CAF's Complaints Mechanism²⁸ is made possible for all levels of the Program.
- CAF's Complaints Mechanism aims to ensure that there is an independent handling of complaints sent to CAF, by one or several natural or legal persons, concerning the environmental or social impacts of a project, corruption and fraud, or other issues related to activities whose financing has been allocated by CAF. The Program approach to complaints relies on CAF's complaints procedures and the LFI's approach to complaints handling. As a result, the recourse to CAF's Complaints Mechanism is made possible for all levels of the Programme.

The mechanism's rules and procedures are disclosed on the CAF website²⁹, including a downloadable form to file complaints.

Executing Entities are encouraged to involve in CAF's E&S grievance and complaints mechanism through the agreements that will be signed. CAF's relevant mechanisms and procedures will be introduced to the EEs during Programme implementation, if not already done.

At sub-project level, grievance mechanisms must be designed to receive and facilitate concern or conflict resolution as the case may be, in relation with E&S risks and impacts of the specific projects. The need or relevance of designing such mechanisms shall be assessed during sub-project E&S evaluation, if applicable. Grievance mechanisms must be tailored to the level of project E&S risks and impacts, with the purpose of resolving concerns or conflicts through an understandable and transparent consultative process consistent with project and/or local context. The mechanism shall be free and shall not impede access to judicial or

²⁷ <http://www.greenclimate.fund/independent-redress-mechanism>

²⁸ <https://www.caf.com/es/sobre-caf/que-hacemos/acceso-a-la-informacion/comite-de-transparencia/>

²⁹ <https://www.caf.com/es/sobre-caf/que-hacemos/>

administrative remedies. Project owners must communicate on the existence of such mechanisms and inform project stakeholders accordingly. Grievance mechanisms at Project level are developed firstly in order to allow amicable resolution of a dispute or complaint. If not possible, then the complaint has to be solved through a formal legal process.

Approach for the Sub-project level

As described above, EE and participation LFI are encouraged to involve in CAF’s E&S grievance and complaints mechanism through the GCCL. CAF’s relevant mechanisms and procedures are introduced to the LFI during program implementation, if not already done. In the framework of their capacity-building in ESRM, LFIs involved in the Programme are strongly encouraged to have their own E&S grievance mechanisms. On a case-by-case basis to be discussed between CAF and the LFI, support to LFIs in design or implementation of such mechanisms can be added to technical assistance programs.

At sub-project level, grievance mechanisms must be designed to receive and facilitate concern or conflict resolution as the case may be, in relation with E&S risks and impacts of the specific projects. The need or relevance of designing such mechanisms shall be assessed during sub-project E&S evaluation, if applicable. Grievance mechanisms must be tailored to the level of project E&S risks and impacts, with the purpose of resolving concerns or conflicts through an understandable and transparent consultative process consistent with project and/or local context. The mechanism shall be free, and shall not impede access to judicial or administrative remedies. Project owners must communicate on the existence of such mechanisms and inform project stakeholders accordingly. Grievance mechanisms at Project level are developed firstly in order to allow amicable resolution of a dispute or complaint. If not possible, then the complaint has to be solved through a formal legal process.

At Subproject level, grievance mechanisms can cover a range of aspects of the project, including general aspects such as planning, construction, and operation, E&S due diligence process and their impact, and specific issues such as resettlement processes and related compensation.

High-risk sub-projects are excluded from funding under the proposed program. LFIs are required to follow national legislation on stakeholder engagement in their respective countries. The following table gives an overview of key policies. For relevant legislation on indigenous peoples, specifically on FPIC, please refer to the Indigenous Peoples Framework.

National legislation on stakeholder engagement

Country: Ecuador	
Short summary	Links
<ul style="list-style-type: none"> ▪ Ecuador has extensive legislation on peoples’ right to have access to all public decision-making processes and related information. ▪ National Ombuds Agency that handles grievances (Defensoría del Pueblo). ▪ National Directorate of Specialized Police for Children and Adolescents (DINAPEN) of the Ministry of Government. Its competencies include receiving reports of child abuse, investigative delegations, adolescents intervened in 	<ul style="list-style-type: none"> ▪ National Ombuds Agency of Ecuador: http://www.dpe.gob.ec/tag/ombudsman/ ▪ Law on transparency and access to information: https://www.educacionsuperior.gob.ec/wp-content/uploads/downloads/2014/09/LOTAIP.pdf ▪ Law on public participation: https://www.educacionsuperior.gob.ec/wp-content/uploads/downloads/2014/10/DynamicPDF-1.pdf

<p>operations, assistance provided, adolescents isolated for crimes and misdemeanors, among other inherent activities, in order to safeguard their integrity.</p> <ul style="list-style-type: none"> ▪ The Ecuadorian Social Security Institute is an entity whose organization and operation are based on the principles of solidarity, obligatory nature, universality, equity, efficiency, subsidiarity and sufficiency. It oversees implementing the General Compulsory Insurance System and the Peasant Social Security System, which are part of the National Social Security System. ▪ The institution's mission is to protect the urban and rural population affiliated to the IESS, whether they are dependent or not, against the contingencies of illness, maternity, occupational hazards, disability, unemployment, disability, old age, and death, according to the contracted plan. ▪ General Prosecutor's Office of the State The To direct and promote, ex officio or at the request of a party, the pre-procedural and criminal procedural investigation, in accordance with the Code of Criminal Procedure and other laws, in cases of public criminal action; if merit is found, to accuse the alleged offenders before the competent Judge and to promote the accusation in the substantiation of the criminal trial; ▪ Directing and coordinating the actions of the Judicial Police in the preliminary inquiries in the stages of the criminal process; 	<ul style="list-style-type: none"> ▪ Defensoría Pública. www.defensoria.gob.ec ▪ Justice Ministry. www.iusticia.gob.ec ▪ Dirección Nacional de Policía Especializada para Niños, Niñas y Adolescentes DINAPEN del Ministerio de Gobierno. https://www.ministeriodegobierno.gob.ec/dinapen-al-servicio-de-menores-de-edad-en-situacion-de-riesgo/ ▪ Instituto Ecuatoriano de Seguridad Social (IESS). https://www.gob.ec/iess and https://www.iess.gob.ec/ ▪ Online Report Violence Against Women and the Family Unit. https://www.fiscalia.gob.ec/denuncia-en-linea-violencia-contra-la-mujer/ ▪ Tourist Complaint Reception System https://www.fiscalia.gob.ec/denuncias-on-line-para-turistas/
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9.9. Annex I - Terms of Reference for country-level deforestation risk assessment

Unsustainable agricultural practices are one of the main drivers of deforestation, contributing to land use changes which can contribute to habitat destruction, increased contamination, and accelerate climate change. National legislation to protect biodiversity and the environment from abusive activities differs among and within countries, and is often not strictly enforced in Latin America.

To support the proposed program's management of environmental and social risks, a thorough and timely deforestation assessment is recommended in the program inception phase (i.e. prior to lending), including identifying deforestation hotspots and protected areas, and conducting thorough analyses of forest cover change dynamics in the recent past. The objective of these studies is to profile Galapagos with regards to deforestation hotspots, forest cover conversion and land use cover while assessing local regulation and the degree to which it is being enforced. The second objective is to inform participating LFI's about these risks and enable them to include adequate risk monitoring and measures into their Environmental and Social Risk Management Systems. The experts will provide an opinion where and under what conditions CAF and participating LFI's must consider from a business and deforestation avoidance perspective.

Scope of Work

Galapagos' study consists of a desk-based review and a territorial visit to raise additional and verify existing information, meet with key actors and entities, and assess the implementation of the regulatory framework, with the key activities as follows:

1. Concise Galapagos profile, including:
 - A. Key facts, and summary of current trends for the forestry, tourism, fishery and agricultural sectors.
 - B. Main drivers of deforestation.
 - C. Deforestation hot spots.
 - D. Description of local regulation and level of law enforcement for environmental issues (with a focus on deforestation), including environmental impact assessment (EIA), and risk classification for agribusiness related projects.
2. The consultant needs to prepare a deforestation risk assessment which includes:
 - A. Agreed set of definitions by the consultant and the CAF: forest (primary and secondary), deforestation.
 - B. Selection and justification of cut-off date to assess the land use changes and conversion of forest. The selected cut-off dates should be based on international and national agreements/ reports and available information.
 - C. Deforestation risk assessment through a quantitative analysis (e.g. annual deforestation rate vs remaining % of native forest) to assess the land use changes and conversion of forest.
 - D. Classification of deforestation risk (high – medium – low) at the Country level, at the Province/ Department level, and at the Municipality/District level.
3. Elaboration of a country map for Galapagos including:
 - A. Identification and mapping of “no-go investment areas” and “risk areas”, indicating deforestation hot spots and protected areas where the funding should avoid investing.

- B. Historical analysis of forest cover change dynamics since the selected cut-off date.
 - C. Description of land use cover, landscapes, and major infrastructure.
 - D. Outline the regional distribution of deforestation risks (key hotspot areas) and the key agricultural commodities and activities contributing to deforestation.
 - E. The status and development of land-use, including percentages of forest and agricultural areas, dominant crop and agricultural systems, as well as structure and shares of land-ownership.
4. Review of secondary literature (i.e. country submissions to UNFCCC, UN REDD, FAO and FCPF) and collection of data on deforestation drivers and agricultural production systems.
 5. Identification of key actors and their activities in the field of deforestation risk mitigation.
 6. Interviews with key local and international actors on-site.
 7. Collection of additional data and information on-site which are not publically available (i.e. studies in process, background papers, etc.)
 8. Risk assessment on the impact of farming on the environment and biodiversity with focus on the impacts of the most prevalent crops in Galapagos.
 9. Development of a set of criteria that enables LFIs and the CAF to identify red flags and no-go areas in the screening phase of investment projects.

Deliverables

- Final report per country, including
 - Deforestation risk assessment
 - Concise Galapagos profile
 - Development of criteria to ensure investments only take place in deforestation-safe areas
 - Detailed maps, coordinates, recommendations (by area, crops, activities and methods of production relevant to each country)
- Power point presentation summarizing country profile, main findings and recommendations.

Target audience: CAF credit officers and safeguard specialists; participating LFI staff responsible for risk management.

9.10. Annex J – Visual Evidence

Conolophus PV Project Location

The Project will be constructed in an abandoned aircraft landing runway in the island of Baltra in Galapagos.





Pilot PV Project installed in Baltra



