

CARE-GCF Environmental and Social Management System (ESMS)

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1. Introduction

As one of the world's leading humanitarian and development organizations, CARE operates in some of the most challenging environments on the planet, serving vulnerable communities across more than 100 countries. This global reach brings with it a profound responsibility to ensure that CARE's interventions not only deliver positive outcomes but also actively prevent unintended harm to the people and environments it serves. CARE's Environmental and Social Management System (ESMS) represents a comprehensive, integrated approach to identifying, managing, and monitoring environmental and social risks and impacts as they relate to Green Climate Fund (GCF) funded activities, projects, and programs. Following CARE's organizational commitment to put women, girls, and marginalized communities in the center of its work, and recognizing that these groups are disproportionately affected by poverty and humanitarian crises, this ESMS centers gender and inclusion throughout. The ESMS, which applies to GCF projects developed by any entity in the CARE Confederation, is rooted in CARE's policies and standard operating procedures, and tailored to be directly responsive to the responsibilities of a GCF Accredited Entity.

This document establishes the framework through which CARE systematically integrates environmental and social considerations into every phase of the GCF project cycle – from initial design and screening through implementation and ongoing monitoring. The ESMS is aligned with GCF's E&S and Gender policies and the International Finance Corporation's ESMS guidance, and ensures that potential risks are identified early, appropriate mitigation measures are developed and implemented, and continuous learning informs ongoing improvements to CARE's programming. By embedding safeguarding practices across the organization, CARE strengthens its capacity to deliver interventions that are not only effective but also responsible and sustainable.

The environmental and social management system described herein provides the institutional architecture, governance mechanisms, and operational procedures necessary to fulfill the commitments of a GCF Accredited Entity at the risk Category B/I-2 level across CARE's GCF-funded activities.

2. Policy

CARE's ESMS is anchored in a set of key policies, guidelines, and organizational commitments to globally recognized humanitarian standards. These apply across the CARE Confederation, and are reported against for transparency, accountability, and adaptive learning. CARE's Gender and Inclusion Policy is an integral part of this ESMS and is mandatory for all GCF-funded activities.

CARE is aware of, and commits to meeting the requirements of, the GCF's Indigenous Peoples Policy at the funded activity stage. This commitment reflects CARE's broader organizational values and its recognition that effective climate action must be grounded in respect for human rights, meaningful stakeholder engagement, and the protection of vulnerable populations.

2.1 Safeguarding Policy

CARE uses the term “safeguards” specifically to refer to the organization’s commitment to protect its staff, consultants, the communities it serves, and those impacted by its work from harm. The Safeguarding Policy articulates CARE's zero-tolerance approach to all forms of abuse, including sexual harassment, exploitation, abuse, and child abuse. The policy establishes that CARE will create and maintain a safe organizational culture, dedicate resources to prevention and response, and ensure high-level oversight and accountability. The policy commits CARE to undertake social risk assessments in all projects and programs. These assessments must reflect local context and national laws and include risks, investigation procedures, mitigation plans, and designated responsibilities and timeframes. All employees and related personnel are required to report concerns of abuse, and CARE commits to transparent communication regarding safeguarding efforts.¹

LINK: [CARE Safeguarding Policy](#)

2.2 Gender and Inclusion Policy

CARE commits to ensuring that gender, equal rights for women and girls and inclusion are at the center of all work, recognizing these as universal human rights and as essential steps to overcome poverty and social injustice. The policy requires participatory gender and power analysis, engagement of men and boys in support of equal rights for women and girls., identification of gender-based violence risks, and measures to prevent sexual harassment and exploitation All human resources policies and practices at CARE are developed with a lens to equal rights for women and girls and inclusion.²

LINK: [CARE Gender and Inclusion Policy](#)

2.3 Climate and Environment Policy

The policy establishes CARE’s commitment to preventing, reducing, and mitigating its negative impacts on climate and the environment, while supporting the protection, management, and restoration of ecosystems where feasible and appropriate. Recognizing that healthy ecosystems are essential to the well-being of the populations CARE serves, the policy requires that all programs be screened for environmental impacts, informed by the best available climate and environmental science, and shaped by risk analysis of potential environmental and climate-related shocks and stresses. The policy emphasizes creating "win-win outcomes" that benefit both people and the environment – promoting activities that protect and restore ecosystems while supporting communities' livelihoods, and environmental management practices. CARE also commits to sustainable operational practices, including the elimination of harmful materials such as single-use plastics, implementation of proper waste management strategies, and development of sustainable supply chains that prioritize local partners with compatible environmental standards. Underpinning

¹ CARE International Safeguarding Policy (October 2023). Approved 18 October 2023. Effective from 18 October 2023.

² CARE International Gender Equality and Inclusion Policy (July 2022). Approved 8 July 2022. Effective from 1 July 2022.

these commitments is an emphasis on transparency and accountability: CARE commits to promoting good environmental practices, raising awareness on the importance of minimizing greenhouse gas emissions, and reporting any operational incidents that cause material environmental harm. Applying to all CARE entities globally, the policy reflects the organization's understanding that achieving lasting development and humanitarian outcomes requires safeguarding the natural environment upon which vulnerable communities depend.

CARE is aware of the GCF's approaches to responsible use of artificial intelligence (AI). Similar to GCF, CARE's approach to AI will continue to evolve as we learn, as the technology matures, and as the broader policy landscape takes shape. CARE has adopted three core commitments that govern how AI is utilized:

1. **Responsible for Nature:** We use AI where it adds clear value to people and planet, grounded in local leadership and ethical practice.
2. **Responsible for People:** We prioritize AI deployments that respect data rights, bridge digital divides, and deliver benefits to the communities we serve.
3. **Responsible Procurement:** We incorporate environmental considerations into vendor selection, prioritizing vendors that demonstrate transparency and commitments to progress on energy efficiency, emissions disclosure, and sustainability commitments.

These commitments are anchored in CARE's existing Climate and Environment Policy.

LINK: [CARE Climate and Environment Policy](#)

2.4 Program Quality Guidelines

Program quality consists of what CARE teams and partners should do and how they should work, to meet the expectations of program participants, partners, donors and other stakeholders, and live up to the organization's principles, standards, and commitments. Increasing program quality is a process of continuous improvement, from analysis to design, implementation, and monitoring, evaluation, accountability, and learning. High standards of program quality improve CARE and partners' ability to help save lives, enable the people CARE serves to claim their rights and achieve lasting change at scale, contributing to the Sustainable Development Goals. The following principles, approaches and ways of working make up the 10 drivers of Program Quality for CARE:³

1. Gender, equal rights for women and girls and inclusion
2. Accountability
3. Do no harm
4. Partnerships
5. Relevance and coherence
6. Climate and environmental responsibility
7. Sustainable impact at scale
8. Adapting and learning

³ Program Quality in CARE

- 9. Effectiveness
- 10. Efficiency

LINK: [CARE Program Quality Guidelines](#)

2.5 Humanitarian Accountability Framework

The CARE Humanitarian Accountability Framework serves as the overarching structure through which CARE operationalizes its commitments to the communities it serves, ensuring transparent decision-making and responsible use of power. Risk management is embedded throughout CARE's program cycle through structured processes including context and project safeguarding risk assessments, environmental impact screening, and climate resilience analysis that identify potential harms and guide mitigation planning. CARE is committed to internationally recognized accountability standards, including the Core Humanitarian Standard (CHS) for Quality and Accountability, to which CARE is a signatory. CHS ensures that crisis-affected communities know their rights, participate in decisions affecting them, and have access to safe complaint mechanisms. These humanitarian standards, including the Sphere standards that inform quality programming, are illustrative of the systematic accountability approaches CARE applies not only in emergency response but also across nexus and development programming, ensuring consistent safeguarding, stakeholder engagement, and do-no-harm principles throughout all interventions.⁴

LINK: [Humanitarian Accountability Framework](#)

CARE's policies establish clear organizational commitments to preventing harm, protecting vulnerable populations, promoting equal rights for women and girls, and managing environmental risks. The ESMS operationalizes these commitments through linked systematic processes, tools, organizational structures, and management procedures that ensure accountability and continuous improvement across all levels of the organization.

Table 1 below maps CARE's key documents to the core GCF Policy Requirements for Accredited Entities.

Table 1: CARE – GCF Policy Alignment	
GCF Policy Requirement	CARE Document(s)
GCF Environmental and Social Policy	Climate & Environment Policy ; Safeguarding Policy
GCF Gender Policy	Gender and Inclusion Policy
GCF Indigenous Peoples Policy (IPP)	CARE Programming Principles , IPP-aligned policy under development (2026) ⁵
GCF Sexual Exploitation, Abuse, Harassment (SEAH) Requirements	Safeguarding Policy ; Safer Programming Approach

⁴ Humanitarian Accountability Framework

⁵ A new policy responsive to the GCF IPP will be required post-accreditation pre-funding proposal submission

GCF Information Disclosure Policy	Information Disclosure Commitment ; Feedback and Accountability Mechanisms
GCF Monitoring, Reporting, Evaluation Requirements	Evaluation Policy ; ⁶ MEAL principles and standards ; ⁷ Impact measurement frameworks ; Programme Quality Guidance

3. Identification of E&S Risks and Impacts

As a policy-mandated core component of CARE’s project development process, all new project concepts are screened for environmental⁸ and social risks and impacts⁹, including related to gender.¹⁰ All CARE programming follows a standard protocol for screening that uses internally developed tools based on best practices from the humanitarian and international development sectors.¹¹ When a donor or funding partner requires specific social and environmental safeguarding tools and/or obligations, CARE incorporates them so long as they are at least as rigorous as the standard CARE protocols and tools.¹² For all GCF engagement, CARE follows its standard protocol, but integrates GCF-specific environmental and social screening and risk categorization tools as described below.

CARE uses a four-step process to screen GCF project concepts for environmental and social risks and impacts and to apply an overall project risk categorization (C/low, B/ medium, A/high). This begins during the concept note design stage, after the design team has engaged the Nationally Designated Authority (NDA) and completed stakeholder consultations, a project idea note, an initial Theory of Change, and selected priority geographies (see Section 4 for detailed roles and responsibilities).

- *Set-Up (Required for all CARE Programming)*: The project design team completes the CARE policy mandated social and environmental risk screens, which include the [Project Safeguarding Risk Assessment](#) tool and either the [Environmental Impact Screening](#) tool or the [Nexus Environmental Assessment Tool \(NEAT+\)](#), following guidance in the [CARE Safeguarding Toolkit](#) and the [CARE Environmental Impact Screening Guidance Note](#).^{13, 14}
- *Step One (Exclusion List)*: The project design team fills out the GCF Safeguard Exclusion Checklist (Annex 2), confirming which, if any, of the [GCF’s eight interim environmental and](#)

⁶ CARE Evaluation Policy

⁷ CARE’s global approach to MEAL

⁸ Climate and Environment Policy

⁹ Safeguarding Policy

¹⁰ Gender Equality and Inclusion Policy

¹¹ CARE Environmental Impact Screening Guidance, Safer Programming Toolkit, Climate Resilience Marker

¹² EIS guidance; track record of using third-party tools in humanitarian space

¹³ CARE Project Context Safeguarding Checklist

¹⁴ CARE Environmental Impact Screening Guidance Note

[social standards](#) are triggered by the project as envisioned. If the project triggers none of the exclusions, then it is assigned Risk Category C. If any standards are triggered, then the project advances to step-two of the E&S risk screening process.¹⁵

- *Step Two (ESMS Risk Screening)*: The project design team completes the GCF E&S Risk Screening Tool (Annex 3), filling in the activities, inputs, risk factors, and potential negative impacts and maladapted outcomes.¹⁶
- *Step Three (Risk Categorization)*: The project design team follows [IFC guidance](#) to determine the likelihood of each risk occurring, the severity of the assessed risk, and finally, they apply both ratings to the heat map tool, which categorizes each risk as low (equivalent to GCF category C, I-3), medium (equivalent to GCF category B, I-2), or high (equivalent to GCF category A, I-1).¹⁷ After initial categorization, the project design team, in close consultation with key host-country stakeholders, adjusts activities and/or target geographies as needed (and as feasible) to avoid and/or minimize the potential negative impacts. The overall project rating is equal to the highest individual risk rating after all adjustments and mitigation measures are accounted for.¹⁸ CARE aims to be accredited to GCF risk category B/I-2, meaning under no circumstance will CARE undertake a risk category A activity.
- *Step Four (Review and Approval)*: This is a two-step process beginning with the standard operating procedure for sign-off by the CARE Country Director and then progressing to the CARE GCF ESMS Focal Point for review, and finally to the CARE GCF Team Lead for final review and approval.

Initial risk screening and categorization is the beginning of a continuous safeguarding and staff and partner capacity building process throughout the project life cycle, ensuring that risks and impacts are identified, assessed, managed, and monitored according to CARE's Climate and Environment and Safeguarding Policies.

If a project is categorized as risk category B, then an Environmental and Social Impact Assessment (ESIA) or similar assessment must be completed. The ESIA, following international best practices and complying with criteria of the GCF, will be the basis for the elaboration of an Environmental and Social Management Plan (ESMP) or similar document, which informs project design and implementation and is included as Annex 6 of the GCF funding proposal package.

¹⁵ [guidelines-guidelines-environmental-and-social-screening-activities-proposed-under-simplified.pdf](#)

¹⁶ [esms-handbook-general-v21.pdf](#)

¹⁷ See Annex 3 risk screening and categorization guidance

¹⁸ [esms-handbook-general-v21.pdf](#)

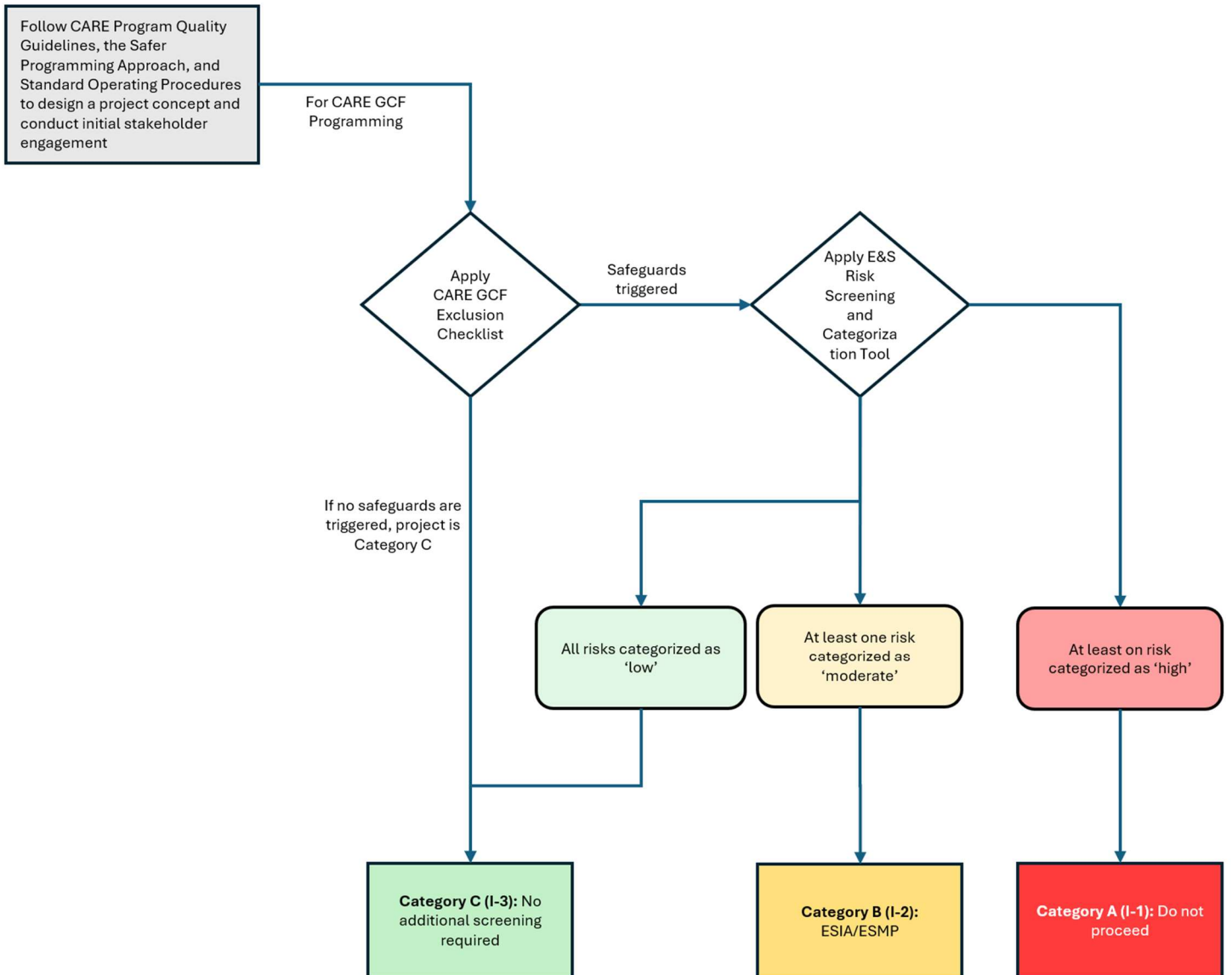


Figure 1. Risk identification and categorization

4. Management of E&S Risks and Impacts

Identified environmental and social risks are managed through a structured approach integrated across the CARE project cycle.

After completion of risk and impact screening and ESIA (for Category B GCF projects), the CARE project design team creates tailored management action plans to avoid, minimize, and compensate for negative impacts.¹⁹ These plans document the identified environmental or social risk being addressed, the specific management measure(s) to be implemented, relevant monitoring

¹⁹ Climate and Environment Policy (CEP), CEP CO2 Reduction Strategy

indicators, responsible parties, and assessment of residual risk. Management activities are incorporated into program logical frameworks and activity plans with sufficient budget allocated.²⁰ For all GCF-funded activities, E&S management plans (including ESMPs) must include gender-responsive mitigation measures. These measures address gender-differentiated risks and barriers, support safe and meaningful participation of women and at-risk groups, and include actions to prevent and respond to gender-based violence and sexual exploitation, abuse, and harassment (GBV/SEAH) and potential backlash.

[CARE's Safer Programming approach and toolkit](#) contain project specific safeguarding checklists, completed every six weeks during project implementation by the project team, that provide detailed checks to ensure critical safeguarding measures are being effectively employed.²¹ Where any checklist indicator cannot be affirmatively responded to, program management must put in place a mitigation measure and include that measure in an action plan to ensure that the program is able to meet CARE's Safeguarding standards.

CARE establishes monitoring indicators and assigns clear responsibilities for tracking mitigation effectiveness. Monitoring activities help identify unintended harm and allow programs to be adapted or redesigned when safeguarding concerns arise or when activities cause or exacerbate harm. CARE ensures that monitoring processes include safeguarding considerations and that communities feel able to and are comfortable raising concerns and understand their options for submitting grievances. See Section 7 Monitoring and Review.

5. Organizational Capacity and Competency

CARE establishes clear roles, responsibilities, authorities, and procedures for implementing the ESMS at all organizational levels. It is supported by an organizational structure that assigns E&S decision-making authority, integrates environmental and social considerations into project design and implementation workflows, and ensures that staff, consultants, and relevant partners have the skills, knowledge, and resources needed to fulfill their roles. This section describes CARE's organizational structure as it relates to the ESMS, communications and training, and information disclosure.

5.1 Roles, Responsibilities, and Authorities

This ESMS describes E&S responsibilities across the global level – including CARE US and the CARE International Confederation – and Country Offices (COs) and project teams. Together, these tiers ensure that E&S screening, decision-making, quality assurance, and monitoring are conducted by qualified personnel with clearly defined authorities at every stage of the GCF project cycle.

²⁰ CARE Safer Programs Approach

²¹ Safer Programming Checklist

CARE US serves as the AE for the CARE International Confederation. CARE’s GCF Team, led by CARE GCF Team Lead, heads all GCF-related work. The CARE GCF Team provides technical, operational, and administrative guidance and oversight to COs in the development of GCF funding proposals that adhere to GCF policies and standards. All GCF funding proposals and their annexes, from the earliest stages of NDA engagement, through final submission to the GCF Board, and throughout implementation, are guided and quality assured by this team.

The CARE International Secretariat coordinates institutional policy, supports resource mobilization for co- and parallel financing arrangements, and provides additional technical services and learning resources. Additional global-level functions – including the CARE US Gender Team, the International Safeguards Team, the Feedback and Accountability Mechanisms (FAM) Team, and the Security, Operational Access and Risk (SOAR) Team – provide specialized expertise that feeds into the ESMS at the project level.

Table 2 below details the global-level roles and their specific responsibilities in the execution of the ESMS. The organizational chart (Figure 2) includes named personnel where appropriate and is subject to update periodically.

Table 2. Global-Level ESMS Roles, Responsibilities, and Authorities

Role	ESMS Responsibilities
Institutional Focal Point for GCF	<ul style="list-style-type: none"> • Strategic direction and oversight of CARE’s GCF accreditation and ESMS • Signatory authority for GCF engagement on behalf of CARE US • Organizational responsibility for E&S performance across GCF-funded activities • Liaison with GCF Secretariat on policy and compliance matters
CARE GCF Team Lead	<ul style="list-style-type: none"> • Review and quality assurance/quality control of all ESMS procedures and outputs • Authority to approve E&S risk screening and categorization outputs • Oversight of GCF funding proposal development process and compliance with GCF policies • When CARE US is also the Executing Entity: direct oversight of project-level ESMS implementation
Climate and Environment Technical Lead	<ul style="list-style-type: none"> • Support to COs on GCF environmental risk identification, screening, mitigation, and reporting • E&S quality assurance across all GCF project design and implementation • ESMS Focal Point and ESMS training resource for COs
Technical program Manager	<ul style="list-style-type: none"> • Technical liaison between CO project teams & CARE US GCF Team • Project design and implementation support

Climate Adaptation Specialist	<ul style="list-style-type: none"> GCF funding proposal design support on climate adaptation and resilience themes
Climate Adaptation Specialist	<ul style="list-style-type: none"> GCF funding proposal design support on climate adaptation and resilience themes in the water sector
Private Sector and Innovative Finance Specialist	<ul style="list-style-type: none"> GCF funding proposal design support on private sector engagement and innovative finance
Social Safeguards Specialist	<ul style="list-style-type: none"> Support to CO teams on social risk identification, screening, mitigation measures, and reporting
Gender Specialist	<ul style="list-style-type: none"> Gender risk screening and assessment support Gender Action Plan development, quality assurance, and coordination of review and approval with Global Gender Team

5.2 CARE Global Teams

Across the CARE Confederation, global teams provide centralized technical, operational and policy guidance to COs and partners. These teams provide additional support to design, quality assurance, risk screening, capacity building, and compliance functions necessary to develop and implement high-quality, context-appropriate programs that align with CARE’s safeguarding, equal rights for women and girls, climate and environment, feedback and accountability, and security commitments and standards. These teams augment and backstop the CARE GCF Team.

- Safeguarding Team** – The Safeguarding Team develops CARE’s overarching safeguarding frameworks and associated resources, including the Safer Programs Toolkit, risk assessment tools, safer recruitment guidance, safeguarding training (such as through CARE Academy), and protocols for handling Sexual Harassment, Exploitation, and Abuse, and Child Abuse (PHSEA-CA) reports between CARE entities. COs and CARE’s implementation partners adapt these safeguards to their specific contexts, and must comply with CARE’s mandated policies and procedures.

Climate Justice Center (CJC) – The Climate and Environment Policy (CEP) was developed under the leadership of the Climate Justice Center, which provides guidance on policy implementation and compliance to COs. The CJC has developed environmental impact screening guidance, tools, and training for CO teams. The CJC also supports across CARE in program quality, MEAL and knowledge management, capacity and training, and technical areas, including in the identification of environmental and climate risks for programmes.

- Gender Team** – CARE US is the global lead for gender across all CARE entities. It has designated gender specialists who provide technical oversight and support to project design and implementation teams. These roles work in close coordination with social safeguarding,

climate and environment, and MEAL staff at the country-level to address intersecting risks, including gender-based violence, unequal access to resources and benefits, and differential exposure to climate and environmental hazards. CARE runs monthly capacity-sharing programs to ensure that equal rights for women and girls is not just the role of the gender specialist but is embedded in organizational culture. CARE also ensures the hiring and retaining of staff reflect CARE’s commitment to advancing equal rights for women and inclusion not only in programming, but also internally.

- CARE Feedback and Accountability Mechanisms (FAM) Team** - At the global level, a FAM Working Group provides confederation-wide guidance, tools, and technical support for the establishment and operation of feedback and accountability mechanisms across all CARE programming. This team develops the overarching FAM standards and associated resources - including standard operating procedures, training materials, and practical templates - that country offices and partners adapt to their specific contexts. At the country level, senior management is accountable for organizational commitment, resourcing, and fostering a culture of accountability, while Program Quality (PQ) teams develop FAM guidance, build field staff capacity, and maintain oversight of the mechanism's day-to-day operation across all areas. Each CO assigns dedicated MEAL or accountability staff responsible for ensuring feedback channels are functioning effectively, coordinating responses across teams, and using feedback data to inform decision-making and program adaptation.
- CARE Security, Operational Access and Risk (SOAR) Team** - SOAR is a specialized unit based at CARE USA, comprising 12 global security specialists who work across country offices, regional offices, and headquarters, connecting to approximately 60 country-level security staff worldwide. The team manages risks spanning from field-level operational challenges to strategic enterprise-level threats, while retaining the capacity to respond to critical incidents to minimize impact on staff and business operations. The SOAR team engages at the earliest stages of project design, using both top-down and bottom-up approaches to ensure security considerations are embedded from the outset, with country security leads requesting support for major programs and CARE US staff triaging and delegating accordingly. While the primary focus of the SOAR team is the protection of CARE staff, the team deliberately extends planning, training, and readiness support to partner organizations, and also considers community protection during program design.

5.3 CARE Country Office Teams

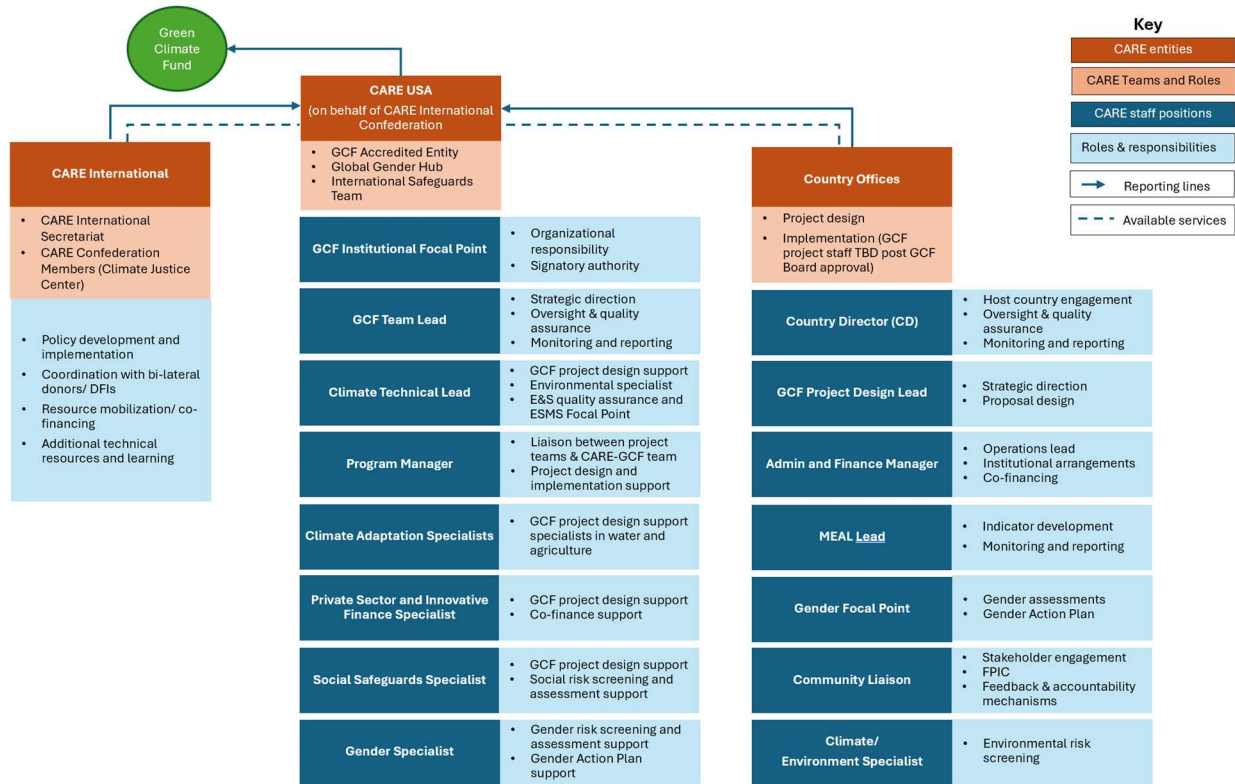
COs staff GCF project design and implementation teams (Table 3) with relevant technical and operational staff as best fits the needs of the particular office and project; however, mandatory roles for any GCF engagement include the following:

Table 3. Country-Level ESMS Roles, Responsibilities, and Authorities

Role	ESMS Responsibilities
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Country Director	<ul style="list-style-type: none"> • Engagement with the National Designated Authority, line ministries, and host government entities • Strategic direction and responsibility for ESMS implementation, resourcing, and monitoring at the country level • Approval of E&S risk screening outputs prior to submission to CARE US GCF Team
GCF Project Design Lead / Deputy CD Programs	<ul style="list-style-type: none"> • Design of project theory of change and activities aligned with host country strategic priorities • Identification of project sites, partners and target program participants • Design of responsive and inclusive E&S management plans • Liaison between project teams and the CARE US GCF Team • Project design and implementation support
Admin and Finance Manager / Deputy CD Operations	<ul style="list-style-type: none"> • Operations lead for GCF project implementation • Institutional arrangements and co-financing management • Budget allocation and financial oversight for E&S management activities
MEAL Lead	<ul style="list-style-type: none"> • Indicator development for monitoring E&S risks throughout the project lifecycle • Monitoring and reporting on E&S performance and compliance • Support to the Program Officer for risk screening and categorization • Data collection, analysis, and reporting on environmental and social outcomes
Gender Focal Point	<ul style="list-style-type: none"> • Gender assessments, including the Rapid Gender Analysis • Support for and monitoring of the Gender Action Plan • Support to the Program Officer with gender risk screening • Design of appropriate indicators for monitoring gender throughout the project lifecycle
Community Liaison / Stakeholder Engagement Lead	<ul style="list-style-type: none"> • Stakeholder engagement planning and execution, including community dialogues • Free, Prior and Informed Consent (FPIC) processes • Operationalizing feedback and accountability mechanisms at the project level • Ensuring feedback channels are functioning and coordinating responses across teams
Climate / Environment Specialist	<ul style="list-style-type: none"> • Climate and environmental risk screening and assessment • E&S quality assurance at the project level • Technical input on climate adaptation and environmental management measures

Organizational Chart (larger format in Annex 4):



5.4 Communication and Training

CARE has a [Global Training Hub](#) available to all staff and key consultants, where extensive training resources are easily accessible. CARE ensures all employees and related personnel are aware of, have signed, and are oriented to its safeguarding and environmental policies. Training on safeguarding, gender, equal rights for women and girls, and environmental management is delivered through online and in-person sessions and integrated into new staff orientations. Training builds knowledge, refreshes awareness, and reinforces a culture where leadership actively encourages reporting of misconduct. Personnel engaged in environmental management, social safeguards, data handling, and program monitoring receive targeted training on their specific responsibilities.

The ESMS is included in training and orientation for all GCF project design and implementation teams, led by the CARE GCF Team. The ESMS and supporting guidance are available to all staff via CARE Shares, and to the general public on CARE's [website](#).

All GCF project design and implementation team members receive dedicated training on ESMS processes and tools, including E&S risk screening and categorization, and use of the Exclusion Checklist (Annex 2) and IFC risk screening tool (Annex 3). When required, specialized technical resources are acquired – from within CARE or via expert consultants – to complete ESIA and ESMPs. This training is coordinated by the CARE US GCF ESMS Focal Point. The CARE GCF ESMS focal point and other GCF Team members are available as resources to COs throughout the GCF project lifecycle for additional training and support.

Safeguarding, environmental performance, gender and equal rights for women and girls commitments are embedded in staff performance management, including annual reviews, operating plans, job descriptions, and performance plans. All employees demonstrate their commitment to safeguarding through annual reviews, and leadership is accountable for maintaining a safe, respectful, and inclusive work environment.

All CARE entities ensure staff have basic policy awareness, with orientation resources available through CARE Shares. Policy Focal Points for CEP, Safeguarding, and Gender — and those implementing these policies at the entity level — have access to additional resources including best practice guidelines, technical support, video tutorials, and individual guidance on environmental and social screening and risk management.

5.5 Information Disclosure

CARE is committed to the GCF's Information Disclosure Policy. In accordance with this commitment, CARE will disclose GCF-related Environmental and Social Impact Assessments, Environmental and Social Management Plans, and Environmental and Social Management Systems and other required documents at least 30 days in advance of the GCF's or CARE's own board decision, whichever is earlier. These reports will be made available in both English and the relevant local language through electronic links on [CARE's website](#) and in locations accessible to affected communities. CARE will further ensure that all funding proposals submitted to the GCF Board are suitable for simultaneous public disclosure, with any information falling under the Policy's defined exceptions appropriately redacted. CARE recognizes the GCF's presumption in favor of disclosure and will cooperate with the Secretariat in responding to information requests from the public, while safeguarding confidential, personal, and commercially sensitive information in line with the exceptions set forth in the Policy.

6. Gender, Equal Rights for Women and Girls and Inclusion

CARE integrates gender, equal rights for women and girls, and inclusion across the full GCF project lifecycle. The requirements below describe how CARE meets the GCF Gender Policy through gender analysis, gender-responsive design and risk management, a project Gender Action Plan, inclusive implementation, and gender-disaggregated monitoring and reporting from design through close-out.

CARE’s vision is to seek a world of hope and inclusion where poverty has been overcome and people live in dignity and security. CARE puts gender, equal rights for women and girls, and inclusion at the center of all we do because we know that we cannot overcome poverty and social injustice until all people have equal rights and opportunities. We recognize that power relations between people are unequal, and that we must challenge patriarchy and promote equal rights for women and girls to end poverty. In [CARE’s Vision 2030](#), equal rights for women and girls sits at the heart of our programmatic ambitions and radiates through all our work. We seek to elevate the voice of those who are marginalized and leverage our organizational capabilities to advance equal rights for women and girls, promote inclusion, and bring about lasting impact.²²

This section details how CARE will meet its commitment to ensure that all concept notes and funding proposals submitted to the GCF, and all project implementation processes, meet the principles and requirements of the [GCF Gender Policy](#). CARE integrates gender analysis and disaggregated data throughout all programming while engaging diverse stakeholders – including men, boys, and marginalized communities – to address discriminatory norms and achieve measurable outcomes on equal rights for women and girls. CARE pledges to prevent harm by identifying and mitigating risks of gender-based violence and backlash, ensuring safe, participatory evaluation processes that document progress and enable cross-learning. Internally, CARE cultivates equal rights for women through human resources practices, recruits committed staff, provides comprehensive training on equal rights for women and girls and protection from sexual exploitation and abuse, and maintains transparent reporting on gender balance and pay equity. All external communications, advocacy, and donor negotiations uphold dignified, stereotype-free messaging while securing adequate funding to fulfill these interconnected commitments on equal rights for women and girls and inclusion.

The CARE Gender Team hosts an [online hub](#) where staff can find tools, resources, trainings, and technical advisory for all activities to advance equal rights for women and girls including project design, implementation, monitoring, reporting, and close-out.²³

CARE operationalizes its commitments to equal rights for women and girls and inclusion primarily through its [Gender Best Practices Approach](#) and the CARE Safer Programming Approach, which provide specific guidance aligned to project phases (i.e., design, implementation, and close-out).

6.1 Gender in Project Design

The CARE Safer Programs approach, required for all project design processes, prompts project design teams to highlight whether they are working with at-risk groups including women, girls,

²² CARE Gender Equality and Inclusion Policy

²³ GEVV_guidance-note_english_2019

marginalized genders, and LGBTQI+ populations (see Section 2).²⁴ The project design team assesses vulnerabilities, potential barriers to accessing services or reporting, and context-specific power dynamics - including whether the context is known for high rates of sexual exploitation and abuse. Each CO has a dedicated Gender Focal Point, and the project design team also works in tandem with the global Gender Team to identify how risks may be exacerbated by activity design and to develop appropriate mitigation measures. For GCF project design, CARE undertakes initial gender analysis in parallel with the E&S risk screening to ensure comprehensive understanding of how gender considerations impact vulnerabilities. During funding proposal development, a thorough gender assessment and responsive Gender Action Plan are developed, adhering to both CARE's Gender and Inclusion Policy and GCF's Gender Policy. Throughout project design, CARE COs have access to technical and operational support from the CARE US Gender Team (see Section 4).

Recognizing that approaches should be tailored as much as possible to reach project, CARE has developed [CARE Gender Toolkit](#), which is a comprehensive online resource to support gender analysis in programming, organizational change, and advocacy. The Gender Team also has developed a [suite of resources](#) that are available to guide project design teams. These include, among others (the full list of resources is available in the [Gender and Women's Voice Guidance Note](#)):

- Good Practices Framework for Gender Analysis
- Guidelines for Gender Integration in Farmer Field Schools
- Gender Climate Vulnerability and Capacity Analysis Practitioners Guide
- Gender in Emergencies Approach
- Social Analysis and Action (SAA)
- Putting Gender in Political Economy Analysis: Why it Matters and How to Do it

6.2 Gender in Project Implementation

CARE monitoring frameworks incorporate gender-relevant indicators, with all data disaggregated by sex, age, and where possible, disability and other relevant characteristics. CARE uses global indicators to track progress on gender, equal rights for women and girls outcomes - including measures of women's and girls' agency, changes in power relations, and discriminatory structures. Program assessment is conducted on an ongoing basis throughout implementation with the community, including women, girls, and other at-risk groups; outcome monitoring in GCF projects is conducted annually. Where risks are identified or feedback is received from participants, projects must be adapted or redesigned to minimize any element of the program that is causing or exacerbating harm. All project indicator data, whether directly gender-related or not, is analyzed

²⁴ Safer Programs approach and toolkit

using a gender lens to identify where modifications may be beneficial and to ensure programs remain accountable to affected populations.

CARE places strong emphasis and resourcing on the requirement that women, girls and other at-risk groups in CARE programming be included in relevant discussions, such as when considering risk control measures, delivery mechanisms, and distribution points. These dialogues must take place in safe, accessible spaces, and where possible, teams should consult with community members to ascertain suitable locations. Appropriate community members and leaders are engaged on how best to safeguard women, children, and other at-risk groups, the behaviors they should expect from CARE staff, and how to report concerns. Teams must consider how participants will access program sites, including whether they have to travel long distances through known high-risk areas, or whether social and cultural norms could prevent people from accessing sites. When raising awareness with program participants, teams must work with MEAL colleagues to consult community groups to co-create messages. The Global Gender Team provides COs with technical backstopping and advisory services throughout project implementation.

6.3 Gender in Project Close-out

At close-out, teams conduct endline evaluations that assess sex and age disaggregated progress toward outcomes on equal rights for women and girls, applying MEAL principles and documenting best practices and challenges. Evaluations must do no harm, be participatory, and create mechanisms for cross-learning within communities, CARE, and partners. Closure also requires completing a safeguarding risk assessment to ensure vulnerable communities- particularly women, girls, and other at-risk groups - are not cut off from support without viable alternatives. Teams communicate clearly with communities about CARE's departure and refer participants, with their consent, to organizations continuing services in the location. Lessons learned on safeguarding and protection are shared with any successor organizations to help them mitigate context-specific risks. To support sustainability, capacity-building efforts throughout the project, such as training community members, village agents, and local committees, ensure that skills and knowledge remain within communities beyond the project period. All sensitive participant data must be secured and, if no longer required, destroyed.

7. Emergency Preparedness and Response

CARE maintains a comprehensive and systematic approach to emergency preparedness and response that is fully integrated into its operational planning and E&S management. Guided by the CARE [Emergency Preparedness Planning Guidelines](#) (EPP), CARE views preparedness as an ongoing, adaptive process grounded in hazard identification, risk analysis, capacity assessment, and continuous risk monitoring. All country offices are required to maintain and regularly update Emergency Preparedness Plans, supported by multidisciplinary Emergency Response Teams and scenario-based response planning appropriate to their risk profile.

A core component of CARE’s EPP approach is the organization-wide requirement to implement [Minimum Preparedness Actions](#) (MPAs). These mandated actions ensure that every office has baseline systems, capacities, and protocols in place for rapid and effective emergency response. Country offices are also encouraged to develop additional MPAs informed by their capacity assessments, gap analyses, and context-specific scenario plans. This ensures that preparedness measures are tailored, realistic, and responsive to local risks and operational conditions.

Gender integration is also a mandatory and foundational element of CARE’s preparedness process. Consistent with the [Gender in Emergencies](#) guidance (see Section 6 above), all COs must understand gender roles, power dynamics, and differentiated needs among crisis-affected populations. CARE ensures that preparedness measures are inclusive and equip staff and partners to meet the specific needs of women, men, boys, and girls, and that gender-sensitive interventions inform all stages of planning and response. Gender-focused MPAs further strengthen readiness by embedding gender considerations into staffing, assessments, coordination, and program design.

CARE has developed a [suite of tools](#) and templates as part of its [Emergency Toolkit](#) that ensures that emergency preparedness at the project level is anticipatory, inclusive, and directly linked to its capacity to deliver principled and accountable programming.²⁵

8. Stakeholder Engagement

CARE is committed to meaningful, effective, and informed stakeholder engagement with communities and partners in the design and implementation of its projects.²⁶ Meaningful engagement recognizes that affected communities are experts in their own contexts and should always be included in discussions about risks, needs, and solutions that shape CARE’s interventions. CARE provides staff with specific guidance and tools to conduct comprehensive stakeholder engagement as a core element of the ESMS, ensuring that engagement is inclusive, culturally appropriate, and responsive to the distinct needs of all community members, especially women, girls, children, people with disabilities, and other marginalized groups.²⁷

Where social norms, safety risks, disability, or time burdens limit participation, CARE applies adapted engagement measures to ensure women, girls, and other marginalized groups can participate meaningfully. These measures may include separate consultations, female facilitators, safe and accessible locations, timing that works for participants, childcare or other practical support where feasible, and confidentiality protections for sensitive issues.

CARE acknowledges that significant power imbalances exist between international and national organizations and the communities they serve. These power differences can deter vulnerable

²⁵ [CARE Emergency Toolkit](#)

²⁶ CARE is a certified member of the Core Humanitarian Standards:
<https://chstracker.chsalliance.org/s/detail/0017Q0000yKbHqQAK>

²⁷

Also reflected in the CARE Safeguarding Policy 3.13

individuals from speaking truth or holding organizations to account. Feedback is essential to improve CARE's interventions, make them more effective and sustainable, maximize positive outcomes, and prevent harm. Stakeholder engagement processes must be designed to reduce barriers to participation, create opportunities for diverse voices to be heard, and actively work to identify and support the most marginalized and/or excluded community members.

Integral to CARE's project and program design is the understanding that communities should be included in identifying and managing safeguarding risks and environmental and social impacts. CARE mandates that COs and other project and program design leaders organize community dialogues with diverse community members, program participants, and representatives of marginalized groups to discuss actual and potential risks, desired outcomes, and how CARE can best mitigate harm and strengthen positive impacts.²⁸ These dialogues must employ culturally appropriate methods and include separate consultations with groups that hold different levels of power (e.g., separate discussions with women, youth, people with disabilities, and elders) to ensure meaningful participation from all community members. These consultations are not one-time events but are conducted at regular intervals throughout the project cycle to respond to changing circumstances and emerging concerns.

8.1 Process and Procedure

CARE adheres to the [Core Humanitarian Standard on Quality and Accountability](#)²⁹, which govern equitable, respectful, and effective stakeholder communication and engagement. CARE follows a four-step stakeholder engagement process during project design and implementation:

- *Step One (Stakeholder Mapping)*: The CARE project design team lists all relevant stakeholders in the project area, country, and transboundary area as appropriate to the project scope, and defines each identified stakeholder's interests.
- *Step Two (Participatory Stakeholder Engagement)*: CARE is highly attentive to stakeholder input to project design and prioritizes making space for community input at the design stage. This engagement follows a gender-informed approach that ensure marginalized and vulnerable voices are heard, and that their needs and concerns are understood by CARE.
- *Step Three (Stakeholder Validation)*: As part of the project design process, once strong drafts of the key proposal documents are completed, CARE hosts a stakeholder validation workshop to ensure transparent communication and provide another opportunity for stakeholder input.
- *Step Four (Ongoing Communication)*: Throughout project implementation CARE continues to source stakeholder input to the project through community engagement and robust Feedback and Accountability mechanisms (see below). CARE presents project information in local languages and appropriate formats to ensure effective communication.

²⁸ CARE Programming Principals 1 and 3

²⁹ [Core Humanitarian Standard](#)

Stakeholder mapping and stakeholder engagement are important aspects of CARE's environmental, social, and gender safeguarding process. Stakeholder input helps inform the E&S risk screening process, eventual ESIA's and ESMPs, the Gender assessment and Gender Action Plan, and the Stakeholder Engagement Plan (GCF Funding Proposal Annex 6).

8.2 External Communications

CARE maintains a dedicated public-facing GCF [webpage](#) where information on GCF-funded activities, including project descriptions, environmental and social safeguard documents, and relevant updates, is made accessible to stakeholders and the general public. The GCF page includes a designated email address and contact information to enable stakeholders, community members, and other interested parties to submit inquiries, provide feedback, or raise concerns related to GCF-funded projects. CARE is committed to ensuring that all relevant project information is published and updated in a timely manner so that stakeholders have access to current and accurate information throughout the project lifecycle (see also Section 5.5 on disclosure).

All external communications related to GCF-funded projects – including media materials, human interest stories, photographs, videos, audio recordings, advocacy messaging, and visual content – are guided by the principle of 'Do No Harm' and must uphold CARE's commitments to dignified, respectful, inclusive, and authentic storytelling. All external advocacy and communications on sensitive issues follow established CARE sign-off procedures, applying a gender-sensitive lens and do no harm approach to assess and mitigate potential risks to participants, other local stakeholders, staff, and programming. The CARE GCF Team coordinates with relevant Country Office communications leads to ensure that all public-facing materials align with CARE's safeguarding, gender equality, and environmental commitments.

In accordance with CARE's [Consent to Use Stories and Images Policy](#)³⁰, informed consent must be obtained from all individuals whose likeness or personal information is featured in project communications. Written consent, documented using CARE's standard consent forms, is required in most circumstances, with verbal consent permitted only in exceptional situations such as emergency settings or contexts of conflict or political instability. For minors (under age 18) and vulnerable populations – including survivors of gender-based violence, internally displaced persons, and others who could face harm if identified – documented consent is always required, and additional protective measures must be applied, such as removing identifying information including name, exact location, or facial identity. Parent or guardian consent is mandatory for all minors. Subjects must be fully informed of how their materials may be used, retain the right to stipulate conditions or revoke consent at any time in writing, and receive a Certificate of Appreciation or comparable acknowledgement. Third-party visitors, including donors and media,

³⁰ CARE Consent to Use Stories and Images Policy

must be briefed on CARE's consent and safeguarding policies before any engagement with communities.

9. Grievance Redress

9.1 Feedback and Accountability Mechanisms

CARE has robust feedback and accountability mechanisms (FAMs) at multiple levels to ensure that all community members – regardless of age, gender, ability, or social position – can voice concerns and provide feedback to CARE, partners, and donors. CARE integrates partner and/or donor grievance mechanisms into project and program communications as appropriate to ensure project-affected people have access to grievance mechanisms at a minimum of three levels:

1. Project-level mechanisms managed by CARE (project feedback and accountability mechanisms)
2. CARE organizational level mechanisms ([EthicsPoint](#), described below)
3. Partner and/or donor-level mechanisms (such as the [GCF's independent grievance redress mechanism](#))³¹

Project-level FAMs must be operationalized within one month of project start in humanitarian contexts and within three months in development programs, with appropriate resourcing, clear procedures, and assigned roles and responsibilities. All feedback is recorded, categorized, and systematically tracked from receipt through response. CARE commits to acknowledging and responding to feedback according to established timelines and modalities while maintaining confidentiality. Every six months, CARE publicly shares an anonymized summary of feedback received and the actions taken in response, reinforcing transparency and accountability to affected communities.³² Project level FAMs must include:

- At least one collective (public) channel: allowing communities to raise concerns and hear responses to broader issues
- At least one individual (private/confidential) channel: enabling people to raise sensitive concerns safely
- At least one active channel: where CARE staff proactively seeks feedback from community members
- At least one static channel: where community members can independently report concerns (e.g., a suggestion box)

9.2 EthicsPoint

³¹ Independent Redress Mechanism | Green Climate Fund

³² Designing Feedback and Accountability Mechanisms

CARE recognizes that people should have access to grievance mechanisms at multiple organizational levels to maximize their ability to raise concerns and provides such a mechanism, called EthicsPoint.

CARE's EthicsPoint system (www.care.ethicspoint.com) serves as the organization's primary platform for receiving and managing complaints and reports of misconduct. Overseen by the Office of the General Counsel at CARE USA on behalf of all CARE International Members, the system is accessible globally to anyone — including members of the public — via both online and phone channels. At CARE USA and its managed country offices, E&S and HR cases are allocated to the CARE USA Manager of Investigations and the Director of Safeguarding, while financial misconduct cases are directed to the Fraud and Internal Audit team.

Once a report is submitted, the responsible staff receive an automated email alert with a link to the case, which is then reviewed, triaged, and allocated to the appropriate channel. Donors are notified of any reportable incidents at this stage. The reporter also receives an automated acknowledgment, followed by a subsequent communication outlining next steps and any additional information required. Where an investigation is deemed necessary, cases are assigned based on the nature and severity of the allegation — safeguarding cases go to a Safeguarding Investigator, while HR cases may be handled by an HR Business Partner, HR Manager, or Safeguarding Investigator depending on seriousness. Cases categorized as "other" are directed to HR, safeguarding, or financial misconduct teams based on the specific allegations.

All investigations are conducted within 60 days using the Core Humanitarian Standard Investigation Quality and Training Standards (CHS IQTS) model, the recognized industry standard, and are carried out in a survivor-centered and confidential manner. A Terms of Reference is developed and signed off by the relevant managers at the outset, and evidence is recorded and uploaded to EthicsPoint throughout the process. Upon conclusion, a final investigation report and recommendations are drafted for management review. Where allegations are substantiated, disciplinary procedures are applied — including CARE's zero-tolerance policy in safeguarding cases. HR advises management on appropriate actions, supports their implementation, and ensures both the complainant and relevant donors are notified of the outcome before the case is formally closed in EthicsPoint.

10. Monitoring and Review

CARE's Monitoring, Evaluation, Accountability and Learning (MEAL) approach establishes a robust system where monitoring serves as the check step, allowing programs to systematically track implementation of action plans and procedures, assess compliance with established standards, and measure progress toward environmental and social objectives and targets.³³ Monitoring

³³ CARE Monitoring, Evaluation, Accountability, and Learning: Approach, Principles and Operational Standards for Projects and Initiatives (2023).

encompasses tracking outputs, outcomes, and program quality through defined moments, tools, and resources across the project lifecycle – disaggregated by sex and age. For GCF-funded activities, CARE’s monitoring and reporting on gender aligns with the [GCF Gender Action Plan](#) and the [GCF Results Management Framework](#). This includes tracking progress against the project Gender Action Plan, reporting on gender-responsive indicators, and using findings to adapt activities and mitigation measures where results or risks differ for women, girls, and other groups.

Key indicators, both quantitative and qualitative measures of progress against set goals, are defined to assess performance in areas such as program implementation, adherence to procedures, and achievement of overall objectives. Data collected through monitoring activities must be well-organized and accessible, enabling regular review points where findings are assessed against the project’s theory of change to inform necessary adjustments and adaptive management.

CARE leverages monitoring data into actionable insights and decisions. The MEAL approach emphasizes that monitoring and evaluation data should be analyzed, discussed, and shared in ways that are understandable and useful to various stakeholders, including program staff, partners, and communities. This participative approach to review ensures accountability and transparency in program implementation, with clear channels for feedback from beneficiaries and stakeholders that are systematically connected to decision-making instances. Regular review meetings that examine monitoring data, assess implementation challenges, and evaluate the effectiveness of current strategies enable programs to make timely adjustments to approaches, resource allocation, and program design. By linking monitoring and review to adaptive management practices, CARE programming can remain responsive to changing contexts and emerging needs.

At the organizational level, CARE publishes annual Transparency Reports on general anonymized data from cases of Sexual Harassment, Exploitation and Abuse & Child Abuse (SHEA-CA) across the CARE International confederation.

11. CARE GCF Contacts

CARE ESMS Focal Point: Karl Deering, karl.deering@care.org
EthicsPoint Contact: Lucy Stoner, lucy.stoner@care.org
GCF Team Contact: Ann Vaughan, ann.vaughan@care.org

CARE GCF Website: www.care.org/our-work/green-climate-fund/
CARE USA Website: www.care.org

Annex 1: CARE Alignment with GCF ESS 1 – ESS 8

IFC Performance Standard (PS)	Screening Tool	Relevant CARE Policies / Frameworks / Guidelines
PS1 – Assessment & Management of E&S Risks & Impacts	GCF/CARE screening tool IFC Tool	Climate & Environment Policy; EIS Guidance Document; Safer Programs Approach and Toolkit; Project design MEAL tools; Program Quality Standards
PS2 – Labour & Working Conditions	IFC Tool	HR policies; Code of Conduct; Safeguarding Policy; Gender and Inclusion Policy
PS3 – Resource Efficiency & Pollution Prevention	IFC Tool	Climate & Environment Policy
PS4 – Community Health, Safety & Security	IFC Tool	Safeguarding Policy; Safer Programs Approach and Toolkit; Humanitarian Accountability Framework
PS5 – Land Acquisition & Involuntary Resettlement	GCF/CARE Checklist	Conflict sensitivity guidance; contextualized programming guidance at country level
PS6 – Biodiversity Conservation	IFC Tool	Climate & Environment Policy
PS7 – Indigenous Peoples	GCF Checklist/ Addressed after accreditation	Gender & Inclusion Policy; inclusive programming principles GCF compliant policy to be developed
PS8 – Cultural Heritage	GCF Checklist	Contextualized programming guidance to be developed

Annex 2: CARE GCF Exclusion Checklist

General safeguarding exclusion criteria	YES	NO
Will the activities involve associated facilities or generate cumulative impacts that would require further detailed due diligence and management planning?	<input type="checkbox"/>	<input type="checkbox"/>
<p><i>Associated facilities are facilities that are not funded as part of the project, and that would not have been constructed or expanded if the project did not exist and without which the project would not be viable. Cumulative impacts result from incremental impacts on areas or resources used or directly impacted by the project, from other existing, planned or reasonably defined developments at the time the risks and impacts identification process is conducted. Cumulative impacts are limited to valued qualities by the affected communities. Presence of associated facilities or potential cumulative impacts may elevate the environmental and social risks of the project and would require further assessments and management planning. Examples of associated facilities include roads, captive power plants or transmission lines, pipelines, utilities, warehouses, etc. Examples of cumulative impacts include reduction of water flows in a watershed due to multiple withdrawals, increases in sedimentation; interference with migratory routes or wildlife movement; or more traffic congestion and accidents due to increases in vehicular traffic on community roadways.</i></p>		
Will the activities involve transboundary impacts including those that would require further due diligence and notification to affected states?	<input type="checkbox"/>	<input type="checkbox"/>
<p><i>This question identifies activities that may have impacts outside its defined area and manifested in other neighboring countries. These are activities that are typically undertaken within a region, for example, within international waters or river basin that is shared between neighboring countries. Where such shared resources are under a joint management scheme with neighboring countries, notification and other due diligence requirements will need to be considered.</i></p>		
Labour and Occupational Health and Safety	YES	NO
Will the activities adversely affect working conditions and health and safety of workers or potentially employ vulnerable categories of workers including women and children?	<input type="checkbox"/>	<input type="checkbox"/>
<p><i>Activities that may potentially generate risks to the health and safety of workers involved in the activity and on the employment of vulnerable population including children. Where such activities may potentially generate these risks, further assessment will need to be undertaken including putting in place plans to manage working conditions.</i></p>		
Resource Efficiency and Pollution Prevention	YES	NO
Will the activities potentially generate hazardous waste and pollutants including pesticides and contaminate lands that would require further studies on management, minimization and control and compliance to the country and applicable international environmental quality standards?	<input type="checkbox"/>	<input type="checkbox"/>

Identify any activities that may generate hazardous waste, emissions to air and effluents that would adversely impair the quality of the receiving environment and adversely affect the health and well-being of the affected communities. Where such activities are present, the accredited entities will undertake further assessments including putting in place measures to avoid and minimize waste and pollutants, restore any contamination and bring the quality of receiving environment to within permissible standards. Examples of activities include thermal energy generation, replacement of equipment that may contain hazardous substances, agricultural intensification using agrochemicals, among others.

Community Health, Safety and Security	YES	NO
Will the activities involve the construction, maintenance, and rehabilitation of critical infrastructure (like dams, water impoundments, coastal and river bank infrastructure) that would require further technical assessment and safety studies?	<input type="checkbox"/>	<input type="checkbox"/>

This question identifies any infrastructure that may be constructed, rehabilitated or expanded through the activity that has the potential to pose hazards to the environment and the communities residing in the activity area. Activities supporting such infrastructure will elevate the environmental and social risks of the project and further assessment of the hazard and appropriate risk management programme may be needed. Risk management programs can include community emergency preparedness and response and specific measures to manage emergency scenarios such as flooding, fire, and others. An answer of "yes" to this question would indicate that more detailed hazard assessments and emergency and risk management planning will need to be undertaken. Examples of such activities would be those that support hydropower plants, water impounding and irrigation reservoir, and coastal and river bank protective infrastructure.

Land Acquisition and Involuntary Resettlement	YES	NO
Will the proposed activities potentially involve resettlement and dispossession, land acquisition, and economic displacement of persons and communities?	<input type="checkbox"/>	<input type="checkbox"/>

This question identifies whether the implementation of the activities will generate risks of displacement of individuals or communities (whether temporary or permanent) from the areas they are occupying. This will also include risks related to restrictions on access to natural resources that the communities depend on for livelihood such as water, forest and other natural products, other sources of raw materials, etc. There are activities that would require the acquisition of land through involuntary manner leading to risks of dispossession and relocation. Changes in tenure regime and land rights may also generate risks of physical and economic displacement. This type of activities will require careful assessments of the prevailing community conditions and the likely impacts, census of affected households, and considerations on valuation, compensation, consultations, resettlement, and post-resettlement activities. Management plans and frameworks will also have to be prepared such as land acquisition, resettlement plans, and livelihood restoration. An answer of "yes" to this question would indicate that more detailed assessments and management planning will need to be undertaken. Examples of activities that may potentially generate such risks include infrastructure construction or expansion requiring lands that are occupied by people and establishment of protection zones or parks that would restrict access of people to their resources.

Biodiversity Conservation	YES	NO
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<p>Will the activities be located in protected areas and areas of ecological significance including critical habitats, key biodiversity areas, and internationally recognized conservation sites?</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p><i>This question identifies risks to biodiversity and natural resources as attributes of the activities and its location. In responding to this question, the accredited entity will need to understand the location of the activities including its vicinity and where important areas for biodiversity conservation, natural and modified habitats, and critical habitats may be adversely affected. Where the area of influence of the activities involve such locations, further assessment and risk management planning will need to be conducted.</i></p>		
<p>Indigenous Peoples</p>	<p>YES</p>	<p>NO</p>
<p>Will the activities affect indigenous peoples that would require further due diligence, free, prior and informed consent (FPIC) and development of inclusion and development plans?</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p><i>This question identifies impacts of the activities of indigenous peoples and communities. Where such activities are considered to have potential impacts on the indigenous peoples, further detailed assessment will need to be undertaken including development and inclusion plans. The process for informed consultation and participation will have to be undertaken. The free, prior and informed consent and the process for obtaining such consent will also need to be provided.</i></p>		
<p>Cultural Heritage</p>	<p>YES</p>	<p>NO</p>
<p>Will the activities be located in areas that are considered to have archaeological (prehistoric), paleontological, historical, cultural, artistic, and religious values or contains features considered as critical cultural heritage?</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p><i>Identify cultural heritage including tangible and intangible cultural resources that may be potentially affected by the activities. Where there is the potential for such risks, a more detailed assessment will need to be undertaken including measures for avoiding and minimizing such risks and impacts.</i></p>		

Annex 3: IFC E&S Risk Screening Tool and Guidance

International Finance Corporation (IFC) ESMS Guidance Toolkit: [Online Here](#)

[Excel-based IFC ES Risk Screening Tool](#)

Annex 4: Organizational Chart

