



## CI-GCF AGENCY ENVIRONMENTAL AND SOCIAL SAFEGUARDS (ESS) SCREENING REPORT

☐ Preliminary Screening (CN/PPF Application) ☒ Second Screening (Proposal Development)

### I. PROJECT INFORMATION

#### A. Basic Program Profile

<b>Country:</b> Cook Islands, Federated States of Micronesia, Fiji, Kiribati, Marshall Islands, Niue, Nauru, Palau, Papua New Guinea, Samoa, Solomon Islands, Tonga, Tuvalu, and Vanuatu	<b>GCF Project ID:</b>
<b>Program Title:</b> Adapting tuna-dependent Pacific Island communities and economies to climate change	
<b>Executing Entity:</b> Conservation International-Pacific region, SPC and implementing partners: FFA, FAO and CSIRO	
<b>GCF Focal Area:</b> <input checked="" type="checkbox"/> Most vulnerable people and communities <input checked="" type="checkbox"/> Health and well-being, and food and water security <input checked="" type="checkbox"/> Ecosystem and ecosystem services	
<b>GCF Project Amount:</b> USD\$107,000,000	
<b>CI-GCF Project Manager:</b> Robert Merritt	
<b>Safeguard Analysis Performed by:</b> Ian Kissoon, Senior Director of ESMF, CI-GCF/GEF Agencies	
<b>Date of Analysis:</b> March 28, 2024	

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

Project Category:	Category A	Category B	Category C
			X
<i>The project activities are likely to have minimal or no adverse environmental and social impacts. In addition, mitigation measures have been developed and/or incorporated into the project design.</i>			
<b>ESS Standards Triggered:</b>			
<input type="checkbox"/> Environmental & Social Impact Assessment	<input type="checkbox"/> Cultural Heritage		
<input type="checkbox"/> Protection of Natural Habitats and Biodiversity Conservation	<input type="checkbox"/> Labour and Working Conditions		
<input type="checkbox"/> Resett. & Physical/Economic Displacement	<input checked="" type="checkbox"/> Community Health, Safety and Security		
<input checked="" type="checkbox"/> Indigenous Peoples	<input type="checkbox"/> Private Sector Direct Investments and Financial Intermediaries		
<input type="checkbox"/> Resource Efficiency & Pollution Prevention	<input type="checkbox"/> Climate Risk and Related Disasters		
<b>Mitigation Measures Required:</b>			
<input type="checkbox"/> Limited or Full ESIA	<input type="checkbox"/> Resource Efficiency & Poll. Prevention Plan		
<input type="checkbox"/> Environmental & Social Management Plan	<input type="checkbox"/> Cultural Heritage Management Plan		
<input type="checkbox"/> Plan for Natural Habitat Protection and Biodiversity Conservation	<input type="checkbox"/> Labour Management Procedures		
<input type="checkbox"/> Voluntary Resettlement Action Plan	<input type="checkbox"/> Community Health, Safety and Security Plan		
<input type="checkbox"/> Process Framework	<input type="checkbox"/> Environmental and Social Management Framework		
<input type="checkbox"/> Indigenous Peoples Plan	<input type="checkbox"/> Climate and Disaster Risk Management Plan		

**C. Program Objectives:**

1. To build the resilience of Pacific Island communities that have depended on coastal fisheries for food security to the degradation of coral reefs, caused by ocean warming and acidification, by increasing access to tuna.
2. To empower Pacific Island countries with a high dependence on access fees from industrial tuna fishing for economic development to retain the rights to the historical levels of tuna catches made within their exclusive economic zones as the distribution of tuna is altered by climate change.

**D. Program Description:**

Climate change is adversely affecting the Western and Central Pacific Ocean large marine ecosystem, degrading its coral reefs and changing the distribution of tuna. The impacts on coral reefs threaten the food security of more than 5 million people that live along the coasts of the program's targeted 14 Pacific Island countries. In parallel to the threat to the food security of highly vulnerable populations, the redistribution of tuna will have profound implications for national economies that derive as much as 75% of their (non-aid) government revenue from tuna fishing. This project program will: 1) increase supply of tuna for domestic consumption as an adaption to degradation of coral reefs and the resulting food insecurity for vulnerable populations; and 2) usher in the reforms needed to minimize the risks for citizens of countries with economies that are vulnerable to climate-driven redistribution of tuna.

The program comprises the following components:

**Component A:** Adaptations to harness tuna for food security of Pacific Island communities as coral reefs are degraded by climate change.

Activities:

- A1. Provide technical and logistical support to strengthen National FAD programmes.
- A2. Augment national safety-at-sea initiatives.
- A3. Strengthen post-harvest practices and market opportunities for FAD-caught fish.
- A4. Implement strategies to deliver more transhipped and unloaded bycatch and tuna to urban/peri-urban communities.
- A5. Strengthen/develop post-harvest practices and improve market opportunities to distribute bycatch and tuna from transshipping and unloading operations to urban/peri-urban communities.

**Component B:** Adaptations to reduce risks to Pacific Island economies from climate-driven tuna redistribution

Activities:

- B1. Develop and deliver an Advanced Warning System (AWS) for tuna redistribution.
- B2. Assess the impact of redistribution of tuna biomass identified by the AWS on national economies at all levels.
- B3. Provide AWS-related training to national institutions to engage in regional and international negotiations relating to impacts of climate change on tuna.

**E. Project location and biophysical characteristics relevant to the safeguard analysis:**

The project will be implemented in the Pacific Island countries of Cook Islands, Federated States of Micronesia, Fiji, Kiribati, Marshall Islands, Niue, Nauru, Palau, Papua New Guinea, Samoa, Solomon Islands, Tonga, Tuvalu, and Vanuatu. All of the project activities will be conducted within coastal communities, in nearshore waters or in oceanic areas. As such, no land-based sacred sites will be affected by the project. However, through Melanesia, 'tabu' (protected) areas are common but the

project will not affect the maintenance of these areas in any way. On the contrary, the activities in component A will increase access to tuna for local food security, reducing any social pressure to open 'tabu' areas to fishing to feed growing populations.

Most Pacific Island countries have small economies due to their limited land masses, populations and natural resources. Nominal GDP for the 14 countries involved in this program ranges from ~USD 40 million (Tuvalu, Niue) to USD 3.7 billion (Papua New Guinea). GDP per capita is typically within the range of US\$2,000 to US\$15,000. Access fees received from industrial tuna fishing operations in the exclusive economic zones (EEZs) of these countries contributes between 4% and 70% of all (non-aid) government revenue. The majority of the population in the 14 countries of approximately 10.5 million live in rural areas, where subsistence farming and fishing is a common livelihood. This project is expected to increase access to tuna for more than 4 million people living in coastal and urban areas. The broad ethnic and cultural distinctions among the people of the tropical Pacific coincide generally with the geomorphological differences between the islands. Melanesians inhabit the larger high islands in the southwest of the region, while Micronesians occupy the smaller islands to the north and Polynesians the islands to the east.

The subsistence and artisanal fisheries activities by both men women in rural areas of most Pacific Island countries are generally regulated using a community-based management approach. The industrial tuna fisheries are managed both at the regional and national level. The Pacific Islands Forum Fisheries Agency (FFA) was set up to enable the members to cooperate in the management of the highly migratory tuna stocks within their EEZs. The Parties to the Nauru Agreement (PNA) – the eight countries where 95% of the tuna caught in the Pacific Islands region comes from manage their fisheries through the 'Vessel day Scheme'. The establishment of the Western and Central Pacific Fisheries Commission (WCPFC) enables Pacific Island countries to cooperate with other states for the conservation and management of tuna resources and associated species in tropical Pacific high seas. The WCPFC also allows Pacific countries to impose an overall limit on the fishing of tuna across the entire distribution of the stocks, not just in their EEZs.

Gender-based violence does occur in the region. In some countries, e.g. in parts of Melanesia, there is cultural basis to this resulting from the payment of 'bride price' during marriage, fostering the mistaken concept in some marriages that the husband had paid for and therefore owns his wife. Our project has been designed to ensure that it creates opportunities for both men and women. The proposed activities in Component A, which include development of methods for catching a range of pelagic fish species in nearshore waters, are expected to provide increased opportunities for women because they already catch limited quantities of small pelagic fish in the sheltered nearshore waters of some countries. Training in post-harvest methods for tuna caught by small-scale fishers will also be of direct benefit to women, who have traditionally taken responsibility for increasing the shelf life of fish products. In addition, the plans to improve the distribution of tuna offloaded during transshipping operations in regional ports, and improve local supply chains for tuna, are very likely to increase the options for women because they are already engaged in these activities, e.g. in Solomon Islands. Taken together, the outcomes of all activities in Component A are expected to increase the availability of nutritious food for households, and increase the safety of family members fishing at sea. By ensuring the continued supply of tuna, the adaptations to be implemented through Component B are also expected to help maintain employment for women in tuna canneries across the region, where they make up the majority of the workforce.

There was ethnic tension, involving displacement of people among islands within the country in Solomon Islands 20 years ago. However, the country has now been stable for more than 10 years, and there is little or no risk that any staff from CI or partners would be exposed to danger from conflict during the project. In this regard, it should be noted one of the project partners, the Pacific Islands Forum Fisheries Agency, is based in Solomon Islands and two other partners (SPC and FAO) conduct field activities there.

There is a potential risk to stakeholders and staff from cyclones in those countries participating in the project that are located in regions vulnerable to cyclones/typhoons. There is also a potential risk from tsunamis. These risks are assessed to be relatively low due to the early warning systems in place across the region and the rapidly improving connectivity, even in the four least developed countries participating in the project (Kiribati, Solomon Islands, Tuvalu and Vanuatu). The risks associated with a prolonged delay in eradicating COVID-19 are assessed to be low because many of the participating countries have either had no incidence of the virus or have eliminated the virus and have strong border control due to their isolation and governance.

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

SPC are also an AE for the GCF therefore have their own embedded systems which have been audited and approved by the GCF as part of their accreditation process.

**II. SAFEGUARDS TO BE TRIGGERED BY THE PROJECT**

Based on the information provided in the Safeguard Screening Form, the following safeguards have been triggered:

ESS Standard	Yes	No	TBD	Justification
<b>1. Environmental &amp; Social Impact Assessment (ESIA)</b>		X		<i>No significant adverse environmental and social impacts that are sensitive, diverse, or unprecedented is anticipated.</i>
<b>2. Protection of Natural Habitats and Biodiversity Conservation</b>		X		<i>The project is not proposing activities that would have adverse impacts on natural or critical natural habitats, contravene applicable international environmental treaties or agreements, affect species identified as threatened at the local or global level or introduce or use potentially invasive, non-indigenous species.</i>
<b>3. Resettlement and Physical and Economic Displacement</b>		X		<i>The project is not proposing resettlement or physical/economic displacement. In fact, activities under Component A aim to improve economic opportunities.</i>
<b>4. Indigenous Peoples</b>	X			<i>The project will operate in lands or territories traditionally owned, customarily used, or occupied by indigenous peoples.</i>
<b>5. Resource Efficiency and Pollution Prevention</b>		X		<i>There are no proposed activities related to the use of banned, restricted or prohibited substances, chemicals or hazardous materials. The project will install FADs which could break loose from their mooring and become drifting marine pollution. However, the project is using a FAD system designed by SPC and will be securely anchored in a nearshore setting which minimizes the usual risks to FAD loss (through damage from large shipping vessels). FADs will also be installed with a GPS</i>

				<i>tracker to enable lost FADs to be easily recovered, repaired, and reinstalled.</i>
<b>6. Cultural Heritage</b>		<b>X</b>		<i>The project will respect and preserve traditional knowledge and practices (e.g., the use of medicinal plants by indigenous peoples), complying with local, national, and international regulations related to cultural heritage protection.</i>
<b>7. Labor and Working Conditions</b>		<b>X</b>		<i>The EE indicated compliance with the necessary policies, procedures, systems and capabilities that meets the requirements of this Standard.</i>
<b>8. Community Health, Safety and Security</b>	<b>X</b>			<i>Changing fishing methodology of some fishers from reef fishing to FAD fishing presents safety-at-sea risks. Safety-at-sea risks include: (i) operating new types or sizes of boat (mechanical and skills), (ii) fishing in new types of water conditions, (iii) inexperience or lack of data leading to exposure to weather events at sea, (iii) health and safety risks associated with using new type of fishing gear used for FAD fishing.</i>
<b>9. Private Sector Direct Investments and Financial Intermediaries</b>		<b>X</b>		<i>The project does not plan to make either direct investments in private sector firms, or channels funds through Financial Intermediaries but rather support businesses to access funds.</i>
<b>10. Climate Risk and Related Disasters</b>		<b>X</b>		<i>The region is currently exposed to climatic variability, i.e., the El Niño Southern Oscillation (ENSO), which causes the convergence zone between the two major marine provinces in the tropical Pacific Ocean to shift by up to 4,000 km between strong El Niño and strong La Niña events. This convergence zone is a prime fishing ground for tuna. The region is also exposed to future changes in ENSO and to ocean warming. Ocean acidification will also increase in the future due to increased levels of carbon dioxide in seawater. Cyclones are not predicted to become more frequent, but they are expected to become more powerful. The Pacific Island region has a much lower incidence of tsunamis than the countries along the 'ring of fire' that borders the extremities of the entire Pacific Ocean.  The project is designed to assist coastal communities to build resilience to the effects of degrading coral reefs on fish supply by using nearshore fish aggregating devices (FADs) to enable small-scale fishers to catch tuna more easily, filling the gap in fish supply for growing coastal communities. For urban communities, the project will develop arrangements to deliver more tuna caught by industrial fleets to regional ports. The project will assist countries with tuna-dependent economies to identify the expected losses of tuna from their EEZs with confidence. It will also assist these countries to use this information to negotiate internationally to retain control over the levels of tuna that have historically occurred within their</i>

				EEZs, regardless of the effects of climate change on the distribution of tuna.
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**Note:** Other ESS Standards could be triggered during the implementation phase of the project and the EE is required to promptly inform the CI-GCF Agency of changes to the project design and/or changes to the risks elaborated in the ESS Screening Form.

### III. PROJECT CATEGORIZATION

Based on the safeguard policies triggered, the project is categorized as follows:

PROJECT CATEGORY	Category A	Category B	Category C
			X
<i>Justification: The proposed project activities are likely to have minimal or no adverse environmental and social impacts. In addition, mitigation measures have been developed and/or incorporated into the project design.</i>			

### IV. MANAGEMENT OF SAFEGUARDS TRIGGERED

The EE is required to undertake the following measures during the Project Preparation Phase (PPP):

- I. Indigenous Peoples  
*Almost all of the people residing in the Pacific Island countries (PICs) are considered indigenous peoples under GCF definition of Indigenous Peoples. There are almost no non-indigenous people living or working in these island countries. The project has embedded FPIC in the design of its activities and this is also reflected in the SEP. As such, the project is not required to prepare a separate Indigenous Peoples Plan.*
- II. Community Health, Safety and Security  
*Transferring fishing effort from coral reefs to tuna to increase the supply of fish for the food security of growing coastal communities requires that small-scale fishers go further out to sea to fish. This presents safety-at-sea risks. However, Activity 1.2 (with three sub-activities) has been developed in the project's log frame to specifically address the safety-at-sea risks. As such, the project is not required to prepare a Community Health, Safety and Security Plan.*

#### Other Plans

Apart from the ESS Policy, the project will be required to comply with the CI-GCF's Accountability and Grievance Policy, Gender Policy, and Stakeholder Engagement Policy by preparing and submitting for review and approval to the CI-GCF during the project development stage, the following plans:

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

*In addition, the EE is required to monitor and report on the following minimum accountability*

and grievance indicators:

1. Number of times/events the AGM is communicated/disseminated to stakeholders; and
2. Percentage of conflict and complaint cases reported to the project's AGM that have been resolved.

II. Gender Assessment and Action Plan (GAAP)

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

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

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

1. Number of persons (disaggregated by gender) who received benefits during the implementation phase; and if relevant
2. Number of documents (disaggregated by types) derived from the project that included gender considerations or address gender gaps.

III. Stakeholder Engagement Plan (SEP)

*To ensure that the project complies with the CI-GCF's Stakeholders' Engagement Policy, the EE is required to develop a Stakeholder Engagement Plan.*

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

1. Number of stakeholder entities (disaggregated by type) involved during the project implementation phase;
2. Number of persons (disaggregated by gender) who participated in activities during the project implementation phase; and
3. Number of engagements (disaggregated by type of engagement) with stakeholders in during the project implementation phase.

**V. DISCLOSURE**

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