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of the United Nations

Annex 4.2

Environmental and Social Management Framework (ESMF) for the Use of Proceeds

For the GCF-FAO Project “GCF Results-Based Payments Mexico 2018-2019 aimed at Forest Conservation and Sustainable Livestock”

July, 2026

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Abbreviations

Abbreviation	Full term
AE	Accredited Entity
AMA	Accreditation Master Agreement
ANP	Protected Natural Area / Área Natural Protegida
BSS	Benefit Sharing System
BTR	Biennial Transparency Report
CBD	Convention on Biological Diversity
CEDAW	Convention on the Elimination of All Forms of Discrimination against Women
CICC	Inter-Ministerial Commission on Climate Change
CIDRS	Inter-Ministerial Commission for Sustainable Rural Development
CONABIO	National Commission for the Knowledge and Use of Biodiversity
CONAF	National Forestry Council
CONAFOR	National Forestry Commission
CONANP	National Commission of Natural Protected Areas
CONEVAL	National Council for the Evaluation of Social Development Policy
CPEUM	Political Constitution of the United Mexican States
CTC-REDD+	REDD+ Technical Advisory Committee
EE	Executing Entity
ECA	Farmer Field School
ENAREDD+	National REDD+ Strategy
ENCC	National Climate Change Strategy
ENDIREH	National Survey on the Dynamics of Household Relationships
ESIA	Environmental and Social Impact Assessment
ESMF	Environmental and Social Management Framework
ESMP	Environmental and Social Management Plan
ESOP	Environmental and Social Operational Pillar
ESS	Environmental and Social Standard
FAA	Funded Activity Agreement
FAO	Food and Agriculture Organization of the United Nations
FAOMX	FAO Representation in Mexico
FCPF	Forest Carbon Partnership Facility
FESM	Framework for Environmental and Social Management
FGRM	Feedback and Grievance Redress Mechanism
FIP	Forest Investment Program
FLO	Funding Liaison Officer
FPIC	Free, Prior and Informed Consent
FREL	Forest Reference Emission Level

GAAP	Gender Assessment and Gender Action Plan
GAP	Gender Action Plan
GBV	Gender-Based Violence
GCF	Green Climate Fund
GEF	Global Environment Facility
GHG	Greenhouse Gas
GMPPM	Guide of Best Management Practices
GRM	Grievance Redress Mechanism
GT-REDD+	REDD+ Working Group
HQ	Headquarters
IFC	International Finance Corporation
INALI	National Institute of Indigenous Languages
INECC	National Institute of Ecology and Climate Change
INEGI	National Institute of Statistics and Geography
INPI	National Institute of Indigenous Peoples
IP	Indigenous Peoples
IPP	Indigenous Peoples Plan
IRM	Independent Redress Mechanism
ISFM	Integrated Soil Fertility Management
LGCC	General Climate Change Law
LGDFS	General Law on Sustainable Forest Development
LGEEPA	General Law of Ecological Balance and Environmental Protection
LGVS	General Wildlife Law
LTO	Lead Technical Officer
LULUCF	Land Use, Land Use Change and Forestry
MAC	Citizen Attention Mechanism
M&E	Monitoring and Evaluation
MRV	Monitoring, Reporting and Verification
NDC	Nationally Determined Contribution
NFMS	National Forest Monitoring System
NOM	Official Mexican Standard
NTFP	Non-Timber Forest Product
OIC	Internal Control Body
OIG	Office of the Inspector General
OSH	Occupational Safety and Health
PBCC	Forests and Climate Change Project
PECC	Special Climate Change Program
PES	Payments for Environmental Services
PLR	Policy, Legal and Regulatory
PMU	Project Management Unit

PND	National Development Plan
PROFEPA	Federal Attorney for Environmental Protection
PROFOEM	Strengthening Entrepreneurship in Productive Forest Landscapes Project
PSEA	Prevention of Sexual Exploitation and Abuse
PSC	Project Steering Committee
PTF	Project Task Force
RAN	National Agrarian Registry
RBP	Results-Based Payments
REDD+	Reducing Emissions from Deforestation and Forest Degradation, conservation of forest carbon stocks, sustainable management of forests, and enhancement of forest carbon stocks
ROP	Operating Rules
SADER	Ministry of Agriculture and Rural Development
SEA	Sexual Exploitation and Abuse
SEAH	Sexual Exploitation, Abuse and Harassment
SEMARNAT	Ministry of Environment and Natural Resources
SEP	Stakeholder Engagement Plan
SHCP	Ministry of Finance and Public Credit
SIAC	Citizen Information and Attention Service
SIDEC	Comprehensive Citizen Complaint System
SIS	Safeguards Information System
SESA	Strategic Environmental and Social Assessment
SINACC	National Climate Change System
SNS	National Safeguards System
SOI	Summary of Information
SSP	Silvopastoral Systems
UNFCCC	United Nations Framework Convention on Climate Change
UT	Transparency Unit
WFR	Warsaw Framework for REDD+

Executive summary

This Environmental and Social Management Framework (ESMF) has been prepared for the proposed use of proceeds of Mexico's REDD+ Results-Based Payments (RBP) proposal for the 2018–2019 results period, to be submitted to the Green Climate Fund (GCF). The proposal is presented by the Government of Mexico and the Food and Agriculture Organization of the United Nations (FAO), acting as Accredited Entity and Executing Entity, in close collaboration with the National Forestry Commission (CONAFOR). The ESMF establishes the framework through which environmental and social risks and impacts associated with the reinvestment of RBP proceeds will be identified, assessed, avoided, minimized, mitigated, monitored and reported throughout project implementation.

The ESMF is consistent with Mexico's national interpretation of the Cancun Safeguards, the GCF Revised Environmental and Social Policy, the GCF Indigenous Peoples Policy, Gender Policy and Policy on Prohibited Practices, as well as FAO's Framework for Environmental and Social Management (FESM). It builds on Mexico's REDD+ readiness process, including the National REDD+ Strategy (ENAREDD+), the Strategic Environmental and Social Assessment, the National Safeguards System, the Safeguards Information System, and previous participatory processes with federal and state institutions, Indigenous Peoples, Afro-Mexican peoples, ejidos, communities, women, civil society, academia and producer organizations.

Mexico's RBP proposal seeks to reinvest proceeds in a transformative programme aimed at addressing one of the key drivers of deforestation and forest degradation: the expansion and persistence of extensive livestock systems in forest–livestock transition zones. The proposal will support productive restoration, silvopastoral and agrosilvopastoral systems, regenerative grazing practices, improved forage production, Payments for Environmental Services, sustainable finance mechanisms, deforestation-free value chains, territorial governance, and strengthened monitoring and institutional capacities. The proposed intervention areas are located in priority landscapes in the states of Chiapas, Guerrero, Jalisco, Michoacán, Oaxaca, Quintana Roo and Yucatán.

The proposed use of proceeds is expected to generate significant environmental and social co-benefits, including reduced pressure on forests, restoration of degraded lands, biodiversity conservation, improved soil and water management, strengthened climate resilience, sustainable livelihoods, improved territorial governance, and enhanced participation of women, Indigenous Peoples, Afro-Mexican peoples and local communities in forest-compatible productive systems.

Following the application of FAO's environmental and social risk screening checklist, the proposed RBP project has been classified as **Category B**, or **moderate risk**. In line with ESOP 1, all moderate-risk projects are required to develop and implement appropriate safeguards instruments to manage environmental and social risks. Given that specific activities and intervention sites have not yet been defined for this RBP project, the Environmental and Social Management Framework (ESMF) was selected as the most suitable instrument at this stage. As the definition of activities and sites will take place during the project inception phase, the ESMF will subsequently be refined into a single comprehensive and operational Environmental and Social Management Plan (ESMP), with site-/activity-specific annexes as needed, prior to implementation.

The main risks identified are expected to be site-specific, reversible and manageable through established mitigation measures, technical assistance, eligibility criteria, exclusion criteria, participatory procedures, monitoring and grievance redress. This due diligence assessment confirms that no high-risk or Category A

activities will be financed under the project. This confirms that the development of an independent environmental and social impact assessment (ESIA) is not required, in accordance with FESM's ESOP 1.

The screening identified the following FAO ESOPs and ESSs as applicable: ESOP 1: Screening, assessment and management of environmental, climate and social risks and impacts; ESOP 2 Stakeholder Engagement; ESS 1 Biodiversity Conservation and Sustainable Management of Natural Resources; ESS 2 Resource Efficiency and Pollution Prevention and Management; ESS 3 Climate change and disaster risk reduction; ESS 4 Decent Work; ESS 5 Community Health, Safety and Security; ESS 6 Gender Equality and Prevention of Gender-Based Violence; ESS 7 Land Tenure, Displacement and Resettlement; ESS 8 Indigenous Peoples; and ESS 9 Cultural Heritage.

In line with FAO ESS 6 and the GCF REDD+ Policy, a Gender Assessment and Gender Action Plan (GAAP) must be developed to address gender-related issues. Accordingly, Mexico's RBP proposal is accompanied by a standalone GAAP (Annex 6). Also, consistent with FAO's zero-tolerance policy on gender-based violence (GBV) and sexual exploitation, abuse and harassment (SEAH), these issues are further analyzed and addressed in Annex 6. Additionally, a standalone report has been annexed to the RBP funding proposal, providing a more detailed account on stakeholder engagement and consultations undertaken in preparation of the RBP proposal and this ESMF, including a dedicated Stakeholder Engagement Plan (SEP) (Annex 5).

Given that the project will be implemented in states and priority municipalities with presence of Indigenous Peoples and Afro-Mexican populations, and that project activities may affect them, a dedicated safeguards instrument is required. In line with FAO ESS 7, 8 and 9, as well as the objectives and requirements of the GCF IP Policy, a standalone Indigenous Peoples Plan will be developed during the inception phase of the RBP proposal.

The main risks identified relate to stakeholder engagement and benefit distribution; perceived inequities between beneficiaries and non-beneficiaries; environmentally or socially unsuitable sites; use of inappropriate, non-native or invasive species; continuation or increase of pesticide or fertilizer use; poor grazing management; occupational and community health and safety; GBV/SEAH risks; exclusion of women, Indigenous Peoples, Afro-Mexican peoples, youth and vulnerable producers; land tenure disputes; unclear collective agreements; insufficiently culturally appropriate engagement; and potential impacts on cultural heritage, traditional knowledge and community governance systems.

A comprehensive environmental and social management matrix has been prepared as Annex 2 to this ESMF. The matrix identifies risks and management measures for the project's main intervention areas, including productive restoration through silvopastoral systems, Farmer Field Schools (ECAs) and capacity building, Payments for Environmental Services, and gender-related risks and measures. It will serve as a preliminary monitoring and evaluation tool and will be refined during the project inception phase as part of the Environmental and Social Management Plan (ESMP).

The ESMF is complemented by standalone safeguards instruments: a Stakeholder Engagement Plan (SEP) has already been prepared as Annex 5 to the RBP proposal and provides the framework for stakeholder identification, consultation, participation, information disclosure and engagement throughout project implementation. A GAAP has also been prepared as Annex 6 and establishes measures to promote women's participation, address gender gaps, prevent exclusion, and manage GBV/SEAH risks. A standalone IPP will be developed during the project inception phase to define procedures for engagement with Indigenous

Peoples, Afro-Mexican peoples, ejidos, agrarian communities and other local communities, including Free, Prior and Informed Consent (FPIC) as applicable.

Stakeholder engagement undertaken in preparation of the RBP proposal included federal-level socialization and co-construction meetings, a federal co-design workshop, coordination with participating state governments, and presentation of the proposal to the REDD+ Working Group of the Inter-Ministerial Commission on Climate Change. During the inception phase, state, sectoral and territorial socialization will be broadened through State Forestry Councils, state REDD+ platforms, ejidos and communities, Indigenous Peoples, Afro-Mexican peoples, women producers, livestock producers, local organizations, civil society, academia and technical service providers.

FAO will serve as Accredited Entity and Executing Entity. FAO Mexico will host the Project Management Unit, which will be responsible for day-to-day project coordination, implementation, procurement, financial administration, monitoring, safeguards follow-up, reporting and knowledge management. CONAFOR will implement selected project components as Executing Entity under FAO oversight, given its mandate and experience in forest policy, Payments for Environmental Services, safeguards and community engagement.

Regarding grievance, feedback and conflict-resolution mechanisms, for the Project's activities implemented by CONAFOR including PES, productive restoration, establishment of silvopastoral systems, the project will use CONAFOR's existing Citizen Attention Mechanism (MAC) as the primary channel. The RBP proposal will not create a parallel grievance mechanism. Instead, it will support implementation of the MAC Improvement Plan and ensure adequate operation of the MAC throughout project implementation, including measures to strengthen accessibility, confidentiality, culturally appropriate communication, gender-responsive procedures, dissemination in Indigenous languages, referral of sensitive cases, participatory monitoring, and coordination with relevant institutions such as INPI and INALI. Complimentary, and for activities executed by FAO, grievances will be directly managed through FAO's GRM channels and will be handled impartially and promptly, consistent with FAO's broader commitment to accountability and stakeholder protection. Additionally, the GCF's Independent Redress Mechanism (IRM) will also always be available to project stakeholders.

Overall, this ESMF provides the overarching framework to ensure that Mexico's RBP proceeds are reinvested in a manner that is environmentally sound, socially inclusive, gender-responsive, culturally appropriate, rights-based and consistent with GCF and FAO safeguards and sustainability requirements. It establishes the procedures, instruments and institutional responsibilities required to manage risks, strengthen participation, promote co-benefits, and support Mexico's long-term REDD+ implementation in forest-livestock transition landscapes.

1. Introduction and scope of this document

In October 2024, the GCF approved its Policy for Results-Based Payments (RBP), hereinafter the Policy, for REDD+¹, formally integrating this payment modality into the Fund's regular activity cycle. This decision provides greater predictability of financing to support countries' efforts to reduce emissions from the forest sector. During the current programming cycle (2024–2027), countries could access results-based payments, based on emission reductions from deforestation officially reported to the United Nations Framework Convention on Climate Change (UNFCCC). In this context, the Government of Mexico and the **FAO**, acting as accredited entity (**AE**), are submitting a funding proposal regarding emissions reductions resulting from the implementation of REDD+ results-based actions from deforestation in the period 2018-2019 (hereinafter, the 'Results Period').

In conformance with the GCF's Policy, funding proposal should ensure compliance with the relevant GCF policies, applicable to the regular project and programme activity cycle. Standalone due diligence assessments are required for (i) payments for ERs resulting from underlying activities and (ii) the reinvestment of the proceeds. Prepared by **FAO**, acting as both an accredited entity (**AE**) and executing entity (**EE**), in close collaboration with the National Forestry Commission (CONAFOR) this document constitutes the **ESMF** for use of the proceeds of Mexico's REDD+ RBP proposal for the emissions reduction for the period 2018-2019.

This ESMF is consistent with Mexico's national interpretation of the Cancun Safeguards, and describes:

- i) how environmental and social risks and impacts from the activities to be supported by the RBP proceeds will be identified, assessed and managed in a manner consistent with the GCF Revised Environmental and Social Policy and ESS standards, including the GCF's IP, Gender and Prohibited Practices Policies;
- ii) the project's risk category, as per FAO's environmental and social risks screening checklist and the environmental and social due diligence assessment conducted for the proposed RBP proposal;
- iii) an overview on stakeholder consultations undertaken during the design of, and due diligence on, the activities to be supported by the RBP proceeds and an overview on the proposed stakeholder engagement plan, including to ensure effective stakeholder consultations and engagement throughout project implementation and ensure the respect of the right to Free, Prior Informed Consent of Indigenous Peoples and Afro-Mexican Peoples, as appropriate.
- iv) the grievance redress mechanism to be applied throughout project implementation, including for the activities to be supported by the RBP proceeds.

Standalone safeguards instruments (GAAP and SEP) will be implemented under the umbrella of this ESMF, and a more detailed environmental and social management plan to be refined upon project inception, once details for on-the-ground implementation with the RBP proceeds are further refined. Also, upon project inception, a standalone Indigenous Peoples Plan (IPP) will be produced to examine issues on indigenous peoples, afro-Mexican peoples and other local communities in more detail, and to describe the potential risks and impacts specific to them throughout project implementation and ensure effective consultations,

1 GCF REDD+ RBP Policy: Link to policy: <https://www.greenclimate.fund/document/policy-results-based-payments-redd>

where activities to be implemented by the RBP proceeds affect them directly or indirectly, in line with GCF standards and FAO's FESM.

The environmental and social management matrix (Annex 2) integrates risks and management measures relevant to IPs, stakeholder engagement and consultations, and gender and GBV, and so is conceived to serve as an integrated environmental and social management instrument consistent with both the GCF's ESS, IP and Gender Policies.

2. Mexico's: environmental, socio-economic background

2.1 Geophysical and socio-economic profile

Geophysical and Environmental context

Mexico covers a continental area of 1.96 million km², of which 44.7 percent consists of mountainous and volcanic regions, and a maritime area of 3.1 million km². The country's topography is dominated by extensive mountain systems, with elevations ranging from sea level to nearly 5,000 meters above sea level. Mexico hosts an exceptional diversity of ecosystems, with approximately 46 percent of its continental territory designated as protected natural areas (ANP), covering nearly 183 protected areas and close to 90.9 million hectares.

The country spans two major biogeographic regions: the Nearctic region, characterized primarily by temperate species, and the Neotropical region, which includes numerous tropical species originating from the Amazon Basin. Mexico's broad range of climates, landscapes, geology, and hydrological systems has generated remarkable ecosystem diversity and high levels of biological richness. As a result, the country is internationally recognized as one of the world's megadiverse nations, ranking fourth globally in terms of species richness and genetic diversity of both wild and cultivated species.

At the state level, the environmental and geological conditions vary significantly across the different states considered for this RBP proposal (Jalisco, Michoacan, Guerrero, Oaxaca, Chiapas, Quintana Roo and Yucatán). In Jalisco, the geology is dominated by volcanic formations associated with the Trans-Mexican Volcanic Belt, characterized by basaltic and andesitic rocks. In Chiapas, sedimentary formations such as limestone and sandstone dominate, often associated with folded structures and fluvial systems. Guerrero and Oaxaca present highly complex geological structures, including metamorphic and igneous formations influenced by tectonic activity in the Sierra Madre del Sur, resulting in rugged topography and high landscape fragmentation. In contrast, the Yucatán Peninsula (Quintana Roo and Yucatán) is characterized by a homogeneous karstic platform composed primarily of limestone, which promotes underground drainage systems, high permeability, and the absence of significant surface hydrology.

Geomorphologically, the region can be divided into mountainous systems (Jalisco, Guerrero, Oaxaca, Chiapas), intermontane valleys, and extensive flat karstic plains in the Yucatán Peninsula. Mountainous areas are characterized by steep slopes and high erosion susceptibility, while the peninsula exhibits minimal elevation gradients and dominant karstic depressions.

Soil composition reflects both geological and climatic variability, ranging from fertile agricultural soils in valleys to shallow, erosion-prone soils in mountainous areas (Table 1). Soil degradation is widespread and driven by deforestation, agricultural expansion, and livestock activities. In mountainous regions, particularly in Guerrero and Oaxaca, steep slopes exacerbate erosion and reduce soil productivity.

Table 1. Soil composition in States in Mexico

State	Dominant soils	Characteristics
Jalisco	Feozem, Cambisol	Moderate fertility, agricultural use
Chiapas	Acrisol, Luvisol	Highly weathered, erosion-prone

Guerrero & Oaxaca	Leptosol, Cambisol	Shallow, slope-dependent
Yucatán & Quintana Roo	Leptosol, Rendzina	Thin, permeable, limestone-based

Hydrological systems vary significantly across States in Mexico. In Chiapas and parts of Oaxaca, dense river networks such as the Grijalva–Usumacinta system provide high water availability. In Jalisco, river systems such as the Santiago and Ameca support mixed hydrological regimes. In contrast, the Yucatán Peninsula states lack surface rivers due to its karstic geology, with water circulation occurring primarily through underground aquifers and cenote systems. These aquifers are highly permeable but also highly vulnerable to contamination. Hydrogeologically, there are fractured rock aquifers in mountainous areas and extensive karst aquifers in the peninsula, with groundwater availability strongly dependent on precipitation patterns and geological structure.

Also at state level, there is a wide climatic gradient, ranging from tropical humid climates in Chiapas and Quintana Roo to subhumid and semi-arid conditions in Guerrero and Oaxaca. Average temperatures range around 22–25°C, with precipitation varying between 600 mm in dry valleys and up to 2,000 mm in mountainous zones.

The proposed States include a wide range of ecosystems (Table 2), including tropical rainforests, tropical dry forests, temperate forests, and mangroves. They also support a high level of biodiversity, reflecting its climatic and ecological heterogeneity. Tropical rainforests in Chiapas and the Yucatán Peninsula host a large proportion of Mexico’s flora and fauna, while tropical dry forests in Guerrero and Oaxaca are among the most biologically rich dry ecosystems globally. Flora includes a wide range of species such as mahogany, ceiba, pine, oak, and mangrove species, while fauna includes emblematic species such as jaguar (*Panthera onca*), ocelot (*Leopardus pardalis*), and a wide diversity of birds, reptiles, and amphibians. The ecological importance of the region is reinforced by high levels of endemism and its role as a biodiversity hotspot.

Table 2. Vegetation types in proposed States in Mexico

State	Main ecosystems
Jalisco	Temperate pine-oak forests, tropical dry forests
Michoacán	Temperate pine, pine-oak, oak and oyamel forests; tropical dry forests
Chiapas	Tropical rainforests, cloud forests
Guerrero & Oaxaca	Tropical dry forests, temperate pine-oak forests
Quintana Roo	Tropical semi-evergreen forests
Yucatán	Tropical dry forest (low deciduous forest)

Socio-economic context

Mexico is a federal, representative, democratic, and secular republic composed of 32 federal entities, including 31 states and Mexico City. In 2026, the country’s population reached approximately 134 million people. Around 52 percent of the population are women, while 48 percent are men. In 2020, an estimated 79 percent of the population lived in urban areas. Approximately 11.8 million people self-identify as Indigenous, representing 14.8 percent of the national population, and 6.7 percent of national population

speaks an Indigenous language. In addition, 2.1 percent of the national population self-identifies as Afro-descendant.

According to the World Bank's data, Mexico ranked among the world's fifteen largest economies and was the second largest economy in Latin America. The country benefits from solid macroeconomic institutions, openness to international trade, and a diversified manufacturing base integrated into global value chains. However, high levels of economic inequality translate into relatively low living standards for a significant share of the population. Despite macroeconomic stability and policy efforts to promote inclusive growth, Mexico continues to face structural development challenges, including high informality, limited access to quality education and healthcare, weak rural infrastructure, and low productivity in agricultural sectors.

Poverty in Mexico displays a strong territorial and regional dimension. Mexico exhibits pronounced regional disparities, with southern states concentrating a disproportionate share of poverty. approximately 69% of the population living in extreme poverty is concentrated in six southern states, highlighting strong territorial inequality². Although around 68% of people living in poverty reside in urban areas, poverty incidence is significantly higher in rural regions, where structural conditions limit economic opportunities. Rural areas are characterized by a persistent cycle of low productivity, limited investment in physical and human capital, and restricted access to services, which perpetuate high poverty levels³.

Rural poverty remains one of the most significant territorial dimensions of inequality in Mexico. Although poverty rates have declined substantially over time, from over 80% in 2000 to 35.8% in 2022 under the upper-middle-income poverty line, rural poverty continues to be approximately twice as high as urban poverty (35.8% compared to 17.3% in 2022). Rural areas consistently account for around 40% of total poverty despite representing a smaller share of the population. These disparities are strongly reflected across regions, with southern states such as Chiapas, Guerrero, and Oaxaca historically exhibiting poverty rates above 65%, and still maintaining levels between 40% and 50%, while northern states and urbanized regions have reduced poverty to below 10%.

The persistence of rural poverty is closely linked to structural economic conditions. Labor income is the primary driver of poverty reduction, yet rural incomes tend to be more unstable due to the seasonal nature of agricultural employment, which accounts for approximately half of rural jobs. Furthermore, rural communities, particularly those dependent on agriculture and forestry, face structural limitations including low productivity, limited access to infrastructure, and restricted economic opportunities.

Indigenous populations are particularly vulnerable, as they often inhabit environmentally sensitive areas and rely heavily on natural resources for their livelihoods. Approximately 20% of the rural population identifies as indigenous, and nearly half of the indigenous population resides in rural areas. These communities are often located in regions with high exposure to climate risks and limited development opportunities. Indigenous populations face significantly higher poverty rates than non-indigenous populations and are more likely to experience multiple deprivations, reflecting long-standing patterns of social exclusion⁵.

2.2 Greenhouse gases emissions profile and vulnerability to climate change

According to Mexico's First Biennial Transparency Report (BTR) submitted to the UNFCCC, the country's mean temperature has increased by approximately 0.85°C over the past five decades, in line with global trends reported by the IPCC. Mexico's geographic location contributes to a high degree of climatic diversity and exposure to a broad range of atmospheric phenomena. In recent decades, the country has recorded a

higher frequency of extreme heat days, alongside a decline in cold days and frost events. Winter temperatures have increased at a faster rate, by around 1.3°C.

Precipitation patterns are highly heterogeneous, ranging from more than 4,000 mm annually in some regions to less than 400 mm in arid northern areas. The national average is approximately 747 mm per year, although interannual variability has intensified in recent years.

Climate change has also contributed to an increase in the frequency and intensity of extreme hydrometeorological events. Droughts have become more severe and widespread, affecting large areas, particularly during hotter months, with recent years ranking among the hottest and driest on record. Tropical cyclones represent a major risk, with numerous events recorded in recent decades causing significant economic losses. Additional extreme events, such as hailstorms and tornadoes, have also been observed in specific regions. Rising temperatures, prolonged drought conditions, and changes in precipitation patterns have further increased the occurrence of forest fires, which affect hundreds of thousands of hectares annually.

Mexico hosts a wide range of ecosystems, including shrublands, temperate forests, dry and humid tropical forests, grasslands, cloud forests, mangroves, and aquatic systems. However, many of these ecosystems are experiencing significant degradation and loss. Approximately half of mangrove areas, as well as substantial portions of cloud forests and tropical rainforests, have been lost.

Water resources are under increasing pressure. Of the 653 aquifers identified nationwide, a significant proportion are overexploited or affected by saline intrusion. Water use is highly concentrated in the agricultural sector, which accounts for approximately 75 percent of total consumption.

Mexico's geographic and climatic conditions, combined with its topographic diversity, heighten exposure to extreme hydrometeorological events such as droughts, floods, and tropical storms, as well as to the spread of climate-sensitive diseases such as dengue. National assessments indicate that more than half of municipalities exhibit high or very high levels of vulnerability, with several hundred identified as priority areas.

Climate change is expected to intensify poverty dynamics through increasing temperatures and changes in precipitation patterns, further affecting ecosystems and human populations, particularly in rural areas. The impacts of climate change disproportionately affect vulnerable populations by reducing agricultural productivity, increasing food insecurity, and intensifying migration pressures. Environmental degradation, including soil erosion, water scarcity, and forest loss, further compounds these impacts. Droughts weaken forest resilience, increase susceptibility to pests and fires, and negatively affect productive activities such as agriculture and livestock, thereby exacerbating poverty conditions.

2.3 Forests and drivers of forests loss and degradation

Forests cover approximately 45 percent of Mexico's national territory and are essential for the provision of ecosystem services, biodiversity conservation, and economic activities. According to the Forest Reference Emission Level (FREL), forestlands encompass a total area of 88,078,158 hectares, including low dry deciduous forests, coniferous forests, and certain types of xeric shrublands.

Forest ecosystems play a crucial role in both climate change mitigation and adaptation. They contribute to carbon sequestration, regulation of hydrological cycles, soil stabilization, and the reduction of disaster risks such as floods and landslides. Well-conserved forests therefore enhance resilience and adaptive capacity while supporting mitigation efforts. In this context, ecosystem-based approaches to adaptation, including sustainable forest management, provide important opportunities to strengthen resilience, improve livelihoods, and conserve biodiversity simultaneously.

Given these functions, the forestry sector is a strategic priority within Mexico's climate policies due to its significant mitigation and adaptation potential. The Land Use, Land Use Change and Forestry (LULUCF) sector is especially prominent in Mexico's Nationally Determined Contribution (NDC), as it combines considerable mitigation capacity with the potential to reinforce environmental and social resilience. Notably, the LULUCF sector acts as a net carbon sink, sequestering more carbon dioxide than it emits.

The forest sector accounts for approximately 96 percent of total carbon sequestration within LULUCF, making it the primary contributor to this net absorption. Consequently, forest conservation and sustainable management are central to climate change mitigation efforts and provide important co-benefits for rural communities. Mexico's NDC emphasizes adaptation as a priority, promoting an ecosystem-based approach aimed at strengthening resilience and reducing vulnerability among both populations and ecosystems. Key targets include achieving net zero deforestation by 2030 and enhancing measures for ecosystem protection and restoration.

Socio-economic context of forests

According to the 2020 Population and Housing Census, approximately 11.9 million people live in localities located within forest areas in Mexico, representing 9.4% of the national population and distributed across more than 103,000 forest localities. Forest populations are concentrated primarily in the center-southeast region of the country, particularly in states such as Chiapas (12.3 percent), Oaxaca (7 percent), Guerrero (5 percent), Michoacán (6 percent), and Jalisco (5 percent), which together account for a significant share of the population living in forest territories (Table 3). Forest localities are strongly associated with indigenous territories and agrarian communities, particularly in southern Mexico, where forest ecosystems overlap with areas of high biodiversity, communal governance systems, and social marginalization.

Forest resources constitute a form of natural heritage that not only meets basic needs and provides livelihoods for communities residing in forest ecosystems but also plays a central role in sustaining their social and cultural reproduction, underpinning identity, traditions, and community cohesion.

Table 3. Population Living in Forest Areas by Selected States

State	Population Living in Forest Areas	Indigenous Population in Forest Areas	Number of Forest Localities
Chiapas	1,462,508	820,472	11,468
Oaxaca	1,257,689	780,616	7,185
Guerrero	831,994	336,956	4,937
Michoacán	631,977	34,857	5,840
Jalisco	390,876	21,857	5,637

Quintana Roo	143,276	80,169	2,084
Yucatán	213,137	158,407	1,731

The socioeconomic conditions of populations living in forest areas reveal persistent structural inequalities in access to education, health, housing, and basic services. Approximately 13 percent of the population aged 15 years and older in forest localities is illiterate, 21 percent has not completed basic education, and 23 percent lacks access to health services. Housing deficits are also significant, with 15 percent of households lacking drainage systems, and 9 percent lacking piped water. These conditions are substantially worse than national averages and reflect the historical marginalization of rural and forest-dependent communities.

Forest territories are also characterized by high levels of indigenous presence and cultural diversity. Indigenous populations represent approximately 30.3 percent of the population living in forest localities, equivalent to more than 3.6 million people. The highest concentration of indigenous households in forest areas is located in Chiapas, Oaxaca, and Guerrero, which together account for more than half (53.7 percent) of the indigenous population living in forest territories. Afro-descendant populations also maintain an important presence in forest landscapes, particularly in Guerrero, Oaxaca, Veracruz, and Chiapas. Indigenous populations living in forest territories experience higher levels of social exclusion and infrastructure deficits compared to national averages, including higher illiteracy rates, lower school attendance, and reduced access to sanitation, electricity, drainage, and potable water.

Forest populations are also highly exposed to social vulnerability and climate-related risks. Approximately 23 percent of people living in forest localities are located in municipalities with high or very high levels of social lag, while 39 percent live in municipalities with high or very high levels of marginalization. In addition, 7.1 percent of forest localities are located in municipalities classified as highly or very highly vulnerable to climate change impacts, including floods, landslides, water stress, vector-borne diseases, and impacts on livestock and agricultural production systems.

Deforestation and forest degradation

Despite their high environmental and social value and their critical role in climate change mitigation and adaptation, Mexico's forest resources continue to face significant pressures. Deforestation and forest degradation remain among the principal environmental and climate challenges in Mexico, generating significant impacts on biodiversity, ecosystem resilience, water regulation, soil conservation and carbon storage capacity. These processes are closely linked to land-use change dynamics driven by agricultural expansion, cattle ranching, infrastructure development, extractive activities and unsustainable forest use. At the national level, Mexico has recognized forests as strategic ecosystems for climate change mitigation and adaptation, and REDD+ has therefore become a key component of the country's climate and sustainable rural development agenda.

Mexico's National REDD+ Strategy (ENAREDD+) identifies deforestation and forest degradation as multidimensional processes resulting from the interaction of direct and underlying drivers operating across territorial, economic and governance scales. ENAREDD+ emphasizes that reducing emissions from the forest sector requires integrated territorial approaches that simultaneously address sustainable production systems, community governance, conservation, restoration and rural livelihoods. The strategy also

recognizes the critical role of ejidos and indigenous and local communities, which collectively manage a large proportion of the country's forest resources.

Mexico's First Biennial Transparency Report (BTR), submitted to the UNFCCC under the Enhanced Transparency Framework of the Paris Agreement, highlights the importance of the LULUCF sector both as a source of emissions and as a strategic mitigation opportunity. The report notes that forest-related mitigation actions — including sustainable forest management, conservation, restoration, payment for environmental services and REDD+ implementation — are essential for achieving Mexico's climate commitments and strengthening resilience in rural landscapes. The BTR further recognizes the importance of strengthening forest monitoring systems and improving the consistency of land-use change data to support decision-making and climate reporting.

CONAFOR's [National Forest Monitoring System \(NFMS\)](#) provides the institutional and technical framework used by Mexico to monitor forest cover dynamics, estimate emissions and removals, and identify deforestation and degradation hotspots. CONAFOR has identified persistent and regionally concentrated patterns of forest loss associated with agricultural expansion, cattle ranching and degradation processes in tropical and temperate forests. These analyses indicate that several of the project states continue to experience significant pressures on forest ecosystems, although the intensity and drivers vary according to ecological and socioeconomic conditions.

At the national level, the principal direct drivers of deforestation include the expansion of extensive cattle ranching systems, conversion of forest areas to agricultural land, commercial crop expansion, infrastructure development, urban growth and tourism-related land-use change. Extensive cattle ranching has historically been one of the most important drivers of forest conversion, particularly in tropical forest regions where forests are converted into induced or cultivated pastures. Agricultural expansion occurs through both subsistence systems — including milpa and hillside agriculture — and commercial production systems linked to high-value commodities such as avocado, agave, oil palm and sugarcane.

Forest degradation processes are more diffuse and cumulative, but equally significant in terms of carbon emissions and ecosystem impacts. The main degradation drivers include selective and illegal logging, extraction of fuelwood and charcoal, overgrazing, recurrent fires, unsustainable forest management practices, pests and diseases, and fragmentation associated with roads and infrastructure. In many regions, degradation acts as a precursor to deforestation by progressively reducing biomass, weakening ecosystem structure and increasing vulnerability to land-use conversion.

The dynamics observed in the project states reflect these broader national trends. In Jalisco, forest loss is associated with cattle ranching, expansion of agave and avocado production, forest fires, illegal timber extraction and tourism-related urban growth, particularly in coastal landscapes and tropical dry forest ecosystems. In Chiapas, the dominant drivers include extensive cattle ranching, hillside agriculture, traditional maize cultivation, oil palm expansion, illegal timber extraction and degradation of shade coffee systems. In Quintana Roo and Yucatán — forest conversion is linked to cattle ranching, mechanized agriculture, tourism expansion, urban growth and recurrent fire dynamics, while degradation is also influenced by hurricanes, charcoal production and extraction of forest resources. In Oaxaca and Guerrero, deforestation and degradation dynamics are similarly shaped by hillside agriculture, slash-and-burn systems and pressures on temperate and cloud forest ecosystems are particularly relevant, while in Michoacán the rapid expansion of avocado production has become one of the most important drivers of forest conversion and degradation in pine-oak forests. Table 4. provides an overview of the direct causes of deforestation and forest degradation and the relevance to specific states.

Table 4. Direct causes of deforestation and forest degradation in selected States

Direct cause of deforestation and forest degradation	EFFECTS Deforestation	EFFECTS Forest degradation	State where effect is relevant
Extensive cattle farming with use of induced or cultivated grazing land.	Conversion of lowland or mid-height forest, oak forest and scrubland to induced grazing land	Other uses, such as foraging with intensities greater than the load capacity or grazing coefficient, generate a gradual degradation of forests and land. Fires from burning cleared material Demand for poles for fencing. Fragmentation of forest areas.	Chiapas Quintana Roo Yucatán Jalisco Oaxaca Guerrero Michoacán
Extensive grazing on rough pastures	Does not cause direct change in forest cover. Over-grazing and ongoing degradation can lead to the loss of forest cover.	In situations of over-grazing, the underbrush biomass is reduced, harming renewal and leading to degradation of the land. Changes in vegetation composition and structure. Loss of forage productivity.	Jalisco Chiapas Oaxaca Guerrero Michoacán
Hillside agriculture	Conversion of lowland forest, mid-height forest, pine-oak forest and scrub to cropland	Fragmentation of forest areas. Degradation of land due to reduced or abandoned fallow cycle, use of agrochemicals and over-burning. Outbreaks of fires caused by crop burning.	Chiapas Jalisco Oaxaca Guerrero Michoacán
Cash-crop farming	Conversion of upper and mid-height forests to cash crops (palm oil, soy, Jatropha, sugarcane) Conversion of dry forest to agave crop farming. Conversion of temperate forest to avocado crop farming.	Reduction of forest biomass and soil degradation, forest fragmentation, changes in the composition and structure of vegetation, fires caused by agricultural burning.	Chiapas Quintana Roo Yucatán Jalisco Oaxaca Guerrero Michoacán
Degradation of shade coffee varieties	Risk of land change use to grazing land, clearing new areas for coffee.	Reduced cover of shade-giving tree species	Chiapas Oaxaca Guerrero
Tall grasslands reconverted to agriculture and grazing land	Forest cover converted to pastures for cattle grazing	Fragmentation of mid-height forest, degradation of land. Fires from burning cleared material and pasture	Chiapas Quintana Roo Yucatán Oaxaca Guerrero Michoacán
Deforestation due to traditional agriculture	Forests converted to grow corn when crop rotation comes to an end.	Fragmentation of forest. Land degradation due to inappropriate crop practices when the rest period is reduced (left fallow or allowed to go to grass). Land degradation (erosion and reduced nutrients and moisture). Burning.	Chiapas Quintana Roo Yucatán Jalisco Oaxaca Guerrero Michoacán

Commercial irrigated agriculture	Conversion of riparian vegetation and wetlands to farmed crops. Risk of agricultural frontier being extended by irrigated cash crops being extended.	Water diverted for irrigation and to dry out land, affecting riparian vegetation and wetlands Land degradation due to salination and contamination from agro-chemicals.	Chiapas Quintana Roo Yucatán Oaxaca Michoacán
Illegal extraction of wood (various purposes)	Does not cause major changes in forest cover	Reduced biomass and density of canopy cover. Impact on species populations being exploited. Changes in vegetation composition and structure. Reduced wood stocks with commercial value (quantity, quality and value).	Chiapas Quintana Roo Oaxaca Guerrero Michoacán Yucatán Jalisco
Reduced populations of species with commercial value in managed forests	With a low production level of commercially valuable wood and high production costs, logging loses its appeal. Preference for other land uses. Land-use change.	Other uses, such as foraging with intensities greater than the load capacity or grazing coefficient, generate a gradual degradation of forestland. Management can interfere with the regeneration of ecosystems when not undertaken sustainably.	Oaxaca Guerrero Michoacán Quintana Roo Chiapas Jalisco
Improper forestry practices in areas under forestry management.	Does not lead to changes in forest cover, but degradation of forest mass can lead to it being replaced by fruit crops.	Reduced biomass and density of canopy cover. Reduced wood stocks (quantity, quality and value). Mature stands and habitat components removed. Increased uniformity of forest mass. Reduced productivity (lower increases each year) Changes in composition and structure. Fragmentation caused by roads. Ecosystem affected by forest management and unsuitable management practices	Jalisco Chiapas Quintana Roo Yucatán Oaxaca Michoacan
Illegal logging (areas with no forest management)	Gradual risk of land use change due to process of degradation	Degradation of forest areas from illegal felling	Chiapas Quintana Roo Yucatán Oaxaca Guerrero Michoacán Jalisco
Illegal extraction of firewood and charcoal in pine and tropical forests	Does not lead to changes in forest cover, but degradation of forest mass can lead to it being replaced by grazing land in the future.	Reduced biomass and density of canopy cover. Impact on species populations being exploited. Changes in vegetation composition and structure. Reduced wood stocks (quantity, quality and value).	Chiapas Yucatán Oaxaca Guerrero Michoacán Quintana Roo Jalisco
Extraction of non-timber forest resources	Does not cause changes in forest cover.	Does not lead to significant reduction of biomass and density of canopy cover. Impact on species populations being exploited.	Chiapas Quintana Roo Yucatán Jalisco Oaxaca Guerrero

Frequent low-severity forest fires	Does not cause changes in forest cover. In fires replacing stands, the reduction in cover is temporary and is offset by regeneration.	Degradation only occurs when the historical rhythm of fires is altered due to: (1) increased frequency (with damage to stands in regeneration), (2) when fire is suppressed (accumulation of combustible material and increased danger of high-severity fires), or (3) synergetic effects from other factors exist (felling, over-grazing) that combine with the fire. Damage to wood quality.	Chiapas Jalisco Yucatán Oaxaca Guerrero Michoacán Quintana Roo
Forest fires of a high or moderate severity.	The increased frequency of fires (associated with fragmentation, invasion of pastures, greater burn frequency) leads to the forest cover converting to savannah.	Reduced canopy cover and biomass. Changes in structure and make-up of species. Higher vulnerability to new fires. Replacement by other types of vegetation favored by fire.	Quintana Roo Oaxaca Guerrero Michoacán Jalisco Chiapas
Open-cast mining	Forest cover converted to areas lacking vegetation.	Fragmentation of forest remaining following deforestation and by roads. Soil loss. Sedimentation and contamination of bodies of water. Landscape quality altered.	Chiapas Jalisco Oaxaca Guerrero Michoacán
Increase of urban sprawl and establishment of unregulated human settlements	Conversion of areas of forest cover.	Fragmentation of forest (in neighboring residential areas or inside wooded areas). Accumulation of garbage in areas next to urban centers. Water diverted for urban use and to dry out land, affecting riparian vegetation and wetlands	Quintana Roo Yucatán Jalisco Oaxaca Guerrero Michoacán
Roads, tracks and infrastructure works	Conversion of areas of forest cover to roads. Indirect effects: change of land use to agriculture, livestock, urban centers and property speculation facilitated.	Fragmentation of forest. Increased risk of fires. Access to forest areas for extraction of resources facilitated.	Jalisco Chiapas Quintana Roo Oaxaca Guerrero Michoacán
Tourism	Areas of forest cover converted due to tourist developments.	Reduced cover in areas frequented by the public (including mangroves). Damage to vegetation and soil, and increased risk of fires in areas with high visitor density. Accumulation of garbage in areas frequented by the public.	Quintana Roo Jalisco Oaxaca Guerrero
Invasion of land due to agricultural conflicts and land tenure problems	Land-use change to establish agricultural parcels.	People without rights over the land (neighboring communities, landholders without agricultural rights, descendants of ejidos and settlers) exert pressure on forest resources. Fragmentation of the social ownership of the land, increase in minifundia with a process of dividing the land and the landscape into smaller parcels.	Chiapas Oaxaca Guerrero Michoacán

Hurricanes and others extreme climate events	Does not cause major changes in forest cover.	Damage to trees, and make-up of forest and abundance of species affected.	Quintana Roo Jalisco Chiapas Oaxaca Guerero
Plagues and tree diseases	Results in significant changes to forest cover, with the risk of a change in land use occurring	Factor causing forest degradation	Jalisco Chiapas Michoacan Oaxaca

Underlying these dynamics are structural factors that continue to limit sustainable landscape management, including weak enforcement capacity, insufficient cross-sectoral coordination, limited technical assistance, insecure or fragmented land governance arrangements, poverty and marginalization in rural communities, and economic incentives that frequently favor short-term agricultural expansion over long-term forest conservation. High market demand for agricultural commodities and livestock products further intensifies pressure on forest landscapes. These underlying conditions demonstrate that addressing deforestation and forest degradation in Mexico requires integrated territorial interventions that strengthen governance, promote sustainable livelihoods, improve forest management and increase the resilience of rural communities and forest ecosystems. Table 5 provides an overview of indirect causes of forest degradation and deforestation.

Table 5. Indirect causes of deforestation and forest degradation in selected States

Indirect (underlying) cause of deforestation and forest degradation	EFFECTS Deforestation	EFFECTS Forest degradation
Lack of competitiveness of sustainable forest activities	Change of land use to more profitable activities than timber and logging	Degradation of forests and jungles from extensive grazing and illegal felling
Poor community organization /weakening of social capital	The shortage of local mechanisms to control land use, poor community governance and weak organization for production lead to unsustainable practices and land use change.	A lack of land governance capabilities and a weak organization for production lead to unsustainable land uses and practices, causing forest degradation.
Shortage of planning instruments to align public investments	Public subsidy programs create contradictory incentives and lead to the loss of forest areas	Public subsidy programs create contradictory incentives and lead to forest degradation
Economic incentives for production activities fail to take elements of sustainability into account	Agricultural sector funding programs do not take into account environmental and social risk assessment mechanisms and indirectly promote the increase of farmed land, particularly grazing land, leading to the loss of forest areas.	Agricultural sector funding programs do not take into account environmental and social risk assessment mechanisms and indirectly promote the increase of cattle herds in forest areas, leading to forest degradation. These incentives also focus on landowners and help to widen social differences between regions and within communities themselves.
Lack of institutional capacity to enforce the law	Limited operational capacity of inspection and protection agencies such as the Federal Attorney for	Limited operational capacity of inspection and protection agencies such as the Federal Attorney for Environmental Protection (PROFEPA)

	Environmental Protection (PROFEPA) to sanction land use change.	to sanction the unregulated use of forest areas.
High commodity prices.	Commodities-led market incentive for land-use change.	Market incentives led by commodities (specifically meat) increase the demand for forage, leading to forest degradation through over-grazing.
Lack of local mentoring and assessment	Because the local mentoring and technical assessment is limited, it does not include the explicit promotion of sustainable practices and projects, leading to unsustainable practices.	Because the local mentoring and technical assessment is limited, it does not include the explicit promotion of sustainable practices and projects, leading to unsustainable practices.
Poverty and marginalization	Lack of job opportunities for young people and low family income increase the pressure on natural resources, deforestation due to larger surface area used for agriculture	Lack of job opportunities for young people and low family income increase the pressure on natural resources. Forest degradation due to increase unregulated use of forest resources, firewood, charcoal, etc.

2.4 Socio-cultural context and ethnic diversity

Mexico is characterized by significant socio-cultural and ethnic diversity, reflected in the presence of Indigenous Peoples, Afro-Mexican peoples and other local communities with distinct identities, languages, institutions, governance systems and relationships with land, territory and natural resources. This diversity is particularly relevant for the RBP proposal, given the strong overlap between forest landscapes, collective forms of land tenure, Indigenous and community territories, and areas with high biodiversity and ecosystem service values.

The country is characterized by a highly heterogeneous population structure. Mexico is home to 68 Indigenous Peoples, each associated with a distinct native language. These languages are grouped into 11 linguistic families and comprise a total of 364 dialectal variants. According to the 2020 INEGI's Population and Housing Census, Mexico had a total population of 126.01 million people, of whom 49 percent were men and 51 percent were women. According to national demographic information, approximately 11.8 million people live in Indigenous households, while 23.2 million people aged three years and older, equivalent to 19.4 percent of the population in that age group, self-identify as Indigenous. Women represent approximately 51.4 percent of the Indigenous self-identified population. In addition, the Afro-Mexican or Afro-descendant population was estimated at 2,576,213 people, of whom 50.4 percent were women.

Disaggregation at the state level reveals significant territorial disparities in the distribution of indigenous and afro-Mexican population groups. The presence of Indigenous language speakers is concentrated primarily in the southern and southeastern regions. The states of Oaxaca (31.2 percent), Chiapas (28.2 percent), and Yucatán (23.7 percent) exhibit the highest proportions of Indigenous language speakers. Guerrero also shows a considerable share (15.5 percent), while lower proportions are observed in Quintana Roo (11.7 percent) and Michoacán (3.4 percent). In contrast, states such as Jalisco report very limited presence, with only 0.8 percent of the population speaking an Indigenous language. Table 6 includes the

names of the main Indigenous Peoples groups with presence in the proposed states for Mexico's RBP project.

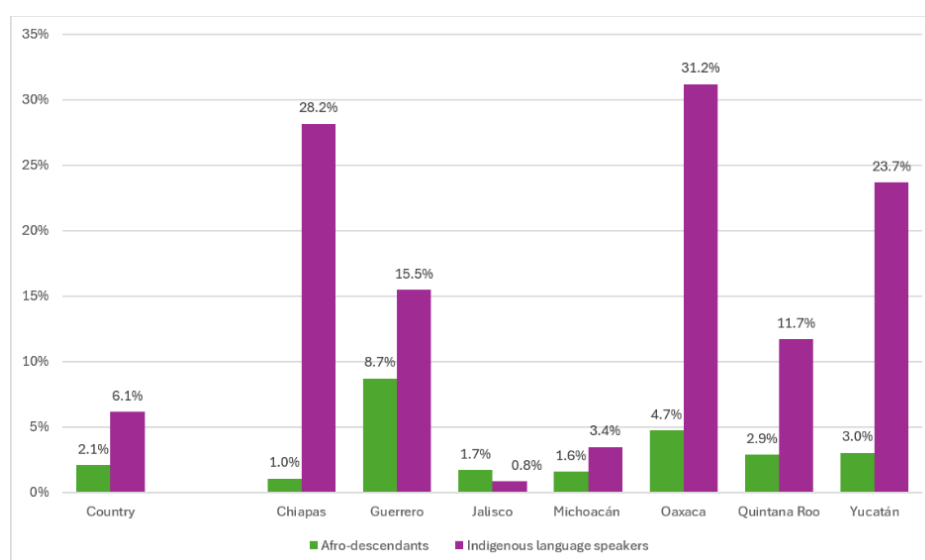
Table 6. Main Indigenous Peoples groups in selected states for Mexico's RBP proposal

State	Indigenous Peoples group
Jalisco	Wixárika (Huichol), Nahuatl
Michoacán	Purépecha, Mazahua, Nahuatl, Otomi
Guerrero	Nahuatl, Mixtec, Tlapaneco, Amuzgo
Oaxaca	Amuzgo, Cuicateco, Chatino, Chinanteco, Chocholteco, Chontal of Oaxaca, Huave, Ixcateco, Mazateco, Mixe, Mixtec, Nahuatl, Mixteco (Tacuate), Triqui, Zapotec, Zoque
Chiapas	Akateko, Chuj, Ch'ol, Jakalteco, K'iche, Lancandón, Mam, Mocho (qato'k), Q'anjob'al, Teko, Tojolabal, Tseltal, Tsotsil, Zoque
Quintana Roo	Akateko, Ixil, Kaqchikel, Jakalteco, K'iche, Mam, Maya, Q'anjob'al, Q'eqchi, Chuj
Yucatán	Maya

Source: own elaboration based on INPI's *Atlas of Indigenous Peoples of Mexico, National Catalog of Indigenous Peoples and Communities*.

Afro-descendant populations in Mexico, while representing a smaller proportion of the total population, show notable geographic concentration. The highest shares are found in Guerrero (8.7 percent) and Oaxaca (4.7 percent), followed by Yucatán (3.0 percent) and Quintana Roo (2.9 percent), with lower proportions observed in Chiapas and Jalisco. Although not exclusively, both Indigenous and Afro-descendant populations are predominantly located in the southern and southeastern regions of the country. These areas also tend to overlap with regions characterized by higher levels of social marginalization, poverty, and climate vulnerability.

Figure 1. Percentage of the population aged 3 and over by ethnicity status



Source: Own elaboration based on INEGI, Population and Housing Census 2020. Basic Questionnaire.

Mexico's national policy, legal and regulatory framework recognizes a broad set of fundamental rights that are relevant. This include the 2011 constitutional reform on human rights which marked a major shift in Mexico's legal framework by establishing that all persons in Mexico shall enjoy the human rights recognized in the Constitution and in the international treaties to which the Mexican State is a party, as well as the guarantees for their protection. It also established that human rights norms shall be interpreted in accordance with the Constitution and international treaties, favoring at all times the broadest protection of persons. In addition, all authorities, within their respective competencies, are required to promote, respect, protect and guarantee human rights in accordance with the principles of universality, interdependence, indivisibility and progressivity.

The Constitution also prohibits all forms of discrimination based on ethnic or national origin, gender, age, disability, social condition, health condition, religion, opinions, sexual preferences, marital status or any other ground that violates human dignity and seeks to annul or impair the rights and freedoms of persons. This constitutional non-discrimination clause provides a legal basis for ensuring inclusive access to information, participation, consultation, benefits and grievance redress, particularly for Indigenous Peoples, Afro-Mexican peoples, women, youth, persons with disabilities and other vulnerable or historically excluded groups. The constitutional framework further recognizes the right of every person to a healthy environment for their development and well-being. This right provides a fundamental legal basis for environmental protection, biodiversity conservation, sustainable forest management, ecosystem restoration and climate action.

The Mexican Constitution recognizes the pluricultural composition of the Nation, originally based on its Indigenous Peoples, and establishes the rights to self-determination, autonomy, cultural identity, access to justice, participation, and the preservation and strengthening of Indigenous languages, knowledge, institutions and forms of social, economic, political and cultural organization. This constitutional recognition was further strengthened through the 2024 constitutional reform on Indigenous and Afro-Mexican Peoples, which recognized Indigenous peoples and communities as subjects of public law with legal personality and their own patrimony. This reform constitutes a significant development in Mexico's national PLR framework, as it reinforces the legal status of Indigenous peoples and communities,

strengthens the basis for the exercise of collective rights, and provides a stronger foundation for their participation in public decision-making, territorial governance, resource management and development planning.

The Constitution also recognizes Afro-Mexican peoples and communities as part of the pluricultural composition of the Nation and establishes the basis for the protection of their rights, identity, culture, institutions and forms of organization. Indigenous Peoples, Afro-Mexican peoples and local communities have historically played a central role in the conservation, management and sustainable use of forests and other natural resources in Mexico. Many forest areas are located within ejidos, agrarian communities and Indigenous territories, where collective decision-making structures, customary norms and community-based governance systems influence land and resource management.

Other relevant regulatory instruments include the Law of the National Institute of Indigenous Peoples (INPI), published in 2018, which strengthened the institutional framework for Indigenous Peoples and Afro-Mexican peoples and communities, including their rights to participation and culturally appropriate public policy. The law establishes that the National Institute for Indigenous Peoples (INPI) is responsible for promoting the effective participation of Indigenous Peoples and Afro-Mexican peoples and communities in national development processes and for coordinating consultation and participation mechanisms related to public policies and programs affecting these populations.

Also, the General Law on the Linguistic Rights of Indigenous Peoples recognizes Indigenous languages as national languages with the same validity as Spanish and establishes the obligation of public authorities to guarantee access to public information and services in Indigenous languages where appropriate. This supports culturally appropriate participation and access to information involving Indigenous communities.

Within the forest sector, the General Law on Sustainable Forest Development (LGDFS), particularly Article 8, requires forest policy instruments to guarantee respect for safeguards and human rights, including equitable benefit-sharing, legal certainty regarding land tenure and access to natural resources, social participation, inclusion, gender equity, transparency and respect for the forms of internal organization and self-determination of Indigenous Peoples and communities. The same article also recognizes the importance of respecting traditional cultural practices and ensuring culturally appropriate conflict-resolution mechanisms. Article 152 creates the National Forestry Council as a consultative and advisory body involving government authorities, Indigenous Peoples, producers, civil society organizations and academic institutions in forest policy processes. Following subsequent reforms, the safeguards framework also incorporated explicit recognition of Afro-Mexican peoples and communities.

See section 4.2.5 in Annex 4.1. to the RBP proposal, for more.

2.5 Land tenure regime and customary relationship to the land and forest resources

Mexico's land tenure system is governed by Article 27 of the Constitution, which establishes three legally recognized property regimes:

1. Public property,
2. Private property; and
3. Social property.

Under this framework, the Nation retains original ownership over lands, waters, and natural resources, while the State regulates land use and natural resource management according to principles of public interest, social welfare, and environmental protection.

1. Public property includes strategic natural resources such as forests, waters, minerals, hydrocarbons, rivers, lakes, coastal areas, and marine resources that remain under direct ownership of the Nation. These assets are considered inalienable, imprescriptible, and outside commercial trade, although the federal government may grant concessions or temporary use rights under specific legal frameworks.
2. Private property grants individuals and legal entities the rights of use, enjoyment, usufruct, and disposition over land and natural resources, including the ability to transfer, lease, inherit, or sell property. However, private property rights remain subject to the social function of property established under Article 27, which allows the State to impose land-use regulations, environmental restrictions, expropriation measures, and conservation obligations in cases of public utility, ecological protection, or social interest.
3. Social property refers to ejidos and agrarian communities established through agrarian reform processes that redistributed approximately 100 million hectares to more than two million campesinos during the twentieth century. Social property currently represents approximately 50.7% of the national territory and is organized through more than 32,000 agrarian nuclei composed of ejidos and agrarian communities.
Ejidal lands are divided into lands for human settlements, common-use lands, and individual parceled lands. Ownership rights are exercised collectively through assemblies or individually by ejidatarios over assigned parcels, depending on the type of land tenure within the ejido or agrarian community. Common-use lands constitute the economic basis of communal life and are generally inalienable, imprescriptible, and exempt from seizure, while parceled lands provide usufruct and use rights to individual ejidatarios. The 1992 constitutional reforms recognized the legal personality of ejidos and agrarian communities, enabled limited privatization of ejidal parcels, allowed associations with private investors, and established mechanisms for land certification and regularization through programs such as PROCEDE and FANAR.

Mexico has also developed a broad legal and institutional framework to regulate land tenure, strengthen legal certainty, and resolve agrarian conflicts. Programs such as PROCEDE and FANAR supported the regularization and certification of communal and ejidal lands, while institutions including the National Agrarian Registry (RAN), Agrarian Courts, the Agrarian Attorney's Office, SEMARNAT, CONAFOR, and SEDATU oversee land registration, mediation, territorial planning, forest governance, and conflict resolution processes. The General Law on Sustainable Forest Development (LGDFS) recognizes the rights of ejidos, agrarian communities, indigenous peoples, private landholders, and legitimate possessors over forest resources while establishing obligations related to sustainable forest management, conservation, restoration, climate change mitigation, and environmental protection. Access to environmental subsidies, restoration incentives, payment for ecosystem services schemes, and climate finance mechanisms depends on demonstrating legal ownership or legitimate possession of land, reinforcing the importance of tenure regularization and territorial governance structures in rural and forest landscapes.

Table 7 summarizes the main categories of land tenure and use-right holders in Mexico, outlining the types of rights and entitlements associated with each category, including use, enjoyment, and usufruct. It provides definitions of each tenure arrangement, identifies the corresponding property regimes (social,

public, or private), specifies the types of rights holders, and indicates the relevant legal provisions under Mexican law. The table also includes key observations regarding limitations, authorization requirements, and the governance mechanisms that regulate access to and use of land across different tenure systems.

Table 7. Main Land and Resource Tenure Regimes in Mexico

Category: Rights / Entitlements	Definition	Property Type & Type of Rights Holder	Legal Basis	Observations
Parcel and Homestead Owner: Use, enjoyment, and usufruct	Direct and immediate control over an object or asset, granting the holder the capacity to use and dispose of it within the limitations established by law	Social, public, and private Indigenous peoples and ejidatarios	Agrarian Law, Article 14 and 47	No ejidatario may hold parcel rights over an area greater than 5% of ejido lands, nor exceed the limits established for small private property
Small Private Landholder: Use, enjoyment, and usufruct	Individual ownership rights over land and assets	Social, public, and private Any individual	Federal Civil Code	Represents the private property regime recognized under Mexican law
Common Land Holder: Use, enjoyment, and usufruct authorized by the assembly	Collective ownership and use of common lands governed through ejido or community assemblies	Social Ejido or agrarian community	Agrarian Law, Article 47	Community assembly authorization is required for decisions regarding common-use lands
Possessor: Use and enjoyment	When, through a legal act, the owner transfers possession of an asset to another person, granting temporary control as usufructuary, tenant, pledge holder, depositary, or through another similar legal arrangement. Both parties are considered possessors: the owner holds original possession, while the other party holds derived possession	Social, public, and private Any individual	Agrarian Law, Article 48	Possessor
Parcel Tenant: Use and enjoyment	A lease agreement through which one party temporarily transfers the use and enjoyment of land or property to another party in exchange for payment or compensation	Social, public, and private Any individual	Agrarian Law, Article 45	Temporary transfer of land-use rights

Tenant of Common-Use Lands: Use and enjoyment	Temporary use agreements over communal or common lands through lease or contractual arrangements	Social, public, and private Any individual	Agrarian Law, Article 23-V	The assembly must authorize contracts or agreements involving the use or enjoyment of common lands
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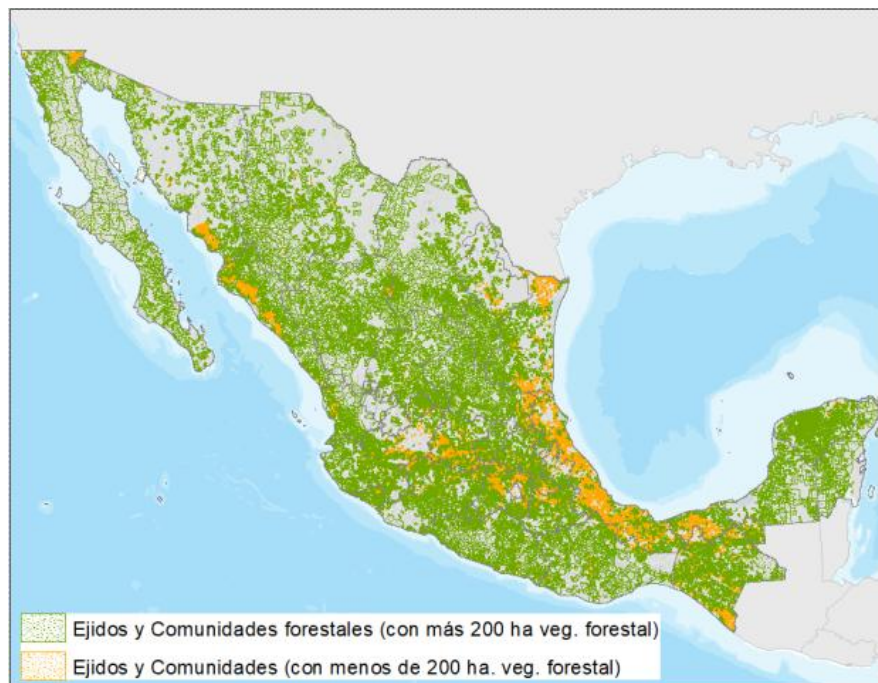
Source: Own elaboration based on information from CONAFOR's Social and Environmental Management System, 2025, available here: https://www.gob.mx/cms/uploads/attachment/file/1024125/SGAS_compressed.pdf

Social property, which includes ejidos and agrarian communities, is particularly relevant for REDD+ implementation because a significant share of the country's forests is located in lands under collective tenure. Ejidos and agrarian communities have legally recognized governance structures and internal rules that guide decision-making over land use, access to natural resources, participation in public programs, and benefit-sharing arrangements.

According to data from the National Agrarian Registry (RAN), as of 2024 Mexico had 32,261 agrarian nuclei, including 28,525 ejidos and 1,995 agrarian communities. Registered ejido property exceeds 82.2 million hectares, while registered communal property covers approximately 17.4 million hectares.

Approximately 16,953 agrarian nuclei (ejidos and agrarian communities) own more than 70 million hectares of forest land nationwide equivalent to 50.9 percent of Mexico's forest area. (see section 2.5 below). Ejidos account for the largest share, with approximately 60.5 million hectares of forest area, equivalent to 43.6 percent of the national forest area. Agrarian communities account for approximately 10.1 million hectares, equivalent to 7.3 percent of the national forest area. Of the total agrarian nuclei, those ejidos and communities with over 200 hectares of forest cover are considered forest agrarian nuclei. Within forest agrarian nuclei, approximately 5.6 million people reside in 43,755 localities, including more than 1.8 million people belonging to indigenous households.

Figure 2. Forest agrarian nuclei (ejidos and communities)



Source: CONAFOR with data from Land Use and Vegetation Map, Series VII; and INEGI (2020) – National Population and Housing Census.

States such as Oaxaca, Guerrero, Chiapas, Michoacán, Jalisco, Quintana Roo, and Yucatán contain extensive areas of forest land under ejido and agrarian community ownership, reinforcing the importance of communal governance systems for forest conservation, sustainable land management, and local livelihoods. Table 8 includes the number of forest agrarian nuclei and its forest cover in the selected states of Mexico's RBP proposal.

Table 8. Forest Agrarian Nuclei in selected states

State	Forest Agrarian Nuclei	Forest Area within Agrarian Nuclei (ha)
Chiapas	1,167	1,782,291
Oaxaca	974	3,633,165
Guerrero	954	3,220,306
Michoacán	1,072	1,464,157
Jalisco	903	1,595,963
Quintana Roo	275	2,599,088
Yucatán	604	1,539,281

The national legal framework recognizes the rights of landowners and legitimate right holders over land and forest resources, as well as the role of forest owners and possessors in the conservation, protection, restoration, production, management and sustainable use of forest ecosystems. In the context of social

property, general assemblies constitute the highest decision-making bodies of ejidos and agrarian communities and are central to decisions concerning land use, common-use areas, forest management, participation in government programs, and the distribution of benefits.

Customary relationships to land and forest resources are particularly relevant in Indigenous and community territories, where land, forests, water and biodiversity may have social, cultural, spiritual, economic and environmental significance. Traditional knowledge, customary governance systems and collective management practices contribute to forest conservation, biodiversity protection and sustainable resource use. Women, youth, Indigenous Peoples, Afro-Mexican peoples and other vulnerable groups may face barriers to participating in land and forest governance, particularly where access to land rights, assembly participation, technical assistance, credit, subsidies or productive assets is limited. These barriers can affect their ability to participate in and benefit from REDD+ activities.

See section 4.2.5 in Annex 4.1. to the RBP proposal, for more.

2.6 Social inclusion and gender

In 2023, Mexico had a population of 129.5 million people, of which 51.7 percent were women. According to INEGI, the country is characterized by a relatively young demographic structure, with a median age of 32 years and 40.3 million people under the age of 20. At the same time, Mexico is undergoing a gradual ageing process: 14.7 percent of the population (19.0 million people) were aged over 60, of whom women accounted for 54.9 percent (10.4 million), reflecting an emerging feminization of ageing.

A total of 6.8 percent of the population—equivalent to 8.9 million people—lived with some form of disability. Nearly half of this group (49.4 percent) were persons over 60 years of age, and within this segment, 56.1 percent were women, highlighting an important intersection between ageing, gender, and disability. Given women's higher life expectancy compared to men (79.0 years versus 72.5 years), the number of women experiencing disability in later life is expected to increase in the coming years.

Mexico is predominantly urban, with 74.6 percent of the population residing in urban areas, while 25.3 percent live in rural settings, often characterized by dispersed settlement patterns. In 2023, 32.8 million people lived in rural localities (with fewer than 2,500 inhabitants), of whom 16.9 million (51.5 percent) were women. In rural and forest contexts, women play a fundamental role in agricultural production, natural resource management, forest use, food security and community care activities. However, their participation continues to take place under conditions characterized by disproportionate unpaid domestic and care workloads, lower levels of economic autonomy and limited representation within agrarian and community governance structures.

In the area of gender equality and the rights of women and girls, Mexico has made significant progress through the strengthening of its legal framework and the consolidation of gender institutions. The country has also promoted affirmative actions and systematically integrated a gender perspective into public policies. Constitutional provisions, gender equality legislation, and sectoral laws on forests, agriculture and rural development provide a foundation for promoting equitable participation, access to resources and benefit-sharing. Relevant legal frameworks emphasize sustainable forest management, inclusive development and the strengthening of women's roles in rural and forest economies.

Among the relevant legal instruments are the 2011 reform to Article 1 of the Political Constitution establishes that all authorities must promote, respect, protect and guarantee human rights, explicitly prohibiting discrimination on the basis of gender and incorporating international treaties -such as CEDAW, the Beijing Platform for Action and the Belém do Pará Convention- into the national legal system. Article 4 further establishes equality between women and men, reinforcing the obligation of the State to ensure substantive equality in access to rights, including those related to land, natural resources and participation.

More recently, the 2024 constitutional reform on substantive equality and women's right to a life free of violence further strengthened Mexico's legal framework on gender equality and non-discrimination. Among other elements, the reform incorporated or reinforced constitutional provisions related to substantive equality in access to rights and opportunities; the right of women, adolescents, girls and boys to live a life free of violence, with reinforced duties of protection; parity in the integration of federal, state and municipal public administration; and the eradication of the gender pay gap.

This constitutional foundation is complemented by key legal instruments, including the General Law for Equality between Women and Men and the General Law on Women's Access to a Life Free of Violence, which together establish the legal basis for addressing structural gender inequalities and preventing gender-based violence. The General Law on Climate Change and forest-sector legislation incorporate gender considerations into environmental and rural development policies. Amendments to the Agrarian Law to promote gender parity in ejido governance bodies, represent important steps toward addressing land access inequalities. Mexico has also adopted a wide range of international commitments that reinforce the integration of gender equality, human rights and safeguards into climate and forest governance frameworks.

Policy approaches have evolved toward greater integration of substantive equality, climate justice and inclusive governance. This reflects a shift from earlier approaches focused primarily on social assistance to more structural strategies aimed at reducing inequalities and strengthening participation.

Mexico's National Development Plan 2025–2030 establishes gender equality as a central cross-cutting priority through the axis on Substantive Equality and Women's Rights, which aims to position women as active agents of social, economic, and political transformation. This framework promotes an intersectional and intercultural approach, recognizing the diverse conditions of women, including Indigenous, Afro-Mexican, rural, and marginalized groups. It is reinforced by national program such as the National Program for Equality and Non-Discrimination, which aligns with the 2030 Agenda and international commitments (e.g. CEDAW), and seeks to strengthen institutional capacities, reduce discrimination, and ensure equal access to rights and opportunities across key sectors such as health, education, and employment.

Complementary instruments further strengthen the policy and operational framework. The Comprehensive Programme to Prevent and Address Violence against Women focuses on preventing and responding to gender-based violence through coordinated, rights-based institutional action, while the National Programme of Strategic Projects for Substantive Equality promotes women's autonomy, access to services, and the redistribution of unpaid care work. In the forest sector, CONAFOR's National Gender and Inclusion Strategy (2025–2030) provides a dedicated framework to advance gender equality in forest governance by promoting women's participation, leadership, and access to benefits in rural forest communities. Together, these policies establish a coherent and comprehensive foundation to support inclusive, gender-responsive REDD+ implementation and the effective use of RBP proceeds.

At the institutional level, in 2025 the Secretariat of Women was created with the mandate to establish and lead, within the scope of its competence, the implementation, coordination, supervision, follow-up and evaluation of the National Policy on women, adolescents and girls, substantive equality, gender perspective, prevention, attention and eradication of violence against women, adolescents and girls, as well as the care system. Within CONAFOR, Operational advances include the integration of gender considerations into forest program rules and procedures, such as eligibility criteria, prioritization mechanisms and affirmative action measures. These institutional developments strengthens the national architecture for gender equality and is relevant to the ESMF, particularly in relation to the prevention and management of gender-based violence risks, the promotion of substantive equality, and the coordination of gender-responsive public policies.

Despite this robust legal, policy and institutional framework, persistent social inclusion and gender gaps remain relevant for the implementation of activities financed with RBP proceeds. Poverty and social exclusion have a strong territorial, ethnic and gender dimension in Mexico, particularly in rural and forest regions.

Women are disproportionately represented among populations living in extreme poverty, with inequality becoming more pronounced where gender intersects with rurality and ethnicity. Indigenous women in rural areas face significantly higher levels of extreme poverty compared to non-Indigenous urban populations, reflecting systemic disparities in access to economic opportunities, basic services and productive resources. These conditions are especially evident in states with high forest cover—such as Chiapas, Oaxaca and Guerrero—which also concentrate higher levels of rural poverty, larger Indigenous populations, lower educational attainment and limited access to assets. This convergence of factors creates cumulative disadvantages that constrain women’s ability to participate effectively in forest governance, climate action and benefit-sharing mechanisms.

Structural barriers in land tenure systems constitute a central constraint. Women’s access to land and forest resources remains limited, as they represent 26.4 percent of ejidatarios and 30.1 percent of *comuneras*. These figures show that, while women participate in social property regimes, they remain underrepresented among formally recognized agrarian rights holders, which may limit their participation in assemblies, access to forest-related decision-making, and eligibility for credit, subsidies, technical assistance and public programs. As a result, women’s participation in development interventions remains comparatively low, with less than 25 percent of beneficiaries of rural and forest-related programs being women. These limitations also affect women’s participation in agrarian assemblies and decision-making processes, where representation is typically tied to recognized land rights. Consequently, women remain underrepresented in ejido and community governance structures, limiting their voice and influence in territorial decision-making.

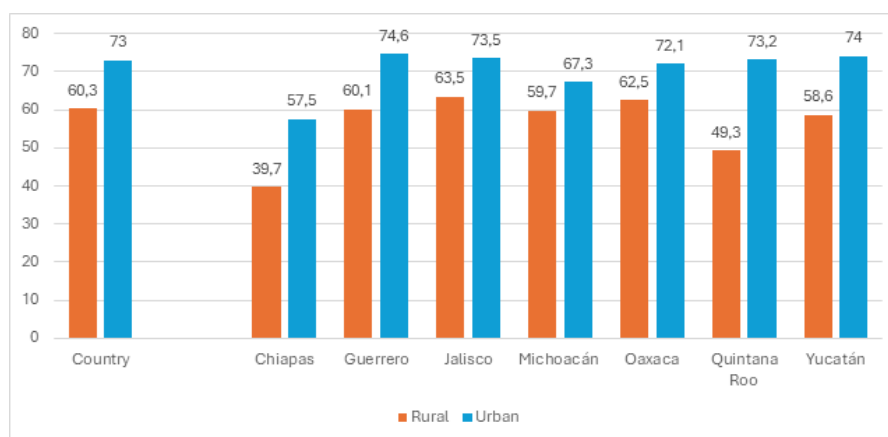
Women’s economic participation in rural and forest sectors is further constrained by unequal access to productive assets, financing, technical assistance and training opportunities. Women are more frequently engaged in lower-paid activities, informal markets and unpaid subsistence work. In the forest sector, their participation in timber value chains, technical forestry services and formal governance mechanisms remains limited. Also, of the agricultural production units under the responsibility of individuals in Mexico, 81 percent were managed by men, while only 19 percent corresponded to women. This reinforces gender gaps in access to economic opportunities and reduces their ability to benefit from forest-based livelihoods and productive initiatives.

The unequal distribution of unpaid domestic and care work represents an additional structural barrier. Women's disproportionate responsibility for household and care tasks limits the time and mobility available for participation in productive activities, training, community assemblies and governance processes. These constraints are exacerbated in climate-vulnerable areas, where environmental degradation, water scarcity and the increasing frequency of extreme weather events intensify care burdens and livelihood pressures. Women also face heightened vulnerability to the impacts of climate change. Lower access to economic resources, education and decision-making spaces reduces their adaptive capacity and ability to respond to environmental shocks. Evidence indicates that women are disproportionately affected by climate-related hazards and may face higher risks during disasters, further compounding existing inequalities.

Gaps in data availability and limited disaggregation by gender, ethnicity and territory continue to hinder the effective design and monitoring of policies and programs. The lack of comprehensive information on women's participation in forest governance, productive sectors and climate initiatives constrains evidence-based decision-making and the development of targeted interventions.

Within the context of the social and territorial diversity previously described, characterized by inequalities in poverty, education and ethnic composition, violence against women also presents differentiated patterns that reflect these structural inequalities. Figure 3 shows the prevalence of violence against women in 2021 in rural and urban settings and reveals a clear and consistent pattern: violence is higher in urban areas than in rural areas in all cases, both nationally and across each of the states analyzed. This may partly reflect the fact that urban contexts tend to have greater availability of formal and informal reporting mechanisms, rather than necessarily indicating lower levels of violence in rural areas.

Figure 3. Prevalence of violence by state and locality of residence



Source: Own elaboration based on INEGI, National Survey on the Dynamics of Household Relationships (ENDIREH) 2021.

Note: The prevalence of violence against women is the proportion of women aged 15 and over who have experienced one or more situations of violence at a specific point in time or over a given period.

Measures proposed to address the gender gaps and barriers as well as mitigate potential gender risks that may arise during implementation of activities financed with RBP proceeds are described in the standalone Gender Assessment and Action Plan (Annex 6 to the RBP proposal).

3. Relevant policy, legal, and institutional framework

Mexico has a comprehensive legal, policy, and institutional framework supporting sustainable forest management, climate action, biodiversity conservation, and social safeguards, that is relevant for REDD+ implementation. The framework is grounded in the Political Constitution of the United Mexican States (CPEUM), which recognizes human rights, the right to a healthy environment, collective land tenure, and the rights of Indigenous Peoples and Afro-Mexican communities, including participation, consultation, and territorial governance rights. The Constitution also establishes the obligation of public authorities to promote, respect, protect, and guarantee human rights in accordance with national legislation and international treaties ratified by Mexico. The principal legal instruments relevant to REDD+ implementation are summarized in Table 9.

Table 9. Mexico's legal and regulatory framework relevant for REDD+

Legal Instrument	Relevance to REDD+
Political Constitution of the United Mexican States (CPEUM)	Recognizes environmental rights, Indigenous Peoples' rights, collective land tenure, participation rights, human rights protections, and women's right to substantive equality.
General Law for Sustainable Forest Development (LGDFS)	Regulates conservation, restoration, sustainable management, and use of forest ecosystems and integrates safeguards and human rights principles
General Law of Ecological Balance and Environmental Protection (LGEEPA)	Establishes environmental policy, ecological planning, environmental impact assessment, biodiversity conservation, and pollution prevention
General Climate Change Law (LGCC)	Regulates climate mitigation and adaptation actions, including REDD+ related measures
Law on Sustainable Rural Development (LDRS)	Promotes sustainable rural development and integration of productive systems with sustainability criteria
Agrarian Law	Regulates land tenure, ejidos, agrarian communities, and collective property rights
General Wildlife Law (LGVS)	Regulates biodiversity conservation and sustainable wildlife management
Federal Law of Environmental Responsibility	Establishes environmental liability and compensation mechanisms
National Water Law (LAN)	Regulates sustainable water management and pollution prevention

Mexico also relies on several Official Mexican Standards (NOMs) establishing technical, environmental, and operational requirements relevant to sustainable forest management, restoration, biodiversity conservation, fire management, and pollution prevention (Table 10). Additionally, international agreements ratified by Mexico — including the UNFCCC, Convention on Biological Diversity (CBD), Escazú Agreement, Ramsar Convention, and ILO Convention 169 — further reinforce environmental governance, Indigenous Peoples' rights, transparency, and participation within REDD+ implementation.

Table 10. Official Mexican Standards and main scope

Official Mexican Standard (NOM)	Main Scope
NOM-015-SEMARNAT/SADER-2023	Technical specifications for the use of fire in forest and agricultural lands
NOM-019-SEMARNAT-2006	Methods for bark beetle control and forest pest management
NOM-020-SEMARNAT-2001	Rehabilitation and conservation of forest grazing lands
NOM-059-SEMARNAT-2010	Protection categories for threatened flora and fauna species
NOM-060-SEMARNAT-1994	Measures to mitigate impacts of forest harvesting on soils and water bodies
NOM-152-SEMARNAT-2006	Forest management program requirements for timber harvesting
NOM-001-SEMARNAT-2021	Limits for wastewater discharges into national water bodies
NOM-052-ECOL-1993	Classification and management of hazardous waste

At the policy level, Mexico has adopted several strategic instruments supporting integrated territorial management, climate resilience, sustainable rural development, and REDD+ implementation. The most relevant include the National Development Plan, the National Climate Change Strategy (ENCC), the Special Climate Change Program (PECC), the National REDD+ Strategy (ENAREDD+), and the Sustainable Forest Development for Well-being Program 2026 which constitutes the principal federal operational instrument supporting forest conservation, restoration, community forestry, productive value chains, environmental services, and inclusive forest governance.

The institutional framework for REDD+ implementation involves multiple federal institutions with complementary mandates. SEMARNAT leads national environmental and climate policy, while CONAFOR serves as the principal implementing agency for forest policy, REDD+ coordination, restoration, sustainable forest management, and forest incentive programs. Additional key institutions include CONANP for protected areas management, CONABIO for biodiversity information and ecosystem monitoring, INECC for climate policy research and technical assessments, PROFEPA for environmental law enforcement, INPI for Indigenous Peoples' rights and consultation processes, the Ministry of Women (Secretaría de las Mujeres) for gender equality and inclusion policies, and INEGI and CONEVAL for statistical and social policy monitoring. Further, recent institutional reforms and operational instruments—including CONAFOR's National Gender and Inclusion Strategy and the 2026 Operating Rules—have introduced affirmative actions, differentiated participation mechanisms, gender-responsive budgeting, and strengthened safeguards measures to promote more inclusive and equitable forest governance.

Mexico had institutionalized mechanisms for cross-sectoral coordination at multiple levels of government. The LGCC had established the National Climate Change System (SINACC) as the main multi-level and multi-stakeholder coordination mechanism. SINACC integrated key actors, including the Inter-Secretarial Commission on Climate Change (CICC), which coordinated federal actions on climate change; the National Institute of Ecology and Climate Change (INECC), which provided technical and scientific support; legislative bodies; subnational governments responsible for implementation; and the Climate Change Council (C3), which ensured participation from academia, civil society, and the private sector. In parallel, cross-sectoral coordination for sustainable rural development was supported through the Inter-Secretarial Commission for Sustainable Rural Development (CIDRS), which facilitated horizontal collaboration among ministries and contributed to harmonizing policies and programs across sectors, particularly those related to agriculture, environment, and rural development.

Mexico's governance arrangements for REDD+ also emphasize participatory and community-based approaches, particularly given that a significant proportion of forest lands are under collective ownership through ejidos and agrarian communities. Existing PLR and institutional arrangements support public participation, territorial governance, safeguards implementation, consultation processes, and access to environmental information.

See Annex 4.1. to the RBP proposal for a comprehensive assessment of the policy, legal and regulatory framework relevant to this ESMF.

4. REDD+ in Mexico and the RBP proposal

4.1 The National REDD+ Strategy

Mexico's forests play a central role in the national economy and environmental sustainability, providing essential ecosystem services, raw materials, biodiversity habitats, and livelihoods for approximately 11.8 million people. As a result, the forest sector has long been a policy priority, reflected in sustained public efforts to promote sustainable forest management and rural development.

Despite these efforts, deforestation and forest degradation remain key drivers of natural capital loss, largely associated with agricultural expansion and unsustainable land-use practices beyond the forestry sector. Although significant progress has been achieved through policies and programs led by the National Forestry Commission (CONAFOR), these pressures persist due to their structural nature. In response, Mexico has adopted an integrated landscape approach that seeks to address deforestation through improved cross-sectoral coordination and alignment of public policies.

This approach aims to enhance the economic value of forests through sustainable management while promoting coordinated interventions that generate income and sustain rural livelihoods. It places emphasis on policy coherence, improved efficiency of public expenditure, and stronger intersectoral coordination. Within this framework, REDD+ has emerged as a key mechanism to support implementation, providing a platform to address both the direct and underlying drivers of forest loss.

Since 2010, Mexico has advanced the operationalization of REDD+ through the development of a comprehensive national framework, culminating in the National REDD+ Strategy (ENAREDD+). This strategy positions REDD+ as an instrument for sustainable rural development, while contributing to climate change mitigation and adaptation. It promotes territorial-level interventions and has been integrated into Mexico's Nationally Determined Contribution (NDC), reinforcing its role in achieving net-zero deforestation and advancing landscape-based management approaches.

Importantly, REDD+ builds upon long-standing government efforts to address deforestation through support to communities, ejidos and small landholders in the management and conservation of forest resources. At the territorial level, these efforts have largely been implemented through CONAFOR's public incentive programs, which are voluntary and demand-driven, and provide support in cash or in kind in accordance with established Operating Rules.

Strategic partnerships in the context of REDD+ implementation

Mexico's REDD+ readiness process has been supported by a combination of domestic and international financing under a coordinated framework. Between 2010 and 2019, at least 22 initiatives mobilized more than USD 628.6 million, strengthening institutional, technical and territorial capacities.

The World Bank has been a key partner, supporting Mexico through a programmatic approach that combines multiple financing instruments. Between 2012 and 2018, approximately USD 460 million was mobilized through Investment Project Financing, the Forest Investment Program (FIP), the Dedicated Grant Mechanism (DGM) for Indigenous Peoples and Local Communities, as well as grants from the Forest Carbon Partnership Facility (FCPF), the Global Environment Facility (GEF), and PROFOR. These initiatives delivered important results:

- The FCPF Readiness Fund (USD 8.8 million) supported the participatory development of ENAREDD+, including a national consultation process with over 26,000 participants;
- The Forest and Climate Change Project (USD \$392 million IBRD + FIP) strengthened community forest management, benefiting over 265,000 people and expanding sustainably managed forest areas by more than 1.8 million hectares;
- The DGM (USD 6 million) supported Indigenous-led investments in restoration, agroforestry, and value chains;
- The PROFOEM project (USD 66 million) advanced integrated landscape approaches and forest-based rural entrepreneurship.

Additional support was provided by bilateral and multilateral initiatives, including other important initiatives such as Mexico-REDD+ Alliance (MREDD+) funded by USAID, and the Project to Strengthen REDD+ in Mexico and Promote South-South Cooperation and UNREDD Targeted Support supported by the Government of Norway.

Beyond financial contributions, these partnerships played a critical role in developing key elements required for REDD+ implementation under the UNFCCC, including the National Forest Monitoring System (NFMS) in 2016, Forest Reference Emission Level (FREL) in 2014, and Safeguards Information System (SIS) in 2017, and the ENAREDD+ in 2017. They also contributed to building technical capacities, generating knowledge and piloting approaches that informed policy development and strengthened CONAFOR's programs.

Overview of the National REDD+ Strategy

The National REDD+ Strategy (ENAREDD+) is the main policy instrument guiding REDD+ implementation in Mexico. Its objective is to reduce greenhouse gas emissions from deforestation and forest degradation, conserve and enhance forest carbon stocks, promote sustainable forest management, and conserve biodiversity within a framework of sustainable rural development and policy alignment. The strategy also emphasizes respect for the rights of Indigenous Peoples, local communities and Afro-Mexican populations, as well as the application of social and environmental safeguards and compliance with national and international legal frameworks.

The development of ENAREDD+ between 2010 and 2017 followed an extensive participatory and analytical process. This process included the formulation of Mexico's Vision on REDD+ (2010), the Elements for the Design of the National REDD+ Strategy (2011), and subsequent consultation drafts developed through multi-stakeholder engagement. The final version of ENAREDD+ (2017–2030) was widely consulted through national, state-level and thematic forums, reaching more than 26,000 participants, including Indigenous Peoples and Afro-Mexican communities.

In parallel, throughout the development of ENAREDD+, a wide range of studies, analyses, and consultancies, supported by multiple partners and funding sources were prepared, contributing inputs to addressing key REDD+-related issues, including deforestation and forest degradation diagnostics, and providing relevant insight on benefit-sharing arrangements, financing mechanisms, social participation and transparency, gender, governance, legal frameworks, MRV, and safeguards. Between 2010 and 2016, a total of 226 studies were conducted, contributing to the development of the final draft of ENAREDD+.

ENAREDD+ 2017–2030 establishes strategic lines that simultaneously promote climate change mitigation and adaptation actions through integrated land management, fostering low carbon sustainable rural development and contributing to the convergence of environmental and development agendas, with a focus on rural landscapes where forest related activities take place. Looking forward, the ENAREDD+ aims to reach a rate of zero percent carbon loss in natural ecosystems, decrease national forest degradation levels against the reference level, increase forest cover through sustainable management and natural regeneration, conserve biodiversity, strengthen social and economic capital and sustainable production in rural communities.

The Strategy is structured around seven complementary components: (1) Public Policies and Legal Framework; (2) Financing Schemes; (3) Institutional Arrangements; (4) Monitoring, Reporting and Verification (MRV) and Reference Level; (5) Social and Environmental Safeguards; (6) Communication and Capacity Development; and (7) Social Participation and Transparency.

Overview of forest incentive programs

REDD+ implementation in Mexico builds on existing policy instruments, particularly CONAFOR's public incentive programs, which constitute the primary mechanism for delivering actions at the territorial level. These programs support forest conservation, restoration and sustainable management, while addressing underlying drivers of deforestation.

Forest incentive programs are designed to support a wide range of forest policy objectives and to benefit forest owners, including communities, ejidos and small landholders. They are voluntary and demand-driven, covering diverse activities across forestlands. Broadly, these programs fall into two categories: (i) sustainable forest productivity programs, which promote community forestry enterprises, forest management, and value chain development; and (ii) conservation and restoration programs, which support environmental services, ecosystem restoration and land-use transitions.

Support may be provided in cash or in kind, in line with the Operating Rules. In some cases, eligibility is geographically targeted to areas of high ecological importance, such as priority watersheds or biodiversity-rich regions. Where demand exceeds available funding, applications are prioritized based on established criteria (Criterios de Prelación). These criteria and program guidelines are updated annually to reflect national priorities and evolving local needs. Forest owners may also participate in multiple programs simultaneously.

Financing for these programs is sourced from federal budget allocations, as well as transfers to the Fondo Forestal Mexicano, which are administered by CONAFOR. The programs operate within the broader framework of the Sustainable Forest Development for Well-being Program 2026. Also, since 2008, the Operating Rules have progressively evolved from administrative instruments governing subsidy allocation

into key operational tools that integrate environmental and social considerations into forest sector policy implementation, which are key for ensuring inclusive REDD+ implementation.

See section 4.2.1 in Annex 4.1. to the RBP proposal, for more details on the REDD+ readiness phase in Mexico.

4.2 Addressing and respecting Cancun Safeguards

Mexico progressively integrated environmental and social safeguards into the REDD+ readiness process as a cross-cutting component of the National REDD+ Strategy (ENAREDD+), together with participation, transparency and capacity development. Safeguards were defined as mandatory, preventive and precautionary measures aimed at mitigating potential environmental and social risks associated with REDD+ implementation while enhancing positive impacts, based on national and international legal frameworks.

Mexico developed a comprehensive safeguards architecture through a phased and institutionally embedded process during the REDD+ readiness phase. This process included the identification of risks through the Strategic Environmental and Social Assessment (SESA), the operationalization of safeguards through the Environmental and Social Management Framework (ESMF), the development of governance arrangements through the National Safeguards System (SNS), and the establishment of monitoring and reporting mechanisms through the Safeguards Information System (SIS) and the Summary of Information (SOI).

The SESA process, implemented between 2011 and 2014, combined technical analysis and participatory engagement to identify environmental and social risks and benefits associated with REDD+ implementation. The process included national and regional workshops involving ejidos, Indigenous Peoples, forest communities, agrarian organizations, civil society organizations, technical experts and government institutions.

Building on the SESA findings, Mexico developed the Environmental and Social Management Framework (ESMF) by 2019 as an operational instrument to manage identified environmental and social risks and benefits. The ESMF established principles, procedures, institutional arrangements, mitigation measures and safeguards management guidelines for REDD+ implementation, incorporating lessons learned from REDD+ Early Action Areas.

Mexico also strengthened safeguards implementation through internationally financed REDD+ initiatives implemented between 2010 and 2019, including the PBCC, DGM for Indigenous Peoples and Local Communities, and PROFOEM projects. These initiatives supported safeguards-related capacity building and the development of safeguards instruments, including Indigenous Peoples Plans (IPPs) and environmental assessments.

In parallel, CONAFOR progressively incorporated safeguards and social inclusion principles into its Operating Rules, including environmental compliance requirements, environmental impact assessment support, prioritization mechanisms for vulnerable groups, safeguards-related monitoring requirements, and technical feasibility assessments.

Mexico's REDD+ safeguards framework was further reinforced through stakeholder engagement and consultation processes carried out during the readiness phase. National, regional and subnational consultation platforms—including CONAF, CTC-REDD+, state-level REDD+ committees—supported participatory development of the ENAREDD+, safeguards instruments and consultation processes.

The national consultation process for the ENAREDD+ included online consultations, national and thematic forums, and differentiated consultation processes with Indigenous Peoples and Afro-Mexican peoples conducted between 2015 and 2016. The consultation process reached more than 26,000 participants across 23 states and incorporated culturally appropriate methodologies and Indigenous languages.

Mexico established a structured safeguards architecture aligned with the Cancun Safeguards, the GCF environmental and social standards, and FAO's Framework for Environmental and Social Management (FESM). The country's approach was based on the articulation and strengthening of existing national legal, institutional and participatory systems rather than the creation of parallel structures.

Between 2013 and 2016, Mexico conducted a detailed analysis of the policy, legal and regulatory (PLR) framework applicable to REDD+ safeguards, resulting in the development of a national interpretation of the Cancun Safeguards (See Table 11). This process contextualized the safeguards within Mexico's legal, institutional and social framework and was validated through participatory processes. Mexico consolidated its National Safeguards System (SNS) as the governance structure for safeguards implementation. The SNS is integrated by three complementary pillars outlined in Table 12.

Table 11. National interpretation of Cancun Safeguards

Cancun Safeguard	
Mexico's Interpretation of the Safeguard	Core elements of interpreted safeguard
A) That actions complement or are consistent with the objectives of national forest programs and relevant international conventions and agreements.	
The National REDD+ Strategy (ENAREDD+) is aligned and consistent national forest policy, and sustainable rural development and climate change policy, as well as with the objectives of international conventions and agreements to which Mexico is a party.	A.1. Complementarity or consistency of the ENAREDD+ with the objectives of national forest, sustainable rural development, and climate change policies.
	A.2. Complementarity or consistency of the ENAREDD+ with the objectives of relevant and applicable international conventions and agreements.
B) Transparent and effective national forest governance structures, taking into account national legislation and sovereignty.	
Transparency, comprising the right of access to information, proactive transparency, accountability, and anti-corruption measures, is ensured within the scope of ENAREDD+ implementation. In addition, sound decision-making and the right of access to justice are supported through conflict resolution mechanisms across different levels of government in the implementation of ENAREDD+.	B.1. Transparency is ensured in the implementation of the ENAREDD+
	B.2. Sound decision-making is ensured at the federal, state, municipal, and local levels within the context of ENAREDD+ implementation.
	B.3. Access to justice through conflict resolution mechanisms is ensured within the context of ENAREDD+ implementation.
	B.4. Accountability and anti-corruption measures are ensured within the scope of ENAREDD+ implementation.

C) Respect for the knowledge and rights of indigenous peoples and members of local communities, taking into account relevant international obligations, national circumstances and legal frameworks, and noting that the United Nations General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples.	
The recognition and respect of the rights of Indigenous Peoples, Afro-descendant peoples, ejidos, and communities are ensured within the context of ENAREDD+ implementation, in accordance with the applicable national and international legal framework, as set out in Articles 1 and 2 of the Political Constitution of the United Mexican States.	C.1. The recognition and respect of the rights and knowledge of Indigenous Peoples, Afro-descendant peoples, ejidos, and communities are ensured within the context of ENAREDD+ implementation, in accordance with the applicable national and international legal framework, as set out in Articles 1 and 2 of the Political Constitution of the United Mexican States.
D) The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities, in the REDD+ actions (referred to in paragraphs 70 and 72 of Decision 1/CP.16).	
An enabling environment is in place that ensures the full and effective participation of stakeholders, in particular Indigenous Peoples, Afro-descendant peoples, ejidos, and communities, through appropriate and culturally relevant mechanisms and procedures, and promotes gender equality within the context of ENAREDD+ implementation.	D.1. The recognition and regulation of mechanisms for participation in decision-making are ensured within the context of ENAREDD+ implementation.
	D.2. The recognition and respect of the right of forest ecosystem owners, holders, and users, particularly Indigenous Peoples, Afro-descendant Peoples, ejidos, and communities, to participate in decision-making are ensured within the context of the design and implementation of ENAREDD+.
	D.3. Gender equality is recognized and promoted in decision-making and is ensured within the context of the design and implementation of ENAREDD+.
E) That actions are consistent with the conservation of natural forests and biological diversity, ensuring that the REDD+ actions (referred to in paragraph 70 of Decision 1/CP.16) are not used for the conversion of natural forests, but are instead used to incentivize the protection and conservation of natural forests and their ecosystem services, and to enhance other social and environmental benefits, taking into account the need for sustainable livelihoods of indigenous peoples and local communities and their interdependence on forests in most countries, reflected in the United Nations Declaration on the Rights of Indigenous Peoples, as well as the International Mother Earth Day.	
The consistency of ENAREDD+ with sustainable forest management and the conservation of natural forests and biodiversity, ensuring the avoidance of the conversion of natural forests, and promoting environmental and social benefits.	E.1. The consistency of ENAREDD+ with sustainable forest management and the conservation of natural forests and biodiversity.
	E.2. The promotion of social and environmental benefits is ensured within the context of ENAREDD+ implementation.
F) Actions to address the risks of reversals.	
The management of risks related to reversals is addressed within the context of ENAREDD+ implementation through the promotion of sustainable forest management, monitoring and evaluation of land use and forest cover, and establish measures to prevent illegal activities, forest fires, and other disturbances, thereby contributing to the permanence of emission reductions.	F.1. The management of risks related to reversals is required within the context of ENAREDD+ implementation.
G) Actions to reduce displacement of emissions.	
The management of risks related to leakage (displacement of emissions) is addressed within the context of ENAREDD+ implementation through provisions that promote coordination, including	G.1. The management of risks related to leakage (displacement of emissions) is required within the context of ENAREDD+ implementation.

regional approaches, and require monitoring of forest cover and its changes, contributing to reducing the drivers of deforestation and forest degradation.	
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Table 12. Pillars of Mexico's National Safeguards System

SNS Pillar	Description
Legal Pillar	National and international legal and regulatory instruments applicable to safeguards
Institutional Pillar	Authorities and institutions responsible for safeguards implementation and oversight
Compliance Pillar	Mechanisms related to grievance redress, transparency, accountability, monitoring and conflict resolution

The Safeguards Information System (SIS) was developed between 2014 and 2016 as the main national mechanism for safeguards monitoring and reporting. The SIS was designed as an articulating system that compiles information from existing national information systems and integrates subnational information generated through REDD+ implementation processes. The SIS supports information collection, analysis, dissemination and reporting to the UNFCCC.

Mexico submitted its First Summary of Information (SOI) on REDD+ safeguards in 2017/2018, consolidating the outcomes of the readiness phase, including the national interpretation of safeguards, the development of the National Safeguards System (SNS) and the Safeguards Information System (SIS). The safeguards reporting framework continued evolving after the readiness phase, and Mexico submitted its Second Summary of Information (SOI2) to the UNFCCC REDD+ Web Platform in August 2024, covering the 2017–2022 implementation period.

This way, Mexico has established a robust and progressively operational safeguards system. In the country, there are mechanisms to identify, assess, manage, monitor and report risks related to land tenure, Indigenous Peoples' rights, participation, biodiversity conservation, environmental degradation, governance, inclusion of vulnerable groups and equitable access to benefits. Remaining challenges identified included differences in institutional capacities across states, the need to strengthen culturally appropriate participation processes and safeguards dissemination in Indigenous languages, improved access to grievance mechanisms for vulnerable groups, and further integration of gender equality and intercultural approaches within safeguards implementation.

See section 4.2.2 in Annex 4.1. to the RBP proposal, for more.

4.3 Stakeholder identification, participation and consultations

Mexico established a comprehensive and multi-level framework for stakeholder engagement, consultation, participation, and access to information throughout both the REDD+ readiness and implementation periods. These efforts were grounded in national legal frameworks, including the Constitution, the General Law on Sustainable Forest Development (LGDFS), and complementary legislation recognizing participation rights, access to information, gender equality, and the rights of Indigenous Peoples and Afro-Mexican peoples. The REDD+ safeguards framework explicitly incorporated principles such as free, prior and

informed consent (FPIC), equitable benefit-sharing, gender equity, transparency, and respect for traditional governance systems.

The rights to participation, consultation and access to information, including for Indigenous Peoples, Afro-Mexican peoples, women and other vulnerable groups are embedded within the National REDD+ Strategy (ENAREDD+). The Strategy includes component 5 of communication and capacity building aimed at promoting communication, training, and the strengthening of human and institutional capacities, ensuring cultural appropriateness for Indigenous Peoples, Afro-descendant populations, and local communities. Another relevant component is number 7 of social participation and transparency that seeks to ensure that actions undertaken to achieve REDD+ objectives are implemented with full transparency, while guaranteeing the responsible and inclusive participation of civil society.

In this context, during the REDD+ readiness phase, Mexico established an extensive stakeholder engagement architecture at national, regional, and subnational levels. Key institutional platforms included the National Forestry Council (CONAF), the ENAREDD+ Working Group, the Technical Advisory Committee for REDD+ (CTC-REDD+), State and Regional CTC-REDD+ platforms. These mechanisms enabled continuous dialogue, technical input, consultation, and co-design of the National REDD+ Strategy (ENAREDD+). Between 2010 and 2016, these platforms collectively held more than 140 sessions involving representatives from Indigenous Peoples, Afro-Mexican peoples, ejidos and forest communities, women, academia, civil society organizations, private sector actors, and government institutions.

Mexico also implemented extensive consultation and capacity-building activities. Thirty-two consultation workshops were conducted nationwide during the update of the Strategic Forest Programme, involving 1,288 participants. The national consultation process for the ENAREDD+ included online consultations, 54 in-person forums, and thematic forums specifically targeting women, youth, and the agriculture sector. In total, the consultation process reached approximately 26,360 participants across 212 localities in 23 states and involved 50 Indigenous Peoples. The process followed culturally appropriate methodologies aligned with ILO Convention No. 169 and incorporated local languages, participatory approaches, and differentiated consultation procedures for Indigenous Peoples and Afro-Mexican peoples.

Efforts to ensure access to information and information disclosure included the development and dissemination of consultation materials, capacity-building workshops, information sessions, and outreach activities implemented through CONAFOR and partner organizations. Existing participation platforms and local dissemination channels were used to facilitate access to REDD+ information, including at the community level. Consultation and dissemination processes incorporated culturally appropriate communication methods and local languages to strengthen inclusion and accessibility for Indigenous Peoples and local communities.

Women's participation and inclusion were explicitly promoted throughout the REDD+ readiness process. Dedicated thematic consultation forums for women were organized, and gender equity was embedded within the safeguards framework and national legal instruments. Indigenous Peoples' participation was supported through differentiated consultation processes, the active involvement of the Indigenous and Peasant Roundtable within CONAF, and coordination with the National Institute of Indigenous Peoples (INPI), ensuring culturally appropriate engagement and representation.

During the REDD+ results period (2018–2019), stakeholder engagement continued through established institutional mechanisms and territorial-level implementation by CONAFOR. Participation was reinforced through outreach activities, dissemination of operational rules (ROP), information sessions, and direct

engagement with ejidos and forest communities. Communities and local stakeholders participated in decision-making processes through assemblies and collective agreements related to accessing REDD+ support schemes, reinforcing a demand-driven and participatory approach.

Overall, Mexico's has a comprehensive and robust stakeholder engagement and consultation framework which is broadly aligned with international human rights instruments and the Cancun Safeguards. It is institutionalized and ensures access to information, and inclusion of Indigenous Peoples and women.

See section 4.2.7 in Annex 4.1. to the RBP proposal, and in Annex 5 to the RBP proposal, the standalone Stakeholder Engagement Plan, for more.

5. REDD+ results-based payments funding proposal

Mexico will reinvest the results-based payments (RBP) into a transformative program that seeks to address one of the key drivers of deforestation and forest degradation: the expansion and persistence of extensive livestock systems in forest–grassland transition zones. The reinvestment will promote productive restoration in transition zones, forest conservation and sustainable livestock production through silvopastoral and agrosilvopastoral systems, strengthened territorial management, sustainable finance, and improved monitoring and traceability systems. This approach to reduce deforestation from cattle production and scale sustainable livestock solutions across forest–grassland frontiers.

The RBP Proposal will focus on priority landscapes in forest–livestock transition zones in dry and sub-humid forests in the states of Chiapas, Guerrero, Jalisco, Michoacán, Oaxaca, Quintana Roo, and Yucatán. Jalisco and Chiapas rank as Mexico’s second and sixth-largest cattle producer, respectively. Meanwhile, Yucatán and Quintana Roo are emerging as potential dairy production hubs. All these states have been identified with a multicriteria analysis using land cover and land use data, land use change, risk of deforestation, agricultural boundaries, cattle existence, livestock production units, and restoration priority.

The proposal seeks to address the expansion of the productive frontier, and conversion of forests or tropical forests through a combination of collective and individual incentives. On the one hand, Payments for Environmental Services will be directed to ejidos and communities to support the conservation and adequate management of common-use areas, including forests and tropical forests. This seeks to reinforce collective decision-making for the conservation, restoration and sustainable management of these areas. On the other hand, support for the transition from extensive cattle ranching to silvopastoral systems will focus on plots assigned to ejidatarios, *comuneros* or other local producers currently engaged in livestock activities within the community.

This combination of incentives seeks to align the collective decision to conserve common-use areas with the individual decision to transform existing livestock production systems, thereby reducing pressure on forests and tropical forests and avoiding productivity gains leading to expansion into new areas. In addition, these interventions will be subject to eligibility, exclusion, environmental and social assessment, and territorial monitoring criteria, including no conversion of natural ecosystems and compatibility with conservation, productive restoration and sustainable territorial management objectives. These criteria will be clearly and transparently set out in CONAFOR’s Operating Rules and in the applicable operational instruments during project implementation.

Therefore, the reinvestment of proceeds from GCF results-based payments is designed not as a standalone intervention, but as a catalytic mechanism to transform rural production systems, remove structural barriers, and institutionalize the enabling conditions required for long-term climate and development impacts beyond the project implementation. In this context, Mexico’s RBP proposal integrates four mutually reinforcing outcomes described as follows:

Outcome 1. Increased adoption of climate-resilient silvopastoral systems and diversified sustainable livelihoods in forest–livestock transition zones. The project will support demonstrative productive reconversion models, including silvopastoral and agrosilvopastoral systems, regenerative grazing, improved fodder production, field schools and productive restoration in priority transition zones. These actions will strengthen producer capacities, improve productivity and resilience, and reduce pressure to clear forests.

Outcome 2. Increased economic incentives and access to finance for forest sustainable management, conservation, and forest-compatible production systems. The project will strengthen deforestation-free value chains and market-access mechanisms, including producer organization, demand-side engagement and traceability. It will also support PES mechanisms with ejidos and communities and harmonize financial products that enable investment in sustainable practices, productive restoration and deforestation-free livestock systems.

Outcome 3. Improved inclusive territorial governance and coordinated landscape management for forest conservation, productive restoration and women's leadership. The project will strengthen territorial agents, support territorial planning and coordination among ejidos, communities, producer organizations and local actors, and promote women-led productive and income-generating initiatives. This will help align individual production decisions with collective forest conservation and restoration objectives.

Outcome 4. Enhanced institutional capacities, coordination and monitoring systems to sustain REDD+ implementation and climate-resilient landscape management. The project will strengthen the capacities of institutions, territorial actors and technical staff to support silvopastoral systems, productive restoration and project formulation. It will also strengthen monitoring systems to track land-cover change, restoration, grazing plans, forage production, livestock carrying capacity, land clearing, agricultural fires, traceability of deforestation-free production and greenhouse-gas emissions linked to project-supported practices.

At its core, the reinvestment strategy seeks to catalyze a transition from extensive, deforestation-linked livestock systems toward integrated, higher-productivity, climate-resilient and economically viable models. These models are grounded in silvopastoral practices, territorial restoration, and forest-compatible grazing, and are designed to be adopted and scaled by livestock producers to ensure long-term sustainability and replicability. As key feature, the proposal emphasizes strengthening permanent capacities and institutional instruments within existing frameworks, including monitoring, reporting and verification (MRV) systems, Farmer Field Schools, Territorial Development Agencies, and intersectoral coordination mechanisms.

Regarding institutional arrangements, FAO will act as the Accredited Entity (AE) for the RBP proposal, assuming overall responsibility for project oversight, fiduciary management, and compliance with GCF requirements, including monitoring, reporting, and evaluation. The program will be executed by FAO in coordination with CONAFOR, which brings extensive experience in forest policy implementation, payment for ecosystem services, safeguards, and community engagement. Strategic guidance and inter-institutional coordination will be provided by a Project Steering Committee (PSC), chaired by CONAFOR and including SADER, SEMARNAT, FAO, and the Ministry of Finance, while a Project Management Unit (PMU) within FAO will support day-to-day coordination and implementation of activities. See section 10.1 of this ESMF for more.

Table 13. Mexico's RBP proposal structure

Outcome	Output
Outcome 1. Increased adoption of climate-resilient silvopastoral systems and diversified sustainable livelihoods in forest–livestock transition zones.	Output 1.1. Demonstrative productive reconversion models developed and implemented at the local level.
	Output 1.2. Strengthened sustainable practices in transition zones

Outcome 2. Increased economic incentives and access to finance for forest sustainable management, conservation, and forest-compatible production systems	Output 2.1. Deforestation-free value chains and market access mechanisms developed and operational
	Output 2.2 Payment for Environmental Services (PES) mechanisms designed and implemented with meaningful participation of Indigenous Peoples, Afro-Mexican communities, ejidos and communities
	Output 2.3 Strengthen and harmonization of financial products to support sustainable practices in transition zones
Outcome 3. Improved inclusive territorial governance and coordinated landscape management for forest conservation, productive restoration and women's leadership.	Output 3.1. Territorial agents strengthened in sustainable management and territorial planning
	Output 3.2. Women's participation and leadership in sustainable landscape management strengthened through productive and income-generating initiatives.
Outcome 4. Enhanced institutional capacity, coordination and monitoring systems to sustain REDD+ implementation and climate-resilient landscape management	Output 4.1. Strengthened capacities of institutions, territorial actors, and technical staff to support sustainable silvopastoral systems and project formulation.
	Output 4.2. Strengthened monitoring systems

5.1 Arrangements for benefit distribution and target beneficiary population

The proposal will be implemented in territories characterized by a significant presence of social land ownership, sociocultural diversity and community-based governance. In this context, ejidos and agrarian communities, Indigenous Peoples, Afro-Mexican population, women producers and livestock producers are identified as priority and direct beneficiaries, given their central role in land-use decisions, forest conservation, livestock production, productive restoration and the adoption of sustainable practices. The proposed model combines forest conservation, through PES, with a productive restoration mechanism (silvopastoral systems - SSP) and productive activities led by women in forest frontier areas, implemented with technical support from territorial agents (local public institutions or civil society organizations) and service providers, with the aim of strengthening sustainable livelihoods of forest-dependent peoples and communities. The project aims to reach 21,720 direct beneficiaries involved in income-generating activities due to RBP project support, the implementation of 1600 SPS production units, the incorporation of 205,000 hectares under PES schemes, and the implementation of 120 women-led productive initiatives.

To this end, 54 percent of RBP resources will be channeled through CONAFOR to finance the implementation of SSP, PES and women-led productive activities on the ground, through public subsidy programs implemented under Operating Rules. Financial resources (monetary benefits) will be transferred from CONAFOR directly to ejidos and communities that choose to participate in these programs on a voluntary basis, thereby promoting fair, equitable, and effective access to benefits derived from RBP.

In line with CONAFOR's Operating Rules, interventions will be subject to established eligibility, exclusion, environmental and social assessment (prioritization criteria), and territorial monitoring criteria. These include requirements to avoid the conversion of natural ecosystems and compatibility with conservation, productive restoration, and sustainable territorial management objectives. These criteria will be defined and clearly and transparently set out in the applicable Operating Rules during the project inception phase, prior to implementation. See section below for more information on the criteria.

Additionally, this mechanism operated by CONAFOR recognizes the contributions of local and community stakeholders to the integrated management, restoration, and conservation of Mexico's forest landscapes. It has progressively evolved to be inclusive of women, youth, Indigenous Peoples, Afro-Mexican communities, and other vulnerable groups that actively contribute to sustainable forest development within their territories. Beneficiaries may also include forest dwellers regardless of their land tenure status.

The RBP resources (18 percent) operated by FAO, will support the delivery of technical support and capacity-building (non-monetary benefits) to ensure the effective adoption of silvopastoral systems through Farmer Field Schools (ECA). A competitive process will be conducted to select and contract qualified service providers responsible for facilitating these field schools and delivering technical assistance. Also, at the territorial level, a key coordination mechanism of the proposal is the engagement of territorial agents (local public institutions or civil society organizations) that directly support ejidos, communities, and small landowners in implementing activities on the ground. 4 percent of the resources will be allocated to supporting the operation of Territorial Agents with a presence in intervention areas through competitive calls under CONAFOR's Operating Rules. The remaining funds will be allocated to institutional strengthening activities and project operation. The project aims to support the establishment of 1200 ECAs and support the operation of 25 Territorial Agents.

The RBP proposal will also generate several social, environmental and governance non-carbon benefits (NCBs). Social NCBs include the delivery of benefits in terms of improving the generation of income for indigenous peoples and afro Mexican population. In recognition of their significant presence in several of the project states and their central role in forest conservation, sustainable forest management, and REDD+ implementation in Mexico, the project will seek to ensure that at least 25% of the funding allocated to on-the-ground grant activities is directed to Indigenous Peoples and Afro Mexican population.

Social NCBs in terms of gender equality, include the promotion of productive activities led by women and the development of gender-responsive technical assistance and skills development schemes. Regarding Governance, the RBP proposal will deliver benefits in terms of improved territorial and landscape level governance. Environmental NCBs include the delivery of benefits in terms of expanding the areas implementing ecosystem payment schemes to promote forests' ecosystem services provision, including biodiversity conservation.

The proposed NCBs are embedded within the long-term implementation framework of CONAFOR and aligned with ENAREDD+ objectives, ensuring that benefits generated through RBP reinvestment can be sustained beyond the duration of the project. Beyond meeting Cancun Safeguards requirements, the proposal seeks to generate durable environmental, social, and governance benefits through strengthened territorial governance, expanded PES schemes, livelihood diversification, and gender-responsive approaches that reinforce the permanence of emission reductions while improving resilience and well-

being among forest-dependent communities. Monitoring of these benefits will be integrated into the Project's results framework and annual reporting processes.

CONAFOR's Operating Rules and Eligibility and Prioritization Criteria for Participation in forest Support programs

CONAFOR publishes its Operating Rules on an annual basis, as well as national and, where applicable, project-specific calls for proposals. These instruments will apply to all activities under CONAFOR's responsibility, including Payments for Environmental Services, productive restoration through silvopastoral systems, and productive projects for women's groups which will be supported by the project. The Operating Rules and calls for proposals identify the eligible areas for accessing resources, as well as the eligibility requirements, prioritization criteria, technical requirements, implementation obligations, monitoring arrangements and excluded activities. CONAFOR's support programs are available to owners, legitimate possessors and inhabitants of forest and preferably forest lands, including women, participating individually or collectively (ejidos, communities, groups and/or women's enterprises). The Operating Rules are published annually by CONAFOR and provide guidance on how the programs operate and the requirements for participation. Applications may be submitted online (through the website) or in person at CONAFOR State Representation Offices. The process is free of charge, and the offices are safe spaces free from violence. The following section describes the eligibility criteria used to determine the viability of applications, as well as the social and environmental prioritization criteria used to rank and prioritize eligible proposals.

Minimum eligibility criteria for participation in the programmes:

- Submit an application indicating the support categories (programs) of interest.
- Demonstrate the legal status of the applicant, whether an individual or a collective entity such as a company, ejido or community. For Indigenous Peoples and Afro-Mexican populations, where documentation is unavailable, verification may be carried out in accordance with their customs and traditions, through an identity certificate issued by INPI, or through legally recognized documentation, including for group applications.
- Demonstrate legal ownership or possession of the land where physical activities or equipment installation will take place. For ejidos and communities, a certificate issued by the National Agrarian Registry is required.
- Additional requirements may apply depending on the support category or modality requested, as specified in the annexes to the Operating Rules.

Some support categories provide additional monetary support for affirmative care measures aimed at promoting equality. These resources may be used to establish community childcare networks, provide care for older persons dependent on women engaged in productive activities, cover food preparation costs, purchase household consumables, finance health screenings and medicines, promote self-care, and support workshops on violence prevention and sexual and reproductive health.

Applications deemed technically viable are subsequently assessed using the following general prioritization criteria:

Social criteria:

- Ejidos and communities that have not received CONAFOR support during the previous five years
- Individuals who have not received CONAFOR support during the previous five years.

- The support application is implemented in Indigenous or Afro-Mexican Peoples and Communities that either: (i) are located in municipalities covered by a Justice and Regional Development Plan coordinated by INPI, or (ii) are included in the National Catalogue of Indigenous and Afro-Mexican Peoples and Communities (CNPCIA) maintained by INPI.
- The support application is located in a municipality classified as having very high, high or medium social lag according to CONEVAL municipal-level classifications.
- The support application is submitted by an ejido or community.
- The individual applicant is a woman, or the applicant group includes at least one woman among its owners or representatives.
- The individual applicant is a young person (18–29 years old), or the legal entity includes at least one young person among its owners or representatives.

Climate change criterion:

- The support application is implemented in a municipality with high or very high climate change vulnerability according to the National Climate Change Vulnerability Atlas (ANVCC).

Beneficiaries acquire the following rights through participation:

- I. Receive support payments in a timely manner through electronic bank transfer.
- II. Receive guidance and information regarding the application of the Operating Rules in citizen-friendly, inclusive and non-sexist language, and in their own language in the case of Indigenous Peoples.
- III. Receive free information regarding their rights and obligations.
- IV. Terminate contracts with technical service providers or extension institutions when such providers fail to fulfill their obligations.
- V. Receive timely attention from CONAFOR through the Citizens' Attention Mechanism.
- VI. Receive respectful and non-discriminatory treatment regardless of ethnic origin, skin colour, culture, sex, gender, age, disability, social, economic, physical or mental health status, legal status, religion, physical appearance, genetic characteristics, pregnancy, opinions, sexual orientation, political identity or affiliation, marital status, family situation, caregiving responsibilities, language, criminal record or any other condition.

The RBP project will support the implementation of the following programs, which include the following eligibility and prioritization criteria:

1. Productive Reconversion

Objective:

Financial support for eligible beneficiaries to implement forest restoration projects that include productive activities (such as silvopastoral systems) aimed at restoring degraded ecosystems, promoting productive reconversion, and recovering forest cover.

Additional eligibility criteria:

- Shapefile showing the project area.
- Productive reconversion project proposal.
- Budget.

Prioritization criteria:

- Projects led by women, such as nurseries, production of plants linked to productive activities, and rainwater harvesting systems.
- Groups of at least seven people; legal incorporation is not required.

- The project is located in a micro-watershed with an active PES agreement.
- The project is located within a water reserve area or overexploited aquifer.
- Activities contribute to improving production and productivity.
- The project is located within a protected area or voluntary conservation area.
- The area is degraded.
- The project is located in tropical dry forest or cloud forest ecosystems.
- The area has been affected by forest fires, pests, or is located in a micro-watershed supplying water bodies.

2. Productive Projects for Women

Objective:

Financial support to promote entrepreneurship and strengthen project ideas led by women and young people, adding value to forest raw materials (e.g. carpentry, charcoal production, cosmetics, medicinal plants, handicrafts using fibres and palm, nurseries, ornamental plants and resin).

Modalities:

1. Productive projects for women: aimed at women's forest enterprises with at least five members.
2. Productive projects for young people belonging to an agrarian nucleus or social forestry enterprise, with at least five young participants including women.
3. Forest project incubator for women: aimed at agrarian nuclei (ejidos and communities) and organized women's groups. Includes technical support from CONAFOR and a participatory process to develop the project idea.

Additional eligibility criteria:

- Shapefile showing the project area.
- Documentation demonstrating the legal origin of raw materials issued by the competent authority.
- Two quotations when machinery or equipment is required.
- Commitment letter from the selected supplier confirming that training on equipment use will be provided.
- For Modality 3, identification code for participating persons.
- Legal ownership or possession of the area where machinery will be installed or civil works undertaken, where applicable.

Prioritization criteria:

- Inclusion of young women (18–29 years old).
- Projects in which women have previously worked in an organized manner.
- Activities located within productive areas established under forest zoning.
- Ecosystem type where the project is located (higher scores for arid zones and tropical dry forests).
- Number of participants (higher scores awarded to projects involving larger numbers of participants).

Affirmative care measures:

- Up to USD 4 500 under Modality 1.
- Up to USD 1 700 under Modality 3.

3. Payment for Environmental Services (PES)

Objective: Financial support provided to owners or possessors of forest lands to conserve and protect their forests.

Additional eligibility criteria:

- Shapefile showing the project area.
- The area must consist of a maximum of four polygons.
- For ejidos and communities, only common-use lands are eligible.

Prioritization criteria:

- The ejido or community commits through its Assembly to implement a sustainable productive project (e.g. nurseries, ecotourism, beekeeping).
- The productive project will be implemented with 80 percent participation by women.
- The project includes a list of women participating in conservation activities.
- The proposed area is located within a protected area.
- The proposed area is located in a deforestation-risk zone.
- The proposed area is located in a natural-disaster-risk zone.
- The proposed area overlies an overexploited aquifer.
- The proposed area is located in a zone projected to experience climate-related changes that could negatively affect environmental service provision.
- The proposed area is located within an Important Bird Area or Ramsar site.
- The proposed area is located in tropical dry forest or mangrove ecosystems.
- The applicant commits to conducting community biodiversity monitoring.

Affirmative care measures:

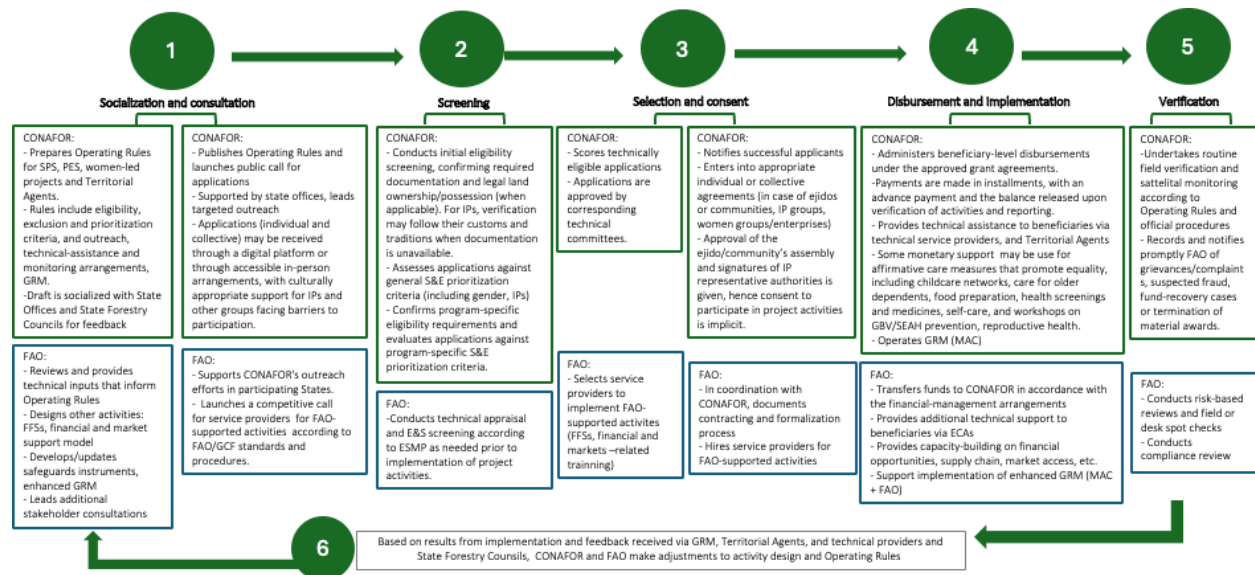
- Up to 20 percent of the total productive project budget may be allocated to affirmative care measures.

Additional considerations for PES program:

- Preparation of a Guide for Best Management Practices (GMPM) is mandatory within 45 days, using a participatory process; CONAFOR provides technical assistance throughout design, implementation, and monitoring.
- GMPM focuses on active conservation, sustainable forest management, biodiversity protection, and inclusion of vulnerable groups (Indigenous Peoples, youth, women).
- Activities must be participatory, locally relevant, technically feasible, and contribute to maintaining or improving ecosystem services, while complying with environmental regulations.
- Mandatory actions include preventing land-use change, conserving forest cover, establishing community brigades (e.g., fire prevention), annual capacity-building, and submitting community-approved plans and reports.
- The framework prohibits harmful practices (e.g., unauthorized infrastructure, mining, waste disposal, non-native species).

The following process flow diagram illustrates the full decision-making pathway of the RBP project. It provides an overview of the design and implementation process for project activities highlighting the complementary roles of CONAFOR and FAO throughout the project cycle. The process begins with (1) Socialization and Consultation, during which the Operating Rules are prepared, outreach and consultations are conducted, and project activities are designed. This is followed by (2) Screening, where applications are

assessed against eligibility and prioritization criteria. Eligible applications then proceed to (3) Selection and consent, including technical evaluation, consent by beneficiaries, contracting, and formalization of participation. During (4) Disbursement and Implementation, beneficiaries receive financial support, technical assistance, capacity building, and may use grievance mechanisms. (5) Verification includes routine monitoring, compliance reviews, grievance management, and verification of project implementation. Finally, (6) Adaptive Management is applied throughout implementation, using monitoring results, stakeholder feedback, and lessons learned to continuously improve project activities, safeguards implementation, and, where appropriate, CONAFOR's Operating Rules.



6. Environmental and social safeguards and policies applicable to this ESMF

6.1 Cancun Safeguards and the Warsaw Framework for REDD+

As part of the multilateral negotiations under the United Nations Framework Convention on Climate Change, the UNFCCC), which in 2013 led to the adoption of what we now know as the Warsaw Framework for REDD+, the WFR, countries broadly recognized the role that REDD+ could play in 'poverty alleviation and biodiversity benefits, ecosystem resilience and the linkages between mitigation and adaptation'. Accordingly, a set of governance, social and environmental safeguards for REDD+ were adopted, commonly and hereafter referred to as *Cancun Safeguards*. The Cancun Safeguards constitute a principle-based framework of overarching governance, social and environmental safeguards to be *promoted, addressed and respected* throughout the design and implementation of REDD+ activities, according to each country's national capacities, national sovereignty and legislation, regardless of source and type of funding (Box 1).

Box 1 Cancun Safeguards under the Warsaw Framework for REDD+

When undertaking REDD+ activities, the following safeguards should be promoted and supported:

- a) That actions complement or are consistent with the objectives of national forest programmes and relevant international conventions and agreements;
- b) Transparent and effective national forest governance structures, taking into account national legislation and sovereignty;
- c) Respect for the knowledge and rights of indigenous peoples and members of local communities, by taking into account relevant international obligations, national circumstances and laws, and noting that the United Nations General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples;
- d) The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities, in the actions referred to in paragraphs 70 and 72 of this decision;²
- e) That actions are consistent with the conservation of natural forests and biological diversity, ensuring that the actions referred to in paragraph 70 of this decision are not used for the conversion of natural forests, but are instead used to incentivize the protection and conservation of natural forests and their ecosystem services, and to enhance other social and environmental benefits³;
- f) Actions to address the risks of reversals;
- g) Actions to reduce the displacement of emissions.

Source: UNFCCC. 2010. In Proceedings of the Conference of the Parties on its Sixteen Session, Cancun, Mexico, 29 November–10 December 2010; Decision 1/CP.16 Annex I. Bonn, Germany. Available online: <https://unfccc.int/documents/6525>

² When developing and implementing national strategies or action plans, to address, inter alia, the drivers of deforestation and forest degradation, land tenure issues, forest governance issues, gender considerations and the safeguards, through the following activities:

a) Reducing emissions from deforestation; b) Reducing emissions from forest degradation; c) Conservation of forest carbon stocks; d) Sustainable management of forests; e) Enhancement of forest carbon stocks.

³ Taking into account the need for sustainable livelihoods of indigenous peoples and local communities and their interdependence on forests in most countries, reflected in the United Nations Declaration on the Rights of Indigenous Peoples, as well as the International Mother Earth Day.

The WFR requires countries to, when seeking to secure and receive results-based payments, have in place a system to provide information – the SIS – on how Cancun Safeguards had been addressed and respected in the context of results-based actions for which RBPs are being sought, and provide their most recent Summary of Information, the SOI. Moreover, further decisions adopted during COP21 in 2015 provided additional guidance to ensure ‘transparency, consistency, comprehensiveness and effectiveness when informing on how all the safeguards [...] are being addressed and respected’, and which largely informed and standardized safeguards reporting through countries’ SOIs.⁴

6.2 GCF’s Environmental and Social Standards and relevant policies

Following its mandate as the financial mechanism of the UNFCCC, the GCF is committed to preventing and/or managing environmental and social risks and impacts, while actively pursuing environmental and social improvements across all GCF-financed activities. To do so, the GCF adopted the International Financial Corporation (IFC) Performance Standards on Environmental and Social Sustainability as their interim framework.

The IFC Performance Standards encompass eight (8) Performance Standards (see Table 17) that cover key environmental and social considerations be safeguarded when designing and implementing a project or program, including: assessment and management of environmental and social risks and impacts; labor and working conditions; resource efficiency and pollution prevention; community health, safety, and security; land acquisition and involuntary resettlement; biodiversity conservation and sustainable management of living natural resources; Indigenous Peoples; and cultural heritage.

Moreover, the GCF has developed and adopted a series of policies that all accredited entities shall comply with:

- **GCF Revised Environmental and Social Policy:** requires that the accredited entities provide and implement the environmental and social management system to manage the environmental and social risks and impacts associated with the activities, allow meaningful and inclusive multi-stakeholder consultation and engagement throughout the lifecycle of activities and that the activities proposed for GCF financing are properly screened, assigned appropriate environmental and social risk categories and that the environmental and social risks and impacts are properly and sufficiently assessed.
- **GCF Indigenous People Policy:** recognizes that Indigenous Peoples often have identities and aspirations that are distinct from mainstream groups in national societies and are disadvantaged by traditional models of mitigation, adaptation, and development. In many instances, they are among the most economically marginalized and vulnerable segments of the population, and in many cases, they do not receive equitable access to project benefits, or benefits are not devised or delivered in a form that is culturally appropriate. The economic, social, and legal status of Indigenous Peoples frequently limit their capacity to defend their rights to, and interests in, land, territories, and natural and cultural resources, and may restrict their ability to participate in and benefit from development initiatives and climate change actions (see Box 2 for more).

⁴ Rey Christen, D., García Espinosa, M., Reumann, A., & Puri, J. 2020. Results Based Payments for REDD+ under the Green Climate Fund: Lessons Learned on Social, Environmental and Governance Safeguards. *Forests*, 11(12), 1350. Oxford, United Kingdom. Available at: <https://www.mdpi.com/1999-4907/11/12/1350>

- **GCF Gender Policy:** reinforces the responsiveness of GCF to the culturally diverse context of gender equality to better address and account for the links between gender equality and climate change.
- **GCF Revised Policy on the Prevention and Protection from Sexual Exploitation, Sexual Abuse, and Sexual Harassment:** sets clear obligations for GCF-project related persons to prevent and respond to SEAH and to refrain from condoning, encouraging, participating in, or engaging in SEAH.
- **GCF Policy on the Protection of Whistle blowers and Witness:** to empower GCF project related persons to report suspicions of wrongdoing in good faith and without fear of retaliation so that the GCF can effectively protect its interests, resources and mission.
- **GCF Policy on Prohibited Activities:** prohibits GCF-project related persons to engage in: corrupt, fraudulent, coercive, collusive, or obstructive practices; or abuse, etc. to maintain the highest levels of integrity, accountability and efficiency. Prohibited activities as per the policy constitute an integral part of the ESS framework applicable to this ESMF (see Table 14).

Table 14 GCF's Prohibited Practices

Prohibited Practice	Description
Corruption or Corrupt practice	Means the promise, offering, giving, receiving, or soliciting, directly or indirectly, anything of value (including but not limited to gifts, gratuities, entertainments, favours, invitations, and benefits of any kind) or any undue advantage, or any act or omission that involves the abuse of authority or functions, for the purpose of influencing or to causing to influence improperly the actions of another party, or for the purpose of obtaining an undue advantage for oneself or for another party.
Fraud or Fraudulent practice	Means any act or omission, including misrepresentation or concealing material fact, that knowingly or recklessly misleads, or attempts to mislead, a party for the purpose of obtaining a financial or other undue advantage for oneself or for a third party, or to avoid an obligation.
Coercion or Coercive practice	Means the impairing or harming, or threatening to impair or harm, directly or indirectly, any party or the property of the party for the purpose of improperly influencing the actions of a party.
Collusion or Collusive practice	Means an arrangement between two or more parties designed to achieve an improper purpose, including for the purpose of improperly influencing the actions of another party.
Obstructive practice	Includes: i) Deliberately destroying, falsifying, altering, concealing, or unreasonably withholding evidence or other requested information, documents or records, which are material to a Fund investigation; ii) Making false statements to investigators in order to materially impede a Fund investigation; iii) Threatening, harassing, or intimidating any party to prevent it from disclosing its knowledge of matters relevant to a Fund investigation or from pursuing a Fund investigation; or iv) Materially impeding the Fund's contractual rights of audit or access to information.
Abuse	Means theft, misappropriation, waste or improper use of property or assets related to a Fund-related Activity, either committed intentionally or through reckless disregard.
Money Laundering	Refers to: i) the conversion or transfer of property, knowing that such property is derived from the crime, for the purpose of concealing or disguising the illicit origin of the property or of assisting any person who is involved in the commission of the crime to evade the legal consequences of his or her actions; ii) the concealment or disguise of the true nature, source, location, disposition, movement, rights with respect to, or ownership of or rights with respect to property, knowing such property is derived from crime; or iii) the acquisition, possession or use of property knowing at the time of receipt such property was derived from a criminal offence.
Retaliation against Whistleblowers or Witnesses	Means any detrimental act, direct or indirect, recommended, threatened or taken against a Whistleblower or Witness, or person associated with a Whistleblower or Witness, because of his or her report of suspected Wrongdoing or cooperation with a Fund investigation by the Whistle-blower or Witness.
Financing of Terrorism or Terrorist Financing	Means the commission of any offence as set out in Article 2 of the International Convention for the Suppression of the Financing of Terrorism.

Source: Authors' own elaboration, adapted from GCF's Policy on Prohibited Practices (2019). Available on: <https://www.greenclimate.fund/document/policy-prohibited-practices#:~:text=Establishes%20the%20specific%20conduct%20and,occurred%20in%20Fund%2Drelated%20Activities.>

The GCF's Indigenous Peoples Policy, when describing its scope of application, refers to the term indigenous peoples as *'used in a generic sense to refer to a distinct social and cultural group possessing the following characteristics in varying degrees:*

- a) Self-identification as members of a distinct indigenous social and cultural group and recognition of this identity by others;*
- b) Collective attachment to geographically distinct habitats, ancestral territories, or areas of seasonal use or occupation as well as to the natural resources in these areas;*
- c) Customary cultural, economic, social, or political systems that are distinct or separate from those of the mainstream society or culture; and*
- d) A distinct language or dialect, often different from the official language or languages of the country or region in which they reside. This includes a language or dialect that has existed but does not exist now due to impacts that have made it difficult for a community or group to maintain a distinct language or dialect.'*

The IP Policy underscores it will *'take into account commonly accepted and applied criteria for identifying indigenous peoples, respecting self-identification as indigenous or tribal as a fundamental criterion'* when defining the scope of application of the Policy. The Policy further clarifies that *'in some countries, such groups are referred to as indigenous peoples. In other countries, they may be referred to by other terms, such as "indigenous peoples and local communities", "local communities", "sub-Saharan African historically underserved traditional local communities", "indigenous ethnic minorities", "Afro-descendent communities of South America and the Caribbean", "ethnic groups", "aboriginals", "hill tribes", "vulnerable and marginalized groups", "minority nationalities", "scheduled tribes", "first nations", "tribal groups", "pastoralists", "hunter-gatherers", "nomadic groups" or "forest dwellers".'*

The IP Policy will apply to all such groups regardless of which the terminology used, and *'whenever indigenous peoples are present in, have, or had a collective attachment or right to areas where GCF-financed activities will be implemented. This includes indigenous peoples who, during the lifetime of members of the community or group, have lost collective attachment to distinct habitats or ancestral territories in the project area because of forced severance, conflict, government resettlement programs, dispossession of their land, natural disasters, or incorporation of such territories into an urban area.'*

Moreover, the IP Policy will apply *'regardless of whether indigenous peoples are affected positively or negatively, and regardless of the significance of any such impacts'* and its application *'will not be limited by the absence of legal recognition or identification of indigenous peoples by a state'* nor it will be *'limited by the legal status of titling of indigenous lands, resources and territories.'*

Source: Authors' own elaboration based on GCF. 2018. Indigenous Peoples Policy. In Proceedings of the Board Meeting on its Nineteenth meeting, 26 February – 01 March 2018. Songdo, Korea. Available at: <https://www.greenclimate.fund/sites/default/files/document/ip-policy.pdf>

6.3 FAO's Framework for Environment and Social Management

FAO's Strategic Framework 2022–2031 is consistent with the 2030 Agenda and the Sustainable Development Goals (SDGs), and seeks to support a transition to more efficient, inclusive, resilient and sustainable agrifood systems, which in turn foster better production, better nutrition, a better environment, and a better life, leaving no one behind. **Better production** requires a shift in consumption and production patterns through more sustainable, efficient, inclusive and resilient food and agriculture supply chains at both the local, regional and global levels. **Better environment**, on the other hand, entails protecting, conserving, restoring and regenerating ecosystems, while promoting their sustainable use, in a manner that is consistent with global objectives to adapt to and mitigate climate change, ultimately fostering inclusive economic growth while reducing inequalities towards a **better life**. FAO is therefore committed to mainstreaming sustainability across its programming, including through the development and application of methodologies, guidelines, indicators, policies, investment plans, programmes and governance mechanisms that are both gender sensitive and inclusive. To do so, FAO has in place an environmental and social risk management system geared at strengthening the inclusiveness, resilience, sustainability and accountability across its programming.

In 2022, following the revision of its 2015 Environmental and Social Management Guidelines, FAO adopted its Framework for Environmental and Social Management (**FESM**), which establishes broader environmental and social performance requirements for FAO programming, consistent with the United Nations Environmental Management Group's Model Approach⁵. FAO's FESM seeks to strengthen and streamline a human rights-based approach and other guiding principles (Table 15) across FAO's programming to ensure that both people and the environment are protected from any potential adverse impacts while promoting stakeholders' active participation, as well as their access to effective channels to voice their concerns and interests.

Table 15 FAO's Framework for Environmental and Social Management: Guiding Principles

Guiding Principle	Description
Leave No One Behind	Prioritizes addressing the needs of marginalized, vulnerable, or disadvantaged populations, ensuring that project benefits are distributed equitably, with particular attention to promoting fair access to development resources.
Human Rights-Based Approach	Embeds human rights standards in all programming phases, based on the Universal Declaration of Human Rights and other international instruments. Emphasizes developing capacities of rights-holders to claim rights and of duty-bearers to fulfill obligations, especially concerning the rights of Indigenous Peoples.
Environmental Sustainability	Commits to minimizing environmental harm and promoting sustainable natural resource use to preserve biodiversity and ecosystem services. Aims to balance food security with ecosystem preservation.
Gender Equality and Social Inclusion	Promotes gender equality and protects marginalized groups from project-related harm, advocating equal access to resources, decision-making, and benefits for women and vulnerable communities.
Integrity and Accountability	Strengthens transparency and accountability in project activities, including establishing fair grievance mechanisms and ensuring active, inclusive stakeholder participation.
Principle of Free, Prior, and Informed Consent (FPIC)	Recognizes Indigenous Peoples' right to make informed decisions about project activities that may affect their lands, territories, and resources, allowing them to give or withhold consent at any stage of a project.
Prevention of Sexual Exploitation, Abuse, and Harassment	Enforces zero tolerance for sexual exploitation, abuse, and harassment in all FAO-supported projects, requiring preventive and responsive measures to protect all project stakeholders, with special protocols for addressing gender-based violence risks.
Sustainability and Resilience	Emphasizes sustainable practices in agrifood systems to support long-term resilience, especially in vulnerable communities. Aims to foster adaptable systems through risk-informed and integrated approaches that address social, economic, and environmental factors in a balanced manner.
Accountability to Affected Populations	Defines accountability as a commitment to respect and respond to the needs of affected populations, including providing transparent feedback, respecting rights, and ensuring fair and accessible grievance processes. Recognizes the importance of equal access to assistance and benefits.

Source: Author's own elaboration, adapted from FAO's FESM.

Altogether, the revised guiding principles, two operational pillars (**ESOP**) and nine environmental and social standards (**ESS**) constitute FAO's Framework for Environmental and Social Management, the FESM, and outline mandatory requirements associated to the identification, assessment and management of a diversity of potential environmental and social risks and impacts associated with programmes and projects

⁵ The UN's Environmental Management Group's is an interagency group that included FAO, International Labour Organization, United Nations Environment Programme, United Nations High Commissioner for Refugees, United Nations Children's Fund, United Nations Industrial Development Organization, United Nations Office for Project Services, UN-Habitat, and World Food Programme.

supported and implemented by FAO. The FESM, as per FAO's accreditation under as an international accredited entity under the GCF, are fully consistent with the GCF's Environmental and Social Standards, and the Indigenous Peoples, Gender and Prohibited Practices Policies, and the IFC's Performance Standards.

FAO's Environmental and Social Operational Pillars and Standards

Environmental and Social Operational Pillar 1 (ESOP 1), ***Screening, assessment, management of environmental and social risks and impacts***, defines the guidelines for risk screening and categorization, along with procedures and management requirements according to the risk level established for a programme or project, as per the application of the Screening Checklist. Moreover, ESOP 1 is envisioned as an overarching procedural pillar of the FESM, geared at identifying, evaluating and managing environmental and social risks, impacts and opportunities according to all nine (9) environmental and social standards – ESS.

Environmental and Social Operational Pillar (ESOP 2), ***Stakeholder engagement, information disclosure, and grievance, conflict resolution and accountability mechanisms***, establishes a three-fold approach and ongoing principles to ensure that all stakeholders have meaningful, informed, and effective participation throughout the development and execution of FAO programs and projects, as well as access to grievance, conflict-resolution, and accountability processes to help prevent and address adverse impacts (see Table 16).

Table 16 Requirements of FAO's Environmental and Social Operational Pillar 2 - stakeholder engagement, information disclosure, and grievance, conflict resolution and accountability mechanisms

Stakeholder engagement	Stakeholder engagement is an ongoing process throughout the programming or project cycle from planning to monitoring, and which entails timely disclosure of relevant, accessible information on the programming activities; and meaningful consultations and participation of all relevant stakeholders.
Information Disclosure	Disclosure of programme and project information is essential to enable meaningful and effective stakeholders' participation in both project consultations and throughout its implementation, including in relation to potential environmental and social risks, impacts and benefits. FAO will disclose information related to environmental and social risks and impacts for all moderate and high-risk projects and may disclose such information for low-risk projects if warranted.
Grievance mechanisms and conflict resolution processes	All stakeholders involved in or affected by FAO supported activities have a right to express their opinions, whether positive or negative. Grievance mechanisms are essential to ensure stakeholders have fair, transparent, inclusive and no-cost access to processes and mechanisms to redress grievances and resolve conflicts, in a timely and effective manner. FAO's programmes or projects should ensure grievance, feedback and complaint mechanisms are legitimate, accessible, predictable, equitable, transparent, rights-compatible, open to continuous learning, confidential.

Source: Author's own elaboration, based on FAO. 2022. Framework for Environmental and Social Management. Rome, Italy. Available online: <https://openknowledge.fao.org/server/api/core/bitstreams/ec26b74f-4470-4e40-a7c6-aa07d7c96f6f/content>

FAO's FESM is composed by nine (9) Environmental and Social Standards, the ESS, aimed at preventing, reducing, or managing environmental and social risks and impacts in programs and projects. Where specific

risks or impacts are identified during the screening and assessment of a program or project, relevant ESS requirements and management measures are applied. Table 17 outlines the objectives of each of FAO's FESM ESS in more detail, and Table 18 presents a reconciliation of each ESS with the IFC's Performance Standards, serving as the GCF's environmental and social standards.

Table 17 FAO's Environmental and Social Standards

FAO's Environmental and Social Standards	Overview on ESS Objectives
ESS 1 Biodiversity conservation, and sustainable management of natural resources	• Safeguard biodiversity and prevent harmful practices in agriculture, forestry, fisheries, and wildlife management that could damage ecosystems, ecosystem services, habitats, or genetic resources. • Promote responsible governance of natural resources, acknowledging the critical role of women, Indigenous Peoples, and local communities in ecosystem conservation. • Ensure fair distribution of benefits from genetic resource use. • Respect and preserve Indigenous knowledge, innovations, and practices that aid biodiversity conservation and sustainable resource use. • Support sustainable resource use in post-conflict and emergency contexts to help stabilize and prevent renewed conflict.
ESS 2 Resource efficiency and pollution prevention and management	• Prevent and reduce pollution effects on human health and the environment. Encourage efficient, equitable access to and use of resources (energy, water, land, soil, chemicals, forests, oceans) for both women and men. • Support Integrated Pest Management (IPM) to decrease pesticide dependence, promoting safe agricultural practices in line with FAO/WHO standards to protect farming communities, consumers, and the environment. • Promote Integrated Soil Fertility Management (ISFM) through diverse farming methods and agro-forestry, using locally sourced nutrients to prevent environmental harm and reduce costs for farmers, following FAO's Fertilizer Code of Conduct. • Limit emissions of short- and long-lived climate pollutants, including black carbon, methane, carbon dioxide, and ozone-depleting substances. • Minimize hazardous and non-hazardous waste production, adopting a human rights-based approach for managing and safely disposing of hazardous substances, including agrochemicals.
ESS 3 Climate change and disaster risk reduction	• Minimize greenhouse gas emissions and enhance and maintain carbon sinks. • Ensure all programmes and projects integrate climate change and disaster risk considerations. • Climate-proof FAO's programming through climate-resilient measures, climate change mitigation, adaptation and disaster risk reduction, reducing exposure and vulnerability of communities and their livelihoods to the impacts of climate change and disaster risks. • Strengthen low-carbon and resilient agrifood systems to address both the risks associated with climate change and its impact on people, livelihoods, food security and nutrition.
ESS 4 Decent work	• Promote and foster decent employment. • Promote, respect and realize fundamental principles and rights at work, including through: freedom of association and recognition of the right to collective bargaining; preventing child labour and forced labour; promote fair treatment, non-discrimination and equal opportunities to all workers; and, protecting and supporting workers, particularly those at heightened risk. • Protect and promote workers' safety and health. • Ensure compliance with national employment and labour laws and international commitments. • Have in place effective measures to address emergency events, whether human-made or natural hazards. • Leave no one behind when protecting and supporting workers with a special focus, as appropriate, on women, young and migrant workers, workers in the informal economy, and those with disabilities.
ESS 5 Community health, safety and security	• Anticipate and avoid adverse impacts on health, safety and livelihoods of relevant stakeholders. • Ensure quality and safety in the design and construction of infrastructure associated to FAO's programmes and projects and prevent and minimize potential safety risks and accidents. • Avoid or minimize stakeholders' exposure to disaster risks, diseases and hazardous materials associated to FAO programmes and projects. • Ensure that the safeguarding of personnel and property minimizes risks to communities, and in accordance with international human rights standards and principles.

ESS 6 Gender equality and prevention of gender-based violence (GBV)	• Promote Women's Participation and Leadership, encouraging women and girls to take active roles in local institutions and organizations, and in decision-making. • Ensure equal access to resources, both agricultural and natural resources (i.e. land, water, livestock, equipment, seeds, fertilizers), essential for them to benefit from work. • Provide equal access to support services, addressing the gender gap, facilitating equal access to agricultural support services (advisory, financial, and business development, technology transfer and adoption). • Enable market access and employment, promoting equal income opportunities, market access and decent jobs for all. • Reduce Women's Work Burden and prevent interventions from unintentionally increasing women's work burden or time poverty. • Avoid or minimize the risk to build or reinforcing discriminatory norms and attitudes that undermine women's position and decision-making power. • Prevent, mitigate, and respond to the risk of gender-based violence (GBV), ensuring timely and accessible support services for GBV cases, including in relation to sexual exploitation and abuse.
ESS 7 Land tenure, displacement, and resettlement	• Avoid, or where unavoidable, minimize and address negative impacts from the acquisition of land or other natural resources, or restrictions on their use. Forbid forced evictions in all cases. • Design and carry out resettlement activities as part of development activities, when appropriate, ensuring that sufficient resources are available to enable affected people to benefit directly from the proposed programmes and projects. • Design and execute said resettlement efforts in close collaboration with the affected people, ensuring their informed and meaningful participation. • Safeguard tenure rights, including customary or Indigenous tenure rights even when not formally recognized by law, when granting or recognizing tenure rights to land or natural resources in the context of the programme or project. • Improve or restore the livelihoods and living standards of individuals, with a focus on the improvement of socio-economic conditions of those impoverished, marginalized, and vulnerable groups affected by land acquisition, investment, or land reform projects. • Acknowledge all users with legitimate land and resource claims, including those with informal or customary tenure. • Ensure that functioning grievance mechanisms are in place and accessible to stakeholders, enabling timely and effective communication, documentation and resolution of grievances.
ESS 8 Indigenous Peoples	• Recognize and fully respect the rights, dignity, culture, autonomy, and identity of Indigenous Peoples, recognizing their unique traditions and aspirations. • Avoid adverse impacts from FAO-supported activities on Indigenous Peoples and mitigate or remedy impacts if avoidance is impossible. • Support Indigenous Peoples' rights to self-determination and development in respect and accordance to their culture and identity. • Recognize and uphold Indigenous Peoples' rights to the lands, territories, and resources they have traditionally owned or occupied. • Protect and respect Indigenous culture, knowledge, and practices, allowing Indigenous Peoples to adapt to changing conditions in a manner and timeframes that is acceptable for them. • Design and implement programmes and projects in partnership with Indigenous Peoples, ensuring their full, effective and meaningful consultations and participation, consistent with the principle of Free, Prior, and Informed Consent (FPIC) before starting activities. • Ensure Indigenous Peoples receive fair and benefits and opportunities from project activities, in a manner that is inclusive and culturally appropriate, with emphasis on gender equality. • Support countries in respecting and fulfilling Indigenous Peoples' rights. • Protect cultural heritage from harm or misuse, promote its preservation, and ensure meaningful consultations and equitable access to the benefits in relation to the preservation, protection, utilization and/ or management of cultural heritage in the context of FAO programmes / projects.
ESS 9 Cultural Heritage	• Protect cultural heritage - including oral traditions and expressions; performing acts; social practices, rituals and festive events; food heritage and territorial diets; knowledge and practices; and traditional craftsmanship - from harm, inappropriate alteration, disruption, removal, or misuse, and support its preservation, safeguarding and protection. • Ensure equitable sharing of benefits resulting from the integration or use of cultural heritage. • Foster inclusive and meaningful consultation with stakeholders, including women and youth, regarding the preservation, protection, use and management of cultural heritage.

Source: Author's own elaboration, based on FAO. 2022. Framework for Environmental and Social Management.

Table 18 Harmonization between FAO's FESM and the GCF's Environmental and Social Safeguards / IFC's Performance Standards⁶

FAO's Environmental and Social Operational Pillars and Standards	GCF's Environmental and Social Safeguards / IFC's Performance Standards
ESOP1 Screening, assessment, management of environmental and social risks and impacts	PS1
ESOP 2 Stakeholder engagement, information disclosure, and grievance, conflict resolution and accountability mechanisms	PS1
ESS 1 Biodiversity conservation, and sustainable management of natural resources	PS5
ESS 2 Resource efficiency and pollution prevention and management	PS1, PS3
ESS 3 Climate change and disaster risk reduction	PS1, PS3, PS4
ESS 4 Decent work	PS1, PS2
ESS 5 Community health, safety and security	PS1, PS4
ESS 6 Gender equality and prevention of gender-based violence (GBV)	PS1, PS2, PS5, PS7
ESS 7 Land tenure, displacement, and resettlement	PS1, PS5, PS7
ESS 8 Indigenous Peoples	PS1, PS5, PS7
ESS 9 Cultural Heritage	PS7, PS8

Source: Authors' own elaboration

FAO's Exclusion List

FAO's FESM includes a comprehensive exclusion list, which similarly describes a series of activities that will not, directly or indirectly, be supported through FAO's programming (Box 3). Similarly, as also stated in the FESM, additional exclusions may apply in the context of a specific programme or project, as a result of dedicated risk screening at the project and on-the-ground activity levels, as appropriate.

Box 3 Exclusion List in FAO's Framework for Environmental and Social Management

'FAO will not knowingly support, directly or indirectly, projects involved in activities, production, trade, or use of the products, or substances listed below.' • Harmful or exploitative forms of child labour. • Harmful or exploitative forms of forced labour. • Forced evictions without the provision of and access to appropriate forms of legal and other protection. • Activities that result in the exploitation of and access to outsiders to the lands and territories of Indigenous Peoples in voluntary isolation and in initial contact. • Destruction of protected areas or other high biodiversity and High Conservation Value areas • Construction or financing of dams over 15 m in height. • Activities that are illegal under host country laws, regulations or ratified international conventions and agreements relating to biodiversity protection or cultural heritage.

⁶ IFC. 2012. International Finance Corporation's Performance Standards. Washington, DC. United States. Available at: <https://www.ifc.org/content/dam/ifc/doc/2010/2012-ifc-performance-standards-en.pdf>

- Activities or materials deemed illegal under host country laws or regulations or international conventions and agreements, such as:
 - products that contain any substances that are banned for use or trade under applicable international treaties and agreements, or meet the criteria of carcinogenicity, mutagenicity, or reproductive toxicity as set forth by relevant international agencies; and
 - wildlife or products regulated under the Convention on International Trade in Endangered Species or Wild Fauna and Flora (CITES).
- Cross-border trade in waste and waste products, unless compliant to the Basel Convention and the underlying regulations.
- Trade related to pornography and/or prostitution.
- Production and distribution of racist and discriminatory media.
- Project's activities for which any of the following products is having a primary role:
 - production, use or trade in radioactive materials¹ and unbounded asbestos fibres or asbestos-containing products;
 - blast fishing and large-scale pelagic drift net fishing using nets in excess of 2.5 km in length;
 - production or trade in alcoholic beverages (except beer and wine) and tobacco; o production, use, trade or distribution of weapons and munitions; and
 - gambling, casinos or equivalent enterprises.

Source: Author's own elaboration, based on FAO. 2022. Framework for Environmental and Social Management.

7. Environmental and social potential risks and management measures for the RBP project proposal

Consistent with its FESM, and in compliance with its accreditation requirements as an Accredited Entity under the GCF, FAO is committed to early and on-going identification, assessment and management of environmental and social risks and impacts, while promoting sound environmental and social performance throughout the lifecycle of its programming. On-going *identification, evaluation, and avoidance of significant adverse environmental and socio-economic impacts associated with programming activities throughout the project cycle*, as well as the *identification, implementation, monitoring and reporting of commensurate management measures*, where avoidance of adverse impacts is not possible, are at the core of FAO's FESM.

Building on Mexico's analytical, participatory and inclusive processes to identify potential social and environmental risks associated to the national REDD+ strategy and associated safeguards instruments – thoroughly examined in section 3 above and in Annex 4.1 to the RBP proposal, and consistent with the GCF's Policy for results-based payments for REDD+, this and subsequent sections present the results of the environmental and social diligence assessment prepared by FAO, for the reinvestment of the proceeds, and constitutes the environmental and social management framework, the ESMF, for this RBP proposal. This ESMF describes how environmental and social risks and impacts associated to the activities to be supported by the RBP proceeds have been, and will continue to be, identified, assessed and managed in a manner consistent with the GCF Revised Environmental and Social Policy and ESS standards, including the GCF's IP, Gender and Prohibited Practices Policies, while remaining anchored to the Cancun Safeguards and the country's own national interpretation.

Following the application of FAO's environmental and social risk screening checklist to the proposed RBP (Annex 1), section 7.1. details the risk category assigned to the proposed RBP proposal. Similarly, consistent with the GCF's REDD+ policy, section 7.2. provides a comprehensive overview on the potential environmental and social risks associated to this RBP proposal and the associated management procedures to guide the on-going screening, identification, assessment, and management of environmental, social and governance potential impacts, risks [and opportunities] relevant to REDD+ in Mexico, at both programmatic and on-the-ground implementation levels. A comprehensive environmental and social management matrix (Annex 2) has been established to support the implementation, oversight and reporting on this ESMF.

It is important to note that the risk assessment and the Environmental and Social Management Matrix (Annex 2) were reviewed and updated following the territorial consultation process carried out as part of the project design phase. Through these consultations, stakeholders participated in the identification and validation of potential environmental and social risks, opportunities, and mitigation measures associated with the proposed interventions. The feedback received confirmed the relevance of several risks previously identified during project preparation and generated additional recommendations that influenced both the design of the project and the measures included in the Matrix. As a result, the project's risk management approach reflects not only technical assessments but also the perspectives, knowledge, and priorities of local stakeholders, including Indigenous Peoples, Afro-Mexican communities, producers, women, youth, and other territorial actors.

Section 7.2.1 examines implementation of this ESMF and supporting safeguards instruments in the context of on-the-ground activities to be supported by the GCF proceeds. Noting that specific details to operationalize on-the-ground implementation with the RBP proceeds together with a detailed and actionable ESMP will be refined only upon project inception, this ESMF and supporting instruments will be refined under a detailed and actionable ESMP in a way that ultimately streamline relevant risks, exclusion activities, as well as management measures and procedures as part of the design of the terms, conditions and standardized operational procedures for the implementation of on the ground activities. With this, the RBP proposal and this ESMF are geared at not only preventing – and managing when avoidance is not possible - potential risks associated to on-the-ground implementation but also to ensure the RBP project is actively prioritizing the reinvestment of GCF proceeds in sustainable small-scale and low-risk interventions.

Potential risks and management measures related to stakeholder engagement, consultations and participation are examined in more detail in the standalone SEP already prepared for the RBP proposal (Annex 5). Potential risks and management measures relevant to Indigenous Peoples will be further examined in a standalone IPP to be developed during the project inception phase, in accordance with the GCF Indigenous Peoples Policy, FAO's ESS 8 and the requirements established under this ESMF.

A zero-tolerance policy on Gender-based Violence - GBV - and Sexual Exploitation, Abuse and Harassment -SEAH - will be ensured throughout project implementation and streamlined in project documents and operational instruments, and so standalone yet complementary Gender Assessment and Gender Action Plan (Annex 6) has been prepared. Nevertheless, all potential risks and management measures have been integrated in this ESMF's environmental and social management matrix so that it serves as a unified environmental and social management tool for the RBP proposal consistent with both the GCF's ESS, IP, Gender and Prohibited Practices Policies.

Built upon the country's own national interpretation of the Cancun Safeguards, and reconciled with FAO's Environmental and Social Operational Policies (ESOPs) and Environmental and Social Standards (ESS), an integrated safeguards framework has been established as the basis for this ESMF and its environmental and social management matrix. Such integrated environmental, social and governance (ESG) safeguards framework is conceived to provide a fit-for-purpose safeguards framework that simultaneously ensures conformance with and reporting on relevant safeguards and policies, while remaining anchored in the national safeguards' framework for REDD+ (Table 18).

All proposed activities will be screened in accordance with FAO's Environmental and Social Screening Checklist and the project Exclusion List prior to implementation.

Table 18. Integrated Environmental and Social Safeguard and Standards Framework applicable to this RBP Funding Proposal

Cancun Safeguards	Mexico's integrated Environmental, Social and Governance Safeguards Framework		
	Mexico's Interpretation of the Safeguard	Core elements	Relevant FAO FESM requirements (Guiding principles, ESOP 1-2, ESS 1-9)
A) That actions complement or are consistent with the objectives of national forest programs and relevant international conventions and agreements.	The National REDD+ Strategy (ENAREDD+) is aligned and consistent with national forest policy, and sustainable rural development and climate change policy, as well as with	A.1. Complementarity or consistency of the ENAREDD+ with the objectives of national forest, sustainable rural development, and climate change policies.	N/A

	the objectives of international conventions and agreements to which Mexico is a party.	A.2. Complementarity or consistency of the ENAREDD+ with the objectives of relevant and applicable international conventions and agreements.	FESM Guiding Principles: Accountability.
B) Transparent and effective national forest governance structures, taking into account national legislation and sovereignty.	Transparency, comprising the right of access to information, proactive transparency, accountability, and anti-corruption measures, is ensured within the scope of ENAREDD+ implementation. In addition, sound decision-making and the right of access to justice are supported through conflict resolution mechanisms across different levels of government in the implementation of ENAREDD+.	B.1. Transparency is ensured in the implementation of the ENAREDD+	ESOP 2. Information Disclosure
		B.2. Sound decision-making is ensured at the federal, state, municipal, and local levels within the context of ENAREDD+ implementation.	ESOP 2. Stakeholder engagement and Information Disclosure
		B.3. Access to justice through conflict resolution mechanisms is ensured within the context of ENAREDD+ implementation.	FESM Guiding Principles: Accountability ESOP 2. Grievance Mechanism and conflict resolution process, ESS 4, ESS, 7, ESS 8.
		B.4. Accountability and anti-corruption measures are ensured within the scope of ENAREDD+ implementation.	FESM Guiding Principles: Accountability GCF's prohibited practices.
C) Respect for the knowledge and rights of indigenous peoples and members of local communities, taking into account relevant international obligations, national circumstances and legal frameworks, and noting that the United Nations General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples.	The recognition and respect of the rights of Indigenous Peoples, Afro-descendant peoples, ejidos, and communities are ensured within the context of ENAREDD+ implementation, in accordance with the applicable national and international legal framework, as set out in Articles 1 and 2 of the Political Constitution of the United Mexican States.	C.1. The recognition and respect of the rights and knowledge of Indigenous Peoples, Afro-descendant peoples, ejidos, and communities are ensured within the context of ENAREDD+ implementation, in accordance with the applicable national and international legal framework, as set out in Articles 1 and 2 of the Political Constitution of the United Mexican States.	ESS 8 Indigenous Peoples ESS 9 Cultural Heritage FESM Guiding Principles: Leave No one Behind, Human Rights-based Approach, FPIC.
D) The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities, in the REDD+ actions (referred to in paragraphs 70 and 72 of Decision 1/CP.16).	An enabling environment is in place that ensures the full and effective participation of stakeholders, in particular Indigenous Peoples, Afro-descendant peoples, ejidos, and communities, through appropriate and culturally relevant mechanisms and procedures, and promotes gender equality within the context of ENAREDD+ implementation.	D.1. The recognition and regulation of mechanisms for participation in decision-making are ensured within the context of ENAREDD+ implementation.	FESM Guiding Principles: Leave No one Behind, Accountability. ESOP 2. Stakeholder engagement ESS 6, ESS 7, ESS 8, ESS 9.
		D.2. The recognition and respect of the right of forest ecosystem owners, holders, and users, particularly Indigenous Peoples, Afro-descendant Peoples, ejidos, and communities, to participate in decision-making are ensured within the context of the design	FESM Guiding Principles: Leave No one Behind, Accountability. ESOP 2. Stakeholder engagement, FPIC. ESS 6, ESS 7, ESS 8, ESS 9.

		and implementation of ENAREDD+.	
		D.3. Gender equality is recognized and promoted in decision-making, and is ensured within the context of the design and implementation of ENAREDD+.	FESM Guiding Principles: Leave No one Behind, Human Rights-Based Approach. ESOP 2. Stakeholder engagement ESS 6 Gender equality and prevention of gender-based violence.
E) That actions are consistent with the conservation of natural forests and biological diversity, ensuring that the REDD+ actions (referred to in paragraph 70 of Decision 1/CP.16) are not used for the conversion of natural forests, but are instead used to incentivize the protection and conservation of natural forests and their ecosystem services, and to enhance other social and environmental benefits, taking into account the need for sustainable livelihoods of indigenous peoples and local communities and their interdependence on forests in most countries, reflected in the United Nations Declaration on the Rights of Indigenous Peoples, as well as the International Mother Earth Day.	The consistency of ENAREDD+ with sustainable forest management and the conservation of natural forests and biodiversity, ensuring the avoidance of the conversion of natural forests, and promoting environmental and social benefits.	E.1. The consistency of ENAREDD+ with sustainable forest management and the conservation of natural forests and biodiversity. E.2. The promotion of social and environmental benefits is ensured within the context of ENAREDD+ implementation.	ESOP 1 Assessment and Management of environmental risks and impacts. ESS 1 Biodiversity conservation, and sustainable management of natural resources FESM Guiding Principles: Sustainability and resilience ESOP 2. Stakeholder engagement ESS 1 ESS 2, ESS 3, ESS 4, ESS 6, ESS 8, ESS 9 FESM Guiding Principles: Leave No one Behind, Sustainability and resilience, Accountability.
F) Actions to address the risks of reversals.	The management of risks related to reversals is addressed within the context of ENAREDD+ implementation through the promotion of sustainable forest management, monitoring and evaluation of land use and forest cover, and establish measures to prevent illegal activities, forest fires, and other disturbances, thereby contributing to the permanence of emission reductions.	F.1. The management of risks related to reversals is required within the context of ENAREDD+ implementation.	ESOP 1 Assessment and Management of environmental and social risks and impacts. FESM Guiding Principles: Environmental sustainability, Sustainability and resilience,
G) Actions to reduce displacement of emissions.	The management of risks related to leakage (displacement of emissions) is addressed within the context of ENAREDD+ implementation through provisions that promote coordination, including regional approaches, and require monitoring of forest cover and its changes, contributing to reducing	G.1. The management of risks related to leakage (displacement of emissions) is required within the context of ENAREDD+ implementation.	ESOP 1 Assessment and Management of environmental and social risks and impacts. FESM Guiding Principles: Sustainability and resilience,

	the drivers of deforestation and forest degradation.		
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7.1 Potential risks, impacts, gaps and opportunities associated to the RBP project proposal

As established in FAO's ESOP 1, screening, assessment and management refer to a process of identifying, predicting, evaluating and avoiding significant adverse environmental and socio-economic impacts associated with programming activities. ESOP 1 is an overarching procedural pillar of the FESM, geared at identifying, evaluating and managing environmental and social risks, impacts and opportunities according to FAO's Environmental and Social Standards, and supporting the adaptive management of this ESMF and associated management procedures through regular updates and improvements.

Screening is the process of identifying and classifying environmental and social risks associated with individual programmes or projects. It allows the proposed activities to be categorized against FAO's guiding principles and each ESS, and determines the nature and level of environmental and social review and assessment, as well as the management measures required to address identified risks and impacts.

FAO's Environmental and Social Risk Screening Checklist has been applied to guide the risk categorization of the proposed RBP project, based on the significance of potential environmental and social risks, including direct, indirect and cumulative impacts. The complete environmental and social risk screening checklist is included in Annex 1. The screening was informed by the results of the environmental and social due diligence assessment for the results period, the proposed theory of change and use of proceeds, and complementary due diligence undertaken through the preparation of the Stakeholder Engagement Plan and the Gender Assessment and Gender Action Plan. It will also inform the Indigenous Peoples Plan to be developed during the project inception phase.

As a result of applying FAO's Risk Screening Checklist, the proposed RBP project has been classified as moderate risk. In line with ESOP 1, all moderate-risk projects are required to develop and implement appropriate safeguards instruments to manage environmental and social risks. Given that specific activities and intervention sites have not yet been defined for this RBP project, the Environmental and Social Management Framework (ESMF) was selected as the most suitable instrument at this stage. As the definition of activities and sites will take place during the project inception phase, the ESMF will subsequently be refined into a comprehensive and operational Environmental and Social Management Plan (ESMP) prior to implementation.

The project is expected to generate significant environmental and social co-benefits, including reduced pressure on forests, productive restoration, improved land management, strengthened territorial governance, sustainable forest-compatible production systems, improved resilience and enhanced participation of women, Indigenous Peoples, Afro-Mexican peoples and local communities. However, the screening also identified potential risks that require dedicated management measures, particularly in relation to stakeholder engagement and benefit distribution, biodiversity and habitat management, resource efficiency and pollution prevention, decent work, community health and safety, gender equality and GBV/SEAH prevention, land tenure and access to natural resources, Indigenous Peoples and cultural heritage.

The main risks identified are expected to be site-specific, reversible and manageable through established mitigation measures, technical assistance, eligibility criteria, exclusion criteria, participatory procedures, monitoring and grievance redress. This due diligence assessment confirms that no high-risk or Category A activities will be financed under the project. This confirms that the development of an independent environmental and social impact assessment (ESIA) is not required, in accordance with FESM's ESOP 1.

The application of the screening checklist triggered the following standards and policy areas for management under this ESMF: ESOP 2 Stakeholder Engagement; ESS 1 Biodiversity Conservation and Sustainable Management of Natural Resources; ESS 2 Resource Efficiency and Pollution Prevention and Management; ESS 3 Climate Change and Disaster Risk Reduction; ESS 4 Decent Work; ESS 5 Community Health, Safety and Security; ESS 6 Gender Equality and Prevention of Gender-Based Violence; ESS 7 Land Tenure, Displacement and Resettlement; ESS 8 Indigenous Peoples; and ESS 9 Cultural Heritage.

Given that the project will be implemented in states and priority municipalities with the presence of Indigenous Peoples and Afro-Mexican population, and that project activities may affect them, a dedicated safeguards instrument is required. In line with FAO ESS 7, 8 and 9, as well as the objectives and requirements of the GCF IP Policy, a standalone Indigenous Peoples Planning Framework has been developed for the RBP proposal.

Moreover, in line with FAO ESS 6 and the GCF REDD+ Policy, a Gender Assessment and Gender Action Plan must be developed to address gender-related issues. Accordingly, Mexico's RBP proposal is accompanied by a standalone GAAP (Annex 6). Also, consistent with FAO's zero-tolerance policy on gender-based violence (GBV) and sexual exploitation, abuse and harassment (SEAH), these issues are further analysed and addressed in Annex 6.

Lastly, a standalone report has been annexed to the RBP funding proposal, providing a more detailed account on stakeholder engagement and consultations undertaken in preparation of the RBP proposal and this ESMF, including a dedicated stakeholder engagement plan (Annex 5).

These safeguards instruments detailed above will be implemented under the umbrella of this ESMF, and a more detailed ESMP to be refined upon project inception, once details for on-the-ground implementation with the RBP proceeds are further refined.

7.1.1 Exclusion List

Building on the GCF's Policy on Prohibited practices and in FAO's exclusion list and informed by the results of the Checklist and the risk management matrix prepared for this ESMF, a dedicated Exclusion List has been prepared (see Annex 3). The Exclusion List is applicable to all project activities and will be part of the terms and conditions for on-the-ground implementation.

Category A or high-risk activities will not be financed at any time throughout project implementation.

7.2 Environmental and social management measures for the RBP proposal

As examined in section 4, regarding the proposed use of the GCF RBP proceeds, a one-year project inception phase is envisioned to further characterize priority implementation areas and beneficiary groups and refine technical details and standardized procedures for on-the-ground implementation of the GCF proceeds, including the terms, conditions and procedures to guide the operation of the benefit sharing mechanism.

Accordingly, consistent with this ESMF and its management matrix, and consistent with complementary safeguards instruments, the participatory and inclusive processes envisioned throughout the project inception phase will inform the refinement of this ESMF into a comprehensive Environmental and Social Management Plan, the ESMP, including refined and actionable safeguards instruments. The environmental and social risks screening will be updated, as appropriate, as well as the environmental and social management matrix and the Exclusion List will be refined, as required.

The ESMP will include time-bound specific recommendations for avoiding adverse impacts, and where avoidance is not possible, for reducing, mitigating, and managing potential impacts throughout project implementation. By doing so, the RBP proposal is geared at not only preventing potential risks associated to project implementation but ensuring it actively pursues opportunities for environmental and social co-benefits, prioritizing the reinvestment of GCF proceeds in small-scale and low-risk on-the-ground interventions. An indicative outline for the ESMP is included in Annex 4.

The Indigenous Peoples Plan will be produced during the project's inception phase and the, Stakeholder Engagement Plan (Annex 5), and Gender Action Plan (Annex 6) will be revised as necessary, as examined below.

The project will ensure dedicated budget and expertise throughout the project implementation to implement this ESMF and standalone safeguards instruments, which altogether will ultimately streamline relevant ESS management measures and procedures throughout the implementation of GCF proceeds.

7.2.1. Environmental and social management for on-the-ground implementation

Noting that specific details to operationalize on-the-ground implementation with the RBP proceeds together with a detailed and actionable environmental and social management plan, ESMP, will be refined only over the project inception phase, the ESMP and supporting instruments (management matrix, IPP, SEP and GAP) will play a central role to effectively streamline relevant risks, exclusion activities, as well as management measures and procedures as part of the design of the terms, conditions and standardized operational procedures for the implementation of on-the-ground activities.

By design, the RBP proposal is conceived to reinvest GCF proceeds in activities that support productive restoration, silvopastoral and agrosilvopastoral systems, territorial governance, value chains and institutional strengthening in forest-livestock transition areas. On-the-ground activities will be determined on a case-by-case basis once target beneficiaries voluntarily apply to dedicated calls for proposals or other implementation mechanisms to be launched during implementation. The ESMP, the Stakeholder Engagement Plan, the Gender Assessment and Gender Action Plan, and the Indigenous Peoples Plan to be

developed during inception will provide standardized procedures to guide ongoing screening, identification, assessment, management and reporting of environmental, social and governance risks and opportunities relevant to these activities, consistent with this ESMF, the Exclusion List and the comprehensive management measures detailed in the environmental and social management matrix.

As part of the ESMP, a tailored risk screening assessment tool will be integrated as part of the eligibility and assessment procedures for on-the-ground activities, including conformance with the project's Exclusion List. Should the assessment conducted for any of the proposed on-the-ground activities entail the likelihood of any high risk, activities will be deemed as non-eligible. Where risks associated to on-the-ground implementation are identified at any point in time, throughout project implementation, additional to those identified in the ESMF, further assessments and management plans will be established in an adaptive management approach. Detailed environmental and social management plans will only be prepared for activities that are not listed under the ESMF, or that require further assessment. Where any kind of conflict arises at any time, including but not limited to violent incidents, project activities will be put on hold to ensure the safety of all involved stakeholders (project beneficiaries, team, partners, contractors), and a grievance will be recorded (see section 9).

It is worth noting that, on-the-ground activities will be implemented in beneficiaries' forest and/or degraded land *only* on a voluntary basis, upon the entry into operation of the BSS. No land acquisition is envisioned under the project. With this, the proposed RBP aims to prioritize the reinvestment of GCF proceeds in small-scale on-the-ground interventions, which are in nature low risk. Moreover, a zero-tolerance policy on Gender-based Violence (GBV) and Sexual Exploitation, Abuse and Harassment (SEAH) will be ensured throughout project implementation and streamlined in project documents and operational instruments.

The IPP and refined GAAP will include dedicated criteria and procedures to guide the prioritization, design, implementation and monitoring of on-the-ground activities, ensuring the project is implemented in a culturally appropriate manner, respectful of IP and women's rights, including the respect of FPIC and the prevention of GBV and SEAH, ensuring compliance with the GCF's IP and Gender Policies in the context of on-the-ground implementation.

7.2.2. Issues on indigenous peoples and IPPF

In compliance with FAO's ESS 7, 8, 9, and as established in the GCF's REDD+ Policy, as part of its due diligence report(s) and funding proposal, the AE shall describe how the activities will meet the objectives and requirements of the GCF's IP Policy, and where applicable, a standalone Indigenous Peoples' Planning Framework shall be developed. Accordingly, a standalone IPPF has been developed during the RBP proposal's design phase and an actionable Project-level IPP will be developed during inception phase. The IPPF provides detailed account on the rights to the land and forest resources, respect and promotion of traditional knowledge, and the right to participate in and benefit from resource management of Indigenous Peoples and Afro-Mexican population in the context of the National REDD+ Strategy, including to ensure effective consultations where project on-the-ground activities impact them directly or indirectly.

The IPPF was informed by this ESMF and the due diligence assessment undertaken for the results period (Annex 4.1 to this RBP proposal), and so builds on previous identification, engagement and consultations efforts with Indigenous Peoples and Afro-Mexican population in Mexico, including but not limited to the REDD+ strategy and the REDD+ readiness phase. The IPPF was also informed by the stakeholder engagement processes carried out during the RBP proposal preparation, including national- and state-level consultations and, in particular, the territorial consultation workshops conducted with local stakeholders. These consultations provided valuable inputs on the priorities, concerns, opportunities, and recommendations of Indigenous Peoples and Afro-Mexican communities. The IPPF also examines in detail relevant national policy, legal and regulatory instruments relevant to Indigenous Peoples and Afro-Mexican population in the context of the REDD+ strategy and the proposed RBP proposal, including relevant institutional framework.

Consistent with the ESMF and FAO's risk screening checklist, the IPPF examines in detail remaining gaps and potential risks and impacts relevant to Indigenous Peoples and Afro-Mexican population, building on those identified by this ESMF, and elaborates in more detail in forest resource management experiences in the country involving Indigenous Peoples. It also provides an overview of key considerations for this RBP proposal to ensure that indigenous peoples and Afro-Mexican population can effectively participate in and benefit from the use of REDD+ proceeds and on-the-ground activities.

As aforementioned, the IPPF is conceived under the umbrella of this ESMF, and so relevant potential risks and proposed management measures have been integrated into the project's environmental and social management matrix.

The IPPF will be transformed into a Project-level IPP, over the project inception phase, including detailed criteria and procedures to guide the prioritization, design, implementation and monitoring of on-the-ground activities, ensuring the project is implemented in a culturally appropriate manner, respectful of IP's rights, and ensuring the respect of FPIC, in compliance with the GCF's IP Policy and FAO's 7, 8, 9 in the context of on-the-ground implementation. The Project IPP will be designed to serve as the overarching and adaptive instrument for managing IP issues throughout project implementation. The findings of the screening and consultation process to be conducted during the inception phase as part of the development of the ESMP will be incorporated and reflected through updates to the Project-level IPP and activity-specific implementation measures, ensuring that any new or emerging issues related to Indigenous Peoples and Afro-Mexican population identified during implementation are appropriately addressed. Guidance for the development of the IPP is included in Annex 5 to this ESMF.

7.2.3. Issues on gender and gender-based violence and a Gender Action Plan for the RBP proposal

In compliance with FAO's ESS 6, and as established in the GCF's REDD+ Policy, as part of its due diligence report(s) and funding proposal, the AE shall describe and provide a gender assessment and gender action plan describing how it will address gender issues and demonstrate how it will comply with the Updated Gender Policy in the use of proceeds. Accordingly, Mexico's RBP proposal is accompanied by a standalone Gender Assessment and Gender Action Plan, the GAAP (Annex 6).

The Gender Assessment provides a detailed account on the rights of women, gender equality and social inclusion, including rights to access / own to land and resources, issues on gender equality and gender-based violence and SEAH in the country.

The GAAP has informed both this ESMF and the due diligence assessment undertaken for the results period, and so builds on previous identification, engagement and consultations efforts with women and other vulnerable groups in Mexico, including but not limited to the REDD+ strategy and the REDD+ readiness phase. The GAAP was also informed by the stakeholder engagement processes carried out during project preparation, including the territorial consultation workshops conducted in the participating states. These consultations provided valuable insights into the barriers, needs, priorities, and opportunities related to gender equality and social inclusion, particularly for women, Indigenous women, and young women. The findings and recommendations generated through these consultations were considered in the development of the GAAP and contributed to the design of actions aimed at promoting equitable participation, access to project benefits, capacity development, leadership opportunities, and gender-responsive implementation arrangements. The GAAP also examines in detail relevant national policy, legal and regulatory instruments relevant to women in the context of the REDD+ strategy and the proposed RBP proposal, including relevant institutional framework.

Taking potential risks identified during the REDD+ readiness phase as a basis, FAO's Environmental and Social Risk Screening Checklist was applied to this RBP proposal (Annex 1). Additionally, the GAPP analyses the RBP project's potential to generate or contribute to direct and indirect gender-related impacts. According to ESS6, Both the risk screening process and gender assessment focus on the following risk issues:

- potential gender-based discrimination in access to project resources, services, benefits, and participation opportunities;
- the risk of unintentionally creating or exacerbating existing gender inequalities;
- possible adverse impacts on the livelihoods and rights of women and girls, particularly in relation to their access to and use of natural resources; and
- protection risks related to gender-based violence, including SEAH

Consistent with the ESMF and FAO's risk screening checklist, the GAAP examines in detail remaining gaps and potential risks and impacts relevant to women, and elaborates in more detail in forest resource management experiences in the country and provide an overview of key considerations for this RBP

proposal to ensure that women and other vulnerable groups can effectively participate in and benefit from the use of REDD+ proceeds and on-the-ground activities.

As aforementioned, the GAAP has been conceived under the umbrella of this ESMF, and so relevant potential risks and proposed management measures have been integrated into the project's environmental and social management matrix (Annex 2). The GAAP will be refined, as appropriate, over the project inception phase, including detailed criteria and procedures to guide the prioritization, design, implementation and monitoring of on-the-ground activities, ensuring the project is implemented in a gender-responsive manner, respectful of women's rights, and ensuring a zero-tolerance policy on Gender-based Violence (GBV) and Sexual Exploitation, Abuse and Harassment (SEAH) throughout project implementation and operations, in compliance with the GCF's Gender Policy and FAO's ESS 6 in the context of on-the-ground implementation.

Gender-based Violence (GBV) and Sexual Exploitation, Abuse and Harassment (SEAH)

Regarding GBV/SEAH, the project will have zero tolerance of SEAH, and the implementation safeguards documents will mainstream SEAH risk mitigation. Particularly, the GAAP identifies the risks associated with the RBP proposal, including related to GBV/SEAH.

In line with the GAAP, potential risks include backlash against women's increased participation in productive or decision-making activities, particularly in contexts with unequal gender norms or high levels of violence. Although considered unlikely, SEAH risks may also arise in interactions related to access to project benefits. These risks will be further assessed during the inception phase through GBV/SEAH screening processes, once specific activities and sites are defined. This process will include consultations with women's groups and stakeholders to ensure that the assessment reflects local contexts and women's lived experiences. The findings will inform the design of enhanced mitigation and response measures where needed.

As the main risk management instrument, the project will implement the Gender Action Plan, which includes SEAH risk screening, codes of conduct, confidential grievance mechanisms, safe reporting procedures, survivor-centered response protocols, and referral pathways. Project communications will also clearly state that access to benefits is not conditioned on any form of personal favor or sexual conduct, with measures adapted to local contexts.

A summary of key SEAH and GBV-related risks, mitigation measures, and project considerations is presented in the following table.

Potential risks	Management Measure	Relevant characteristics of the RBP project
Women participating in field activities, trainings or value chains may also face occupational safety and health risks if tools, schedules, transport, protective equipment, or	Ensure safe and inclusive working and training conditions, including appropriate schedules, safe transport arrangements where relevant, gender-sensitive occupational safety guidance, and access to protective equipment when needed.	All training, technical assistance and capacity-building activities delivered under the project will apply gender-responsive approaches and actively promote women's participation. This includes Farmer Field Schools, technical assistance provided through Territorial Agents, training on access to financial

training methods are not adapted to their needs.		mechanisms, and business and market development support.
The presence of project personnel, consultants, technical service providers or external facilitators in rural communities may create risks of sexual exploitation, abuse, or harassment, particularly where access to benefits, training, technical support, or project resources creates power imbalances.	Adopt and enforce codes of conduct for all project personnel, consultants, technical service providers and implementing partners, including provisions on respectful behavior and prohibition of SEA/SH.	Through its institutional strengthening component, the project will provide capacity building for CONAFOR, state-level institutions, technical personnel and local stakeholders on gender equality, inclusive facilitation, women's rights, Indigenous Peoples' rights, and the prevention of exclusion, discrimination and GBV.
Women may also face safety risks when attending meetings, trainings, or field activities if these require travel, occur at unsuitable times, or take place in spaces where they do not feel safe.	Organize meetings and trainings in safe and accessible locations and at times compatible with women's mobility and care responsibilities. Ensure confidential, survivor-centered, and accessible grievance channels through the MAC, including referral pathways to specialized services where available. Provide SEA/SH awareness and prevention information to project teams and communities.	The project will implement a MAC Improvement Plan to strengthen its gender responsiveness and ensure effective access to information, grievance submission, complaint resolution, and referrals, including for GBV/SEAH-related cases.
The project may unintentionally reinforce existing gender inequalities if women do not have equitable access to information, decision-making, technical assistance, financing, productive assets, benefit-sharing opportunities, or leadership spaces.	Implement the Gender Action Plan as a core risk management instrument. Include targeted actions to strengthen women's participation, leadership, and access to benefits; address unpaid care constraints; promote gender-sensitive capacity building; and ensure sex-disaggregated monitoring.	During inception, consultations will be conducted with women's groups and women stakeholders in the project areas to identify existing and potential risks related to gender, including to GBV and SEAH. This will inform screening processes to be conducted prior to implementation. Field activities (SPS, PES and women-led productive projects) will be implemented through CONAFOR support programs and their Operating Rules, which include gender-responsive eligibility and prioritization criteria designed to increase women's participation and access to project benefits, without requiring formal business registration or land ownership in cases where participation is allowed under the applicable rules.
Risk that women's increased participation in productive or decision-making activities may generate backlash at household or community level, particularly in contexts with unequal gender norms or high levels of violence against women.	Conduct gender and SEAH risk screening in target areas. Establish clear codes of conduct, confidential grievance channels, safe reporting procedures, survivor-centered response protocols and referral pathways.	The project includes a dedicated line of action targeting women producers, Indigenous and Afro-Mexican women, women's enterprises and organized women's groups.
Although unlikely, SEAH risks may also arise in interactions between beneficiaries and those	Conduct gender and SEAH risk screening in target areas. Establish clear codes of conduct, confidential grievance channels, safe reporting procedures, survivor-centered	

managing access to RBP project benefits.	response protocols and referral pathways. Ensure that project communication makes clear that access to benefits is not conditioned on personal favors, relationships, or any form of sexual conduct.	CONAFOR support programs include affirmative care measures that help reduce barriers to women's participation. These resources may be used for childcare, care for dependent family members, reproductive health services, self-care, and activities related to the prevention of GBV. The improved MAC will strengthen confidential, safe and gender-responsive procedures for receiving and resolving complaints, including grievances related to discrimination, GBV and SEAH
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Specifically on GRM, the project will use and strengthen CONAFOR's MAC as the main grievance, feedback and conflict-resolution channel, complemented by FAO grievance channels and the GCF IRM. Sensitive complaints, including those related to GBV/SEAH, will be handled through confidential referral pathways consistent with FAO and CONAFOR existing procedures. These are described as follows:

- CONAFOR's Internal Control Body (OIC): is the authority responsible for addressing complaints related to potential administrative misconduct by public servants. Channels to receive complaints include in person, email, and phone, and online platform SIAC.

Procedure: To submit a complaint or report, the complainant should provide contact information (although submissions may be anonymous), any available identification details of the public official involved, a description of the facts, and, where possible, supporting evidence and indications of the alleged administrative misconduct. Complaints are processed through the Integrated Citizen Complaints System (SIDEC). The process begins with a jurisdiction assessment to determine whether to initiate an investigation or reject the complaint due to insufficient information. If initiated, the investigation may involve gathering evidence, consulting relevant parties, and conducting necessary inquiries. Cases may be classified as serious or non-serious for further administrative action, with any potential criminal cases referred to the competent authorities. Complaints received must be classified no later than the next working day following their receipt, the person is notified 10 days after submission.
- Ethics Committee: CONAFOR responsible for addressing complaints related to breaches of the Institution's Code of Ethics and Code of Conduct. It also issues recommendations to improve the organizational climate and the quality of public service, and identifies ethical risks to help prevent potential acts of corruption. Receives complaints either in person or by email.

Procedure: Receives both direct and anonymous complaints. Provides information and guidance on available response and resolution options. Issues recommendations and protective measures, as appropriate. May refer the complaint to the Internal Control Body (OIC) for investigation when warranted.
- Counsellors: trained staff within CONAFOR that provide support and accompaniment to individuals who may have experienced sexual harassment or sexual abuse. Complaints are submitted by email.

Procedure: They often serve as the first point of contact for the complainant. Counsellors refer the complainant to medical, psychological, or other support services, as needed. They provide guidance, advice, and support in documenting and describing the facts of the case, then refer complaints to the Ethics Committee and/or the Internal Control Body (OIC) within a maximum of three days.

Building on CONAFOR's established mechanisms and protocols, the project will apply a preventive and survivor-centered approach to complaints involving GBV/SEAH or other sensitive matters. Although no such cases have been identified during the formulation phase, the project will define confidential and safe procedures for handling sensitive complaints through the strengthened MAC during the inception phase. A Conflicts, Feedback and Grievance Management Plan will be developed as part of the updated SEP and ESMP. This plan will define the standard operating procedures for the use of the MAC in the context of the RBP proposal. The proposed improvement to the MAC in terms of GBV/SEAH include defining confidential intake procedures, referral pathways, survivor-centered principles, non-retaliation safeguards as well as project-specific operating procedures to ensure that all grievances and complaints are properly registered, classified, referred, responded to and monitored through the MAC and the relevant areas at CONAFOR.

Operating procedures will ensure that sensitive complaints are not handled through public community forums or processes that could expose complainants to retaliation, stigma or further harm. This way, protocols for protecting personal data will be defined, building on CONAFOR's personal data protection policy.

In this regard, personal data provided by beneficiaries and other stakeholders will be protected and handled confidentially by CONAFOR in accordance with applicable data protection requirements and legal framework. Personal information collected through project implementation, subsidy programs, grievance mechanisms, and other institutional processes will be used only for legitimate administrative, operational, reporting, and accountability purposes. Individuals have the right to access, review, correct, update, object to, or request the deletion of their personal data, as well as to restrict or withdraw consent for certain uses where applicable. Personal data will not be shared with third parties without consent except in cases authorized by law or required for the performance of official functions. Stakeholders who believe their data protection rights have been violated may submit a complaint through the appropriate transparency and data protection channels established by CONAFOR.

In parallel, in the case of concerns and/or incidents related to sexual exploitation and abuse, FAO has a designated Prevention of Sexual Exploitation and Abuse (PSEA) Focal Point in each country office (CO), and in the Office of the Inspector General (OIG) in FAO's headquarters (HQ).

FAO is committed to ensuring accountability to affected populations and provide tools to handle complaints and feedback associated to its programming. FAO's Regional Office has in place a dedicated Gender Unit responsible for regular oversight and backstopping in terms of GBV/SEAH prevention. FAO's CO also has dedicated Gender Officers responsible for GBV/SEAH matters at the country level, and who act as GBV/SEAH Focal points. FAO at HQ and Mexico have in place GBV/SEAH reporting mechanisms, including:
E-mail: Investigations-hotline@fao.org
Confidential OIG Hotline: (+39) 06 57052333)

All project personnel involved in receiving or handling grievances will receive training on confidentiality, respectful treatment, non-discrimination, referral pathways and the limits of their role. Information on these procedures will be disseminated in a careful and appropriate manner so that women, youth, Indigenous Peoples, Afro-Mexican peoples, producers, community members and project workers are aware of safe channels for reporting sensitive concerns.

Regarding project implementation arrangements, as previously mentioned, the project will adopt a zero-tolerance approach to SEAH and GBV, ensuring that prevention and response measures are fully integrated

into implementation. The Gender Specialist, in coordination with the Safeguards Specialist and relevant personnel, will lead the implementation of SEAH/GBV-related measures, including capacity building on PSEA targeting project personnel and local stakeholders (including IPs and communities), awareness-raising activities, and the application of appropriate measures into project's operational instruments. They will also support the establishment and operation of confidential, survivor-centered grievance mechanisms and referral pathways.

Ongoing monitoring and reporting will ensure that SEAH/GBV risks are effectively identified, mitigated, and addressed throughout project implementation. In this regard, the following indicators and corresponding targets, as outlined in the GAP and aligned with Annex 2 of this ESMF, will be used to track progress.

Gender affirmative measure	Indicator	Target	Responsibility
Strengthen institutional and technical capacities to mainstream gender in silvopastoral systems, productive reconversion, financing, territorial governance, PES, and safeguards implementation.	<i>Number of events targeting CONAFOR, state-level, technical and local personnel to build capacities on gender equality, inclusive facilitation, women's rights, Indigenous Peoples' rights and prevention of exclusion and GBV.</i>	At least 2 events per year to build institutional capacities on gender equality, inclusive facilitation, women's rights, Indigenous Peoples' rights and prevention of exclusion and GBV.	FAO, CONAFOR, Gender Specialist
Integrate measures to prevent and respond to risks of exclusion, discrimination, sexual exploitation, abuse, and harassment in RBP-supported activities.	<i>SEAH/GBV prevention and response measures integrated into safeguards procedures, codes of conduct, training materials and grievance referral protocols.</i>	<i>SEAH/GBV measures integrated into 100% of relevant project safeguards and operational instruments.</i>	FAO, CONAFOR, Safeguards Specialist, Gender Specialist, implementing partners
	<i>Number of grievances related to exclusion, discrimination or SEAH.</i>	<i>Follow-up and resolution of 100% of registered grievances related to exclusion, discrimination or SEAH.</i>	FAO, CONAFOR, Safeguards Specialist, Gender Specialist, implementing partners

Note: While several additional indicators in the GAP contribute indirectly to the mitigation and reduction of SEAH/GBV risks, only those that explicitly reference SEAH and GBV have been included in this table for clarity and focus.

8. Stakeholder consultations and engagement plan

As established in the GCF REDD+ Policy, as part of the due diligence reports to be prepared by the Accredited Entity as annexes to the RBP proposal, the Accredited Entity should provide information on stakeholder engagement and consultations undertaken in relation to the activities to be supported by the RBP proceeds. Similarly, a standalone stakeholder engagement framework should be prepared to ensure effective consultation and participation throughout project implementation, including the participation of Indigenous Peoples, Afro-Mexican peoples, women, local communities and other relevant stakeholders.

Conceived under the umbrella of this ESMF, a standalone Stakeholder Engagement Plan, hereinafter the SEP, has already been prepared for Mexico's RBP proposal as Annex 5. The SEP has informed this ESMF and the due diligence assessment undertaken for the results period, and builds on previous stakeholder identification, engagement and consultation efforts in Mexico, including those carried out during the REDD+ readiness phase and in the preparation and consultation of the National REDD+ Strategy. The SEP also complements the Gender Assessment and Gender Action Plan already prepared as Annex 6, and will inform the Indigenous Peoples Plan to be developed during the project inception phase.

The SEP examines relevant national policy, legal and regulatory instruments related to stakeholders' rights to participation, consultation, access to information and grievance redress in the context of REDD+ and the proposed RBP proposal. It also provides an overview of stakeholder engagement, consultations and capacity-building efforts undertaken during the REDD+ readiness and results periods, including engagement with Indigenous Peoples, women and other vulnerable groups, as appropriate. These efforts include stakeholder mapping, participatory platforms, access to information and disclosure activities, capacity-building workshops, dissemination materials, use of audiovisual tools and communication channels, and the use of culturally appropriate and accessible communication approaches.

The SEP also summarizes stakeholder engagement and consultations undertaken in the context of the preparation of the RBP proposal and related due diligence assessments. These processes have supported the identification of stakeholder interests, needs, concerns and barriers to effective and meaningful participation in the design and implementation of the project's activities. Where potential risks relevant to FAO's ESOP 2 have been identified, corresponding management measures and actions to implement the SEP have been integrated into the ESMF's environmental and social management matrix.

8.1 Stakeholder Engagement and consultations

Mexico's REDD+ process has been built on more than a decade of participatory and institutional engagement. Since 2010, REDD+ readiness processes have involved federal and state institutions, Indigenous Peoples, Afro-Mexican peoples, ejidos, communities, civil society, academia, producer organizations and other stakeholders. These processes supported the development of Mexico's REDD+ framework, including the Strategic Environmental and Social Assessment, safeguards instruments, the national safeguards architecture and the consultation of the National REDD+ Strategy. They also generated lessons on risks, benefits, safeguards, participation, communication, governance, benefit-sharing, gender equality, Indigenous Peoples and local communities, which continue to inform the RBP proposal and its safeguards instruments.

In preparation of the RBP proposal, federal-level socialization and co-construction meetings were held from 20 to 27 April 2025 with CONAFOR, SADER, SHCP and FAO. These meetings aimed to engage federal

institutions involved in the preparation of the RBP proposal and to define the strategic focus of the concept note. Discussions focused on the interaction between small-scale livestock production and forest areas, forest governance, sustainable livestock production, silvopastoral systems and inter-sectoral alignment. As a result, strong inter-sectoral interest was confirmed and a full draft of the GCF RBP Concept Note was prepared.

On 13 May 2026, a federal co-design process concluded with a workshop was held with CONAFOR, SADER, SEMARNAT, SHCP and FAO. The objective of the workshop was to develop a common position among participating institutions and ensure that institutional needs and priorities were incorporated into the proposal. The main issues discussed included the productive context of intervention areas, livestock-related forest loss, small-scale producers, collective conservation and Payments for Environmental Services, individual support for productive restoration and silvopastoral systems, territorial governance, financial instruments and affirmative measures. The workshop helped consolidate the territorial and productive logic of the proposal, and CONAFOR proposed support for women's groups within ejidos and communities.

On 29 May 2026, a coordination and working meeting was held with the Secretaries of Environment of Jalisco, Michoacán, Guerrero, Oaxaca, Chiapas, Quintana Roo and Yucatán, together with CONAFOR and FAO. The purpose of the meeting was to present the RBP proposal to the seven states contemplated under the proposal and identify next steps for state-level socialization and information gathering. Discussions covered state-level initiatives and financing, State Forestry Councils, dry forests, complementarity with other initiatives, Farmer Field Schools, georeferencing, technical assistance, Payments for Environmental Services and the role of state governments. States expressed willingness to participate, and it was agreed that state governments would convene State Forestry Councils, with CONAFOR and/or FAO supporting presentations as needed.

Also on 29 May 2026, the proposal was presented to the REDD+ Working Group of the Inter-Ministerial Commission on Climate Change, hereinafter the GT-REDD+ of the CICC. The purpose of the session was to present and socialize the RBP proposal in the key inter-institutional REDD+ coordination platform. The proposal was presented with a focus on forest conservation and sustainable livestock production, and proposed implementation in the states of Jalisco, Michoacán, Guerrero, Oaxaca, Chiapas, Quintana Roo and Yucatán. The session confirmed the role of the GT-REDD+ of the CICC as a key platform for inter-institutional coordination around the proposal. The GT-REDD+ of the CICC expressed its agreement for the Government of Mexico to continue the corresponding procedures for approval of the proposal before the Green Climate Fund, through CONAFOR and in coordination with SADER, SEMARNAT, SHCP and FAO, as Executing Entity. It was also agreed that the GT-REDD+ of the CICC will be periodically informed of progress in the execution and results of the proposal.

Between 15 and 30 June 2026, the proposal was socialized with key stakeholders at the state level through the seven State Forestry Councils of the participating states. Established under the General Law on Sustainable Forest Development (LGDFS), these Councils serve as consultative and advisory bodies on forestry matters. They ensure the participation of representatives from forest communities, academia, Indigenous Peoples and Afro-Mexican communities, the private sector, civil society organizations, youth, women, and federal government institutions. These consultation spaces provided an opportunity to present the objectives and proposed interventions of the project and to gather stakeholder input on potential risks, opportunities associated with the project.

Key recommendations from the State Forestry Councils focused on strengthening the enabling environment for project implementation. Counsellors highlighted the need for improved coordination and

communication among institutions at different levels, and other actors to avoid duplication of efforts and increase effectiveness. They also emphasized the importance of strengthening institutional capacities for governance and environmental management, expanding technical assistance services, field schools, and demonstration sites, and ensuring adequate human and financial resources to support producers and communities. In addition, they identified persistent barriers to accessing finance, particularly for small producers, ejidos, and communities, and recommended simplifying procedures, providing technical and administrative support, and promoting financing mechanisms better adapted to local conditions and needs. Overall, the feedback received confirmed the relevance of the project's proposed approach, particularly the emphasis on technical assistance and capacity development through ECAs and Territorial Agents, as well as the importance of ensuring that project interventions are implemented with cultural relevance and adapted to the specific social, environmental, and productive contexts of each participating state. These and other specific recommendations have been integrated into the project's SEP.

Between 10 and 24 July, territorial consultation workshops were conducted. These workshops brought together a diverse range of stakeholders that provided an opportunity to capture perspectives from actors directly involved in forest conservation, livestock production, territorial development, and community governance processes in the different states. The consultation workshops engaged a total of 337 participants. Women accounted for 110 participants (32.7 percent) of total attendance. A total of 114 participants (33.6 percent) identified as members of Indigenous Peoples, Indigenous communities, or Afro-Mexican communities, while 30 participants (8.9 percent) were identified as youth. These workshops provided an important platform for engaging a diverse range of stakeholders, including local communities, producers, civil society organizations, Indigenous and Afro-Mexican representatives, and government institutions, in the consultation process for Mexico's RBP proposal.

The main objective of the workshops was to present the key elements of the RBP proposal, promote open dialogue with territorial actors, and collect recommendations, concerns, opportunities, and considerations to strengthen the project's design, implementation, and contribution to the sustainable development of forest landscapes.

The workshop were designed as participatory processes that combined information-sharing, dialogue, and collective analysis. They began with an introduction of participants and a presentation of the workshop objectives, followed by an overview of the national REDD+ process and the rationale of the GCF RBP proposal. Participants were then introduced to the project's objectives, expected results, implementation approach, proposed benefit-sharing arrangements, and on-the-ground interventions through simple and visual presentation materials. The detailed methodology and materials used are included in the SEP (Annex 4).

To facilitate meaningful participation, a glossary of key concepts related to climate change, gender equality, social inclusion, and environmental and social safeguards was presented and discussed. Through the workshop, participants examined the different project elements and implementation arrangements and identified potential risks, barriers, concerns, opportunities, and recommendations. Results from group discussions were subsequently presented and validated in a plenary session, allowing participants to complement, clarify, and further discuss the findings. The workshops also included a presentation of the grievance redress channels available through CONAFOR's MAC, FAO, and the GCF, as well as information on how stakeholders can access these mechanisms during project implementation. The events concluded with a summary of key messages, an explanation of next steps in the proposal preparation process, and an

invitation for participants to continue sharing information and feedback through their organizations, institutions, and communities.

Summary of participation in territorial workshops conducted and documented so far:

- Chiapas. The territorial consultation workshop held in Chiapas on 10 July brought together 61 participants, including 44 men and 17 women. Participation included five Indigenous Peoples representatives (3 men and 2 women) from the Tseltal and Zoque Peoples. The workshop also included five young participants (39 years old or younger), comprising 2 men and 3 women.
- Michoacán. The workshop conducted in Michoacán on 15 July engaged 70 participants, of whom 47 were men and 23 were women. A total of three Indigenous participants (2 men and 1 woman) attended, representing the Pirinda and Nahua Peoples. Youth participation reached 10 participants, including 7 men and 3 women.
- Jalisco. The consultation workshop in Jalisco, held on 16 July, convened 60 participants, including 38 men and 22 women. Indigenous participation totaled fourteen representatives (6 men and 8 women) from the Tepehuano, Wixarika, and Nahua Peoples. The workshop also included nine young participants, composed of 7 men and 2 women.
- Quintana Roo. The workshop held in Quintana Roo on 16 July brought together 57 participants, including 39 men and 18 women. Indigenous participation was particularly strong, with 24 Indigenous participants (16 men and 8 women) representing the Maya, Chol, Chontal, Purépecha, and Totonaco Peoples. The consultation also included two young participants, one man and one woman.
- Oaxaca. The territorial consultation workshop carried out in Oaxaca on 22 July engaged 45 participants, comprising 31 men and 14 women. A total of 28 Indigenous participants (20 men and 8 women) attended, representing the Mixteco, Tacuate, Zapoteco, Chontal, Huave, Afro-Mexican, Chatino, and Zoque Peoples. In addition, three young participants took part in the workshop, including 1 man and 2 women.
- Yucatan. The territorial consultation workshop carried out in Yucatán on 24 July 2026 engaged 44 participants, comprising 28 men and 16 women. A total of 40 Indigenous participants attended the workshop, including 25 men and 15 women, all belonging to the Maya People. In addition, one young participant took part in the workshop, a young Indigenous woman.

All stakeholder inputs collected through the territorial consultation workshops were documented and analyzed. A detailed analysis of stakeholder recommendations for the design of the RBP proposal, including the participatory identification of potential environmental and social risks, opportunities, and proposed mitigation measures are included in the SEP (Section 4.1 and Annex 4). These recommendations informed the definition of measures proposed by the project to manage potential social and environmental risks and are reflected in Annex 2 of this ESMF, and relevant sections of the GAAP and IPPF.

Table 19 Summary of stakeholder engagement activities undertaken in preparation of Mexico's RBP proposal

Date	Engagement activity	Participants institutions /	Purpose	Main issues discussed	Main outcomes and follow-up
2010 onwards	REDD+ readiness participatory processes	Federal and state institutions, Indigenous Peoples, Afro-Mexican	Build Mexico's REDD+ framework through participatory	Risks, benefits, safeguards, participation, communication,	Provided the participatory foundation and lessons informing the RBP proposal

		peoples, ejidos, communities, civil society, academia, producer organizations and other stakeholders	processes, including the SESA, ESMF, safeguards architecture and ENAREDD+ consultation	governance, benefit-sharing, gender, Indigenous Peoples and local communities	and its safeguards instruments
20–27 April 2026	Federal-level socialization and co-construction meetings	CONAFOR, SADER, SHCP and FAO	Engage federal institutions involved in the preparation of the RBP proposal and define the strategic focus of the concept note	Interaction between small-scale livestock production and forest areas; forest governance; sustainable livestock; silvopastoral systems; inter-sectoral alignment	Strong inter-sectoral interest confirmed; a full draft of the GCF RBP Concept Note was prepared
13 May 2026	Federal co-design workshop	CONAFOR, SADER, SEMARNAT, SHCP and FAO	Develop a common position among participating institutions and ensure that institutional needs and priorities were incorporated	Productive context of intervention areas; livestock-related forest loss; small-scale producers; collective conservation and PES; individual support for productive restoration and silvopastoral systems; territorial governance; financial instruments; affirmative measures	Agreement on the territorial and productive logic of the proposal; CONAFOR proposed support for women's groups within ejidos and communities
29 May 2026	Coordination and working meeting with participating state governments	Secretaries of Environment of Jalisco, Michoacán, Guerrero, Oaxaca, Chiapas, Quintana Roo and Yucatán; CONAFOR and FAO	Present the RBP proposal to the seven states contemplated under the proposal and identify next steps for state-level socialization and information gathering	State-level initiatives and financing; State Forestry Councils; dry forests; complementarity with other initiatives; field schools; georeferencing; technical assistance; PES; state roles	States expressed willingness to participate; states will convene State Forestry Councils; CONAFOR and/or FAO will support presentations; CONAFOR will share the format for state-level information
29 May 2026	Presentation to the GT-	Federal institutions participating in the	Present and socialize the RBP proposal in	The proposal was presented to the	The GT-REDD+ of the CICC expressed its agreement for

	REDD+ of the CICC	GT-REDD+ of the CICC	the key inter-institutional REDD+ coordination platform	GT-REDD+ of the Inter-Ministerial Commission on Climate Change, with a focus on forest conservation and sustainable livestock production, and proposed implementation in the states of Jalisco, Michoacán, Guerrero, Oaxaca, Chiapas, Quintana Roo and Yucatán. The session confirmed the role of the GT-REDD+ of the CICC as a key platform for inter-institutional coordination around the proposal.	the Government of Mexico to continue the corresponding procedures for approval of the proposal before the Green Climate Fund, through CONAFOR and in coordination with SADER, SEMARNAT, SHCP and FAO, as Executing Entity. It was also agreed that the GT-REDD+ of the CICC will be periodically informed of progress in the execution and results of the proposal.
15-30 June, 2026	State, sectoral socialization sessions	State Forestry Councils of Jalisco, Michoacán, Guerrero, Oaxaca, Chiapas, Quintana Roo and Yucatán; CONAFOR and FAO	Broaden RBP project socialization with key stakeholders at state level, gather input on potential risks, opportunities associated with the project	Proposed use of proceeds and intervention model; institutional arrangements; location; stakeholder engagement approach; grievance channels;	Inputs informed refinement of the FP, ESMP, SEP, GAAP and IPP
Between July 10 and 23, 2026	Territorial consultations	Ejidos and communities, Indigenous Peoples, Afro-Mexican peoples, women producers, livestock producers, local organizations, civil society, academia	Broaden socialization, gather territorial feedback, identify risks and refine implementation arrangements	Proposed use of proceeds; eligibility; safeguards; benefit-sharing; gender and inclusion; Indigenous Peoples; territorial risks;	inputs informed refinement of the FP, ESMP, SEP, GAAP and IPP

		and technical service providers		grievance channels	
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8.2 Stakeholder engagement plan

As defined in FAO's FESM (ESOP 2), meaningful and effective stakeholder engagement is essential to adhere to the principle of 'leaving no one behind' and achieve sustainable development objectives, and so FAO is committed to ensuring meaningful, effective and informed participation of all stakeholders in the formulation and implementation of its programmes and projects. Stakeholder engagement is thus an ongoing process that involves, inter alia: stakeholder identification and analysis (i.e. the disaggregation of data by relevant socio-demographic variables); planning and budgeting of stakeholder engagement over the entire programming or project cycle; timely and culturally appropriate disclosure of relevant, accessible information on programming activities; consultation and meaningful participation of women and men and representatives of all stakeholders; mechanisms to resolve disputes and address potential grievances; reporting back to stakeholders.

As also defined in FAO's ESOP2—, stakeholder engagement, information disclosure, and grievance, conflict resolution and accountability mechanisms are geared at:

- Promoting meaningful and effective participation of the parties involved in and affected by programme and project activities, as well as other stakeholders, throughout the programme or project cycle.
- Ensuring stakeholders have timely access to appropriate and understandable information on programme and project activities, the opportunity to react and best adapt these activities to their needs, and information on potential environmental and social risks and impacts.
- Ensuring the involved and affected parties have access to effective remedy through fair, transparent, and inclusive processes and mechanisms for redressing grievances.
- Ensuring stakeholder engagement is conducted in an inclusive and gender-responsive manner that includes different generations and pays special attention to any marginalized ethnic minorities.

Accordingly, and consistent with this ESMF and FAO's FESM, the SEP identifies remaining barriers and relevant potential risks, with proposed management measures, which in turn have been integrated into the project's environmental and social management matrix. The SEP will be refined, as appropriate, over the project inception phase alongside this ESMF and other safeguards instruments and will provide detailed criteria and procedures to guide a participatory, inclusive and gender-responsive approach to prioritize, design, implementation and monitoring of on-the-ground activities. With this, the project is geared actively fostering affirmative actions that can deliver priority environmental and social co-benefits, beyond carbon mitigation results.

Table 20 Components of the RBP Stakeholder Engagement Plan

Component / Objectives	Activities
1. Stakeholder Consultations and Participation	1.1 Conduct / update a comprehensive stakeholder mapping for the RBP proposal, with a focus on the RBP's on-the-ground implementation areas.
	1.2 Develop a stakeholder consultations and participation action plan, including but not limited to existing / revised / new national and regional participatory structures.

	1.3 Implement the stakeholder consultations and participation action plan, including regarding FPIC in the context of on-the-ground implementation.
2. Education and Awareness Raising	2.1 Develop an environmental education, awareness raising and capacity building action plan, at the national and subnational level and differentiated by interest groups.
	2.2 Implement the environmental education, awareness raising and capacity building action plan geared at diverse beneficiary groups and project implementation partners.
3. Communications and Information Dissemination Strategy ⁷	3.1 Develop a communications and outreach strategy, at the national and subnational level and differentiated by interest groups, including for national and local audiences, as well as for international audience (i.e. GCF, REDD+ financing entities / donors).
	3.2 Implement the communications and outreach strategy, including the development of culturally appropriate and gender-sensitive material.
4. Conflicts and Grievances Management Plan	4.1 Develop a conflicts and grievances management plan for the National REDD+ Strategy and the RBP project, including the definition of standing operative procedures for the operation of the GRM.
	4.2 Implement the conflicts and grievances management plan, and operate the project's GRM.

Source: Authors' own elaboration.

8.3 Access to information and information disclosure

As defined in FAO's FESM, and specifically in ESOP 2, meaningful and effective stakeholder engagement is essential to adhere to the principle of leaving no one behind and achieve sustainable development objectives. FAO is committed to ensuring meaningful, effective and informed participation of all stakeholders in the formulation and implementation of its programmes and projects. Stakeholder engagement is an ongoing process that includes, inter alia, stakeholder identification and analysis, disaggregation of data by relevant socio-demographic variables, planning and budgeting of stakeholder engagement throughout the project cycle, ensuring the following:

- **Timely disclosure:** information on potential project-related social and environmental impacts and mitigation/management measures will be provided in advance of decision-making whenever possible. In all cases, draft and final screenings, assessments and management plans must be disclosed and consulted on prior to implementation of activities that may give rise to potential adverse social and environmental impacts.
- **Accessible information:** Appropriate means of dissemination will need to be defined in consultation with stakeholders. This could include posting on websites, public meetings, local councils or organizations, newsprint, and radio reporting, flyers, or direct mail.
- **Appropriate form and language:** Information needs to be in a form and language that is readily understandable and tailored to the target stakeholder group.

⁷ FAO will disclose information related to environmental and social risks and impacts for all moderate and high-risk projects, and may disclose such information for low-risk projects if warranted. For high-risk programmes and projects and some moderate-risk projects, national or local legislation may specify disclosure requirements that should be complied with. For a moderate-risk programme or project, FAO will release the applicable information as early as possible, but no later than 30 days before it becomes operationally active. For a high-risk programme or project, FAO will release the applicable information as early as possible, but no later than 60 days before it becomes operationally active. The 30-day or 60-day period commences only when all the relevant information has been provided and is available to the public.

Moreover, dedicated efforts geared at IPs, Afro-Mexican peoples, other local communities and women will be undertaken throughout project implementation, and information, including explicit acknowledgement of potential conflict related risks and complex issues revolving around land tenure and customary rights]. FAO undertakes disclosure for all moderate risk projects, using a disclosure portal to publicly disclose the projects' relevant documentation related to environmental and social safeguards (i.e. Environmental and Social Management Frameworks and other relevant documents)⁸. This project's ESMF will be disclosed publicly via FAO's disclosure portal and the webpage of the CONAFOR, prior to consideration of this RBP proposal by the GCF's Board.

Stakeholders will have access to relevant project information throughout project implementation, including but not limited to the following:

- Stakeholder engagement plan and summary reports of stakeholder consultations,
- Draft social and environmental assessment and management plan for the project (prior to approval),
- Social and environmental screening reports for on-the-ground activities (including evidence of FPIC, where appropriate)
- Final social and environmental assessment and ESMP for the project,
- Dedicated safeguards instruments (SEP, IPP, GAAP)
- Terms and conditions for the use of proceeds and call for proposals for benefit sharing, as appropriate
- Annual progress reports, including in relation to social and environmental reporting.

FAO and the country will release updates on the project implementation on a regular basis – at least biannually - to provide interested stakeholders with information on project status, progress and opportunities to become beneficiaries (i.e. upon entry into operation of a benefit distribution system). Channels and mechanisms to manage enquiries, concern, complaints and/or grievances will also be available (see section 8).

In order to ensure the widest dissemination and disclosure of project information, local and accessible disclosure tools including audiovisual materials (i.e. flyers, brochures, community radio broadcasts) will be utilized in addition to the standard portal disclosure tool. Materials will be established early in the project inception as part of the refinement of the SEP, paying attention to the needs of IPs, Afro-Mexican peoples, other local communities and women, and will translated into local languages, as appropriate, when the use of major local languages is relevant to the prioritized area for project implementation to ensure culturally appropriate access to information.

8.4 Awareness raising and capacity building

The implementation of Mexico's RBP proposal in a manner consistent with this ESMF and supporting safeguards instruments, and compliant with the GCF's applicable standards and policies and FAO's FESM, requires dedicated efforts to build institutional awareness and capacities across governmental entities, project partners, technical service providers and beneficiaries involved in project implementation.

⁸ FAO's disclosure portal available at: <http://www.fao.org/environmental-social-standards/disclosure-portal/en/>

As part of the analytical and participatory processes to refine this ESMF into an actionable ESMP, alongside the refinement of the SEP and GAAP, and the development of the IPP, an institutional and capacity gap assessment will be conducted to inform the SEP's component on education and awareness raising. This assessment will identify capacity-building needs relevant to environmental and social risk management, stakeholder engagement, information disclosure, grievance redress, gender equality, GBV and SEAH prevention, Indigenous Peoples' rights, FPIC where applicable, land tenure, biodiversity conservation, sustainable forest management, productive restoration, silvopastoral and agrosilvopastoral systems, Payments for Environmental Services and sustainable value chains.

Dedicated capacity-building efforts will be provided to CONAFOR, SADER, FAO project personnel, state-level institutions, territorial technical agents, service providers, community facilitators, local authorities, producer organizations and other relevant partners involved in on-the-ground implementation. Training will be conducted on a regular basis throughout project implementation, starting during the inception phase.

Capacity-building activities will address environmental, social and governance safeguards requirements and management measures applicable to the project and on-the-ground activities, as established in this ESMF and further refined in the ESMP. They will also address human rights-based, inclusive, intercultural, gender-responsive and conflict-sensitive approaches; meaningful stakeholder engagement; culturally appropriate information disclosure; operation of the grievance redress mechanism; prevention of GBV and SEAH; and application of codes of conduct for project personnel, implementing partners and service providers.

Once completed, the ESMP, the refined SEP and GAAP, and the IPP to be developed during project inception will inform the detailed breakdown of budget allocations, expertise and team dedication required to fulfil the roles and responsibilities defined in this ESMF and supporting safeguards instruments prior to starting on-the-ground implementation.

During implementation, the project will strengthen the capacities of local stakeholders through two complementary mechanisms: Escuelas de Campo para Agricultores (ECAs) and Territorial Agents. ECAs will serve as the main platform for technical assistance, training, and knowledge exchange to support the adoption of silvopastoral systems, regenerative practices, and sustainable livestock management among ejidos, communities, Indigenous Peoples, Afro-Mexican populations, women producers, and small-scale livestock producers.

Through field-based learning and ongoing technical support, ECAs will strengthen technical, organizational, and management capacities related to water and soil conservation, forage production, grazing management, and other sustainable production practices.

In parallel, Territorial Agents—local public institutions or civil society organizations with a strong presence in project areas—will support stakeholder engagement, territorial planning, and coordination of project activities at the local level. Their close relationship with communities will help facilitate dialogue, align interventions with local priorities, and strengthen the participation of Indigenous Peoples, Afro-Mexican populations, women, and livestock producers in project implementation.

Capacity-building activities will be adapted to the needs of different stakeholder groups, including culturally appropriate approaches for Indigenous Peoples and Afro-Mexican communities and targeted measures to address participation barriers faced by women.

9. Grievance redress mechanism

Mexico has established a comprehensive legal and institutional framework for grievance redress, accountability, transparency, and access to justice that is applicable to REDD+ implementation and the Results-Based Payments (RBP) project. The framework combines constitutional guarantees, administrative accountability systems, human rights institutions, and sector-specific grievance mechanisms implemented by the National Forestry Commission (CONAFOR).

At the constitutional level, the Political Constitution of the United Mexican States guarantees the right to petition public authorities, access to justice, non-discrimination, and due process. These guarantees are reinforced through the General Law of Administrative Responsibilities, which establishes procedures for reporting misconduct by public officials and provides mechanisms for citizen complaints, including anonymous submissions and digital reporting platforms.

Within the forestry sector, CONAFOR operates the Citizen Attention Mechanism (MAC), established in 2017 as the principal institutional grievance redress mechanism for forestry and REDD+ related activities. The MAC consolidates procedures for receiving, processing, and responding to complaints, requests, grievances, suggestions, and information inquiries related to forest programs and public services. It is guided by six operational principles aligned with international safeguards standards and FAO ESOP2 requirements: accessibility, cultural appropriateness, timeliness and effectiveness, equity, transparency, and feedback (Table 21).

Table 21. Operational Principles of the MAC and Proposed Strengthening Measures for the RBP Proposal

Principle	Current Characteristics of the MAC	Proposed Improvements under the RBP
Accessibility	Open and voluntary access through multiple institutional channels	Simplified dissemination materials and broader outreach during project implementation
Cultural appropriateness	Procedures based on national legal frameworks	Adaptation to Indigenous languages and local socio-cultural contexts
Timeliness and effectiveness	Defined procedures and response timelines	Strengthened follow-up procedures and appeals processes
Equity	Equal treatment and due process guarantees	Continued reinforcement of inclusive participation and non-discrimination
Transparency	Periodic reporting and public information systems	Publication of grievance reports within safeguards information systems
Feedback	Limited participatory monitoring mechanisms	Development of participatory monitoring and systematic feedback processes

Source: Adapted from CONAFOR analysis of the MAC for REDD+ implementation.

The MAC operates through three institutional channels depending on the nature of the grievance: (i) the Internal Control Body (OIC) for complaints related to misconduct or administrative offenses; (ii) the Transparency Unit (UT) for access to information requests; and (iii) the Citizen Information and Attention

Service (SIAC) for general citizen requests, inquiries, and complaints. Each of the access channels comprising the MAC operated under clearly defined procedures, stages and response timelines, depending on the nature of the request, complaint or inquiry. These procedures established requirements for submission, registration, follow-up, and resolution of cases, as well as indicative timeframes for institutional response (CONAFOR, n.d.). The mechanism also interfaces with the federal Comprehensive Citizen Complaint System (SIDECE), managed by the Secretariat of Anti-Corruption and Good Governance, which strengthens transparency, traceability, and follow-up procedures for complaints.

Table 22. Main Institutional Channels of CONAFOR's Citizen Attention Mechanism (MAC)

Type of Submission	Responsible Area	Main Functions	Access Channels
Complaints regarding misconduct or administrative offenses	Internal Control Body (OIC)	Receives and investigates complaints related to acts or omissions by public officials or associated private actors	Telephone, email, in-person offices, SIDECE platform
Access to public information	Transparency Unit (UT)	Processes requests for public information and transparency-related inquiries	Email, telephone, National Transparency Platform, state offices
Citizen requests, suggestions and inquiries	Citizen Information and Attention Service (SIAC)	Responds to requests, complaints, suggestions and operational inquiries related to forestry programs	Telephone, email, social media, in-person attention

Source: Adapted from CONAFOR MAC documentation.

Although no evidence of systemic failures in grievance handling was identified during the REDD+ results period, assessments highlighted opportunities for strengthening the mechanism at the territorial level, particularly regarding outreach, accessibility for Indigenous peoples and rural women, multilingual communication, and culturally appropriate procedures.

The RBP proposal will further strengthen the MAC through the Stakeholder Engagement Plan (SEP). A **Conflicts, Feedback and Grievance Management Plan will be prepared during the inception phase**. Proposed improvements include gender-responsive procedures, confidential handling of sensitive complaints, culturally appropriate communication, stronger dissemination in Indigenous languages, participatory monitoring, and improved coordination with Indigenous institutions such as INPI and INALI.

Sensitive complaints, including allegations related to GBV/SEAH, will be handled through confidential referral pathways consistent with FAO and CONAFOR procedures. The project will apply a preventive and survivor-centered approach to complaints involving gender-based violence, sexual exploitation and abuse, sexual harassment, discrimination or other sensitive matters. Although no such cases have been identified during the formulation phase, the RBP project will promote confidential and safe procedures for handling sensitive complaints through the MAC during implementation.

Table 23. Key Areas for Strengthening the GRM under the RBP Project

Area	Proposed Action
Gender responsiveness	Incorporate confidential and safe procedures for GBV/SEAH-related complaints
Indigenous accessibility	Disseminate information in Indigenous languages and strengthen local support
Territorial outreach	Improve awareness campaigns and local presence in rural forest territories
Institutional coordination	Strengthen collaboration with the National Institute of Indigenous Languages (INALI) and the National Institute of Indigenous Peoples (INPI) in grievance handling processes.
Participatory monitoring	Establish monitoring and evaluation procedures with stakeholder participation

9.1 FAO's approach to conflict and grievance prevention and redress

As established in FAO's FESM, examined above, FAO is committed to guaranteeing the right of stakeholders *involved in or affected by* FAO supported activities to express their opinions, whether positive or negative, as well as raise their concerns and grievances have access to fair, transparent, inclusive and no-cost processes and mechanisms to redress grievances and resolve conflict. Addressing grievances early and effectively mitigates, manages and resolves problems, and prevents them from becoming worse, and so the existence of a grievance mechanism is crucial early in the design of the project design and implementation.

According to FAO's FESM, a grievance, feedback and complaint mechanisms should be: legitimate, accessible, predictable, equitable, transparent, rights-compatible, open to continuous learning, and confidential. Poorly designed or implemented grievance mechanisms can result in mistrust or disempowerment and disrespect for the process among the involved or affected people, where grievances are not adequately assessed and managed. Similarly, a poorly designed grievance mechanisms can disincentive stakeholders from raising grievances, or they may not be clear on how to access or follow up, which does not mean the absence of grievances.

With this in mind, all FAO offices (i.e. headquarters, regional, sub-regional, country and field offices) will establish dedicated channels for receiving complaints related to the Organization's compliance with the FESM or to serve as the grievance mechanisms for programmes or projects. FAO's grievance mechanisms at the country level can include an email address, telephone number and mailing address; or where appropriate, a dedicated Web page with a messaging facility and social media portals for messaging. The existence of the grievance mechanism, its purpose and all possible communication channels will be publicized to stakeholders continuously, as a general and permanent provision, including in the context of stakeholder engagement and information disclosure efforts. All complaints related to the implementation of activities shall be received and addressed in a timely and culturally appropriate manner, and once a complaint has been made, FAO shall keep the complainant abreast of the progress of the case.

Following FAO's FESM, retaliation against workers and / or other stakeholders who to seek for conflict or grievance redress is prohibited and should be prevented. FAO neither tolerates nor contributes to threats,

intimidation, retaliation or physical and legal attacks against human rights defenders and stakeholders who are involved in and affected by FAO funded or implemented programmes and projects.

<mailto:Investigations-hotline@fao.org>

FAO's Mexico has in place GRM channels, via phone (5549553549 ext. 313) and email (FAOMX-Quejas@fao.org), and which will be handled impartially and promptly, consistent with FAO's broader commitment to accountability and stakeholder protection.

9.2 Green Climate Fund's Independent Redress Mechanism

The GCF has in place an Independent Redress Mechanism (**IRM**), which should also be made available to project stakeholders at all times, including as part of information disclosure and dissemination efforts of this RBP project. The GCF's IRM is available at: email: irm@gcfund.org and phone numbers: Office telephone: +82 32-458-6186; Fax: +82 32-458- 6096; Cellphone: +82 10-4296-1337. Specific communication products to be developed for all affected people and stakeholders will include reference to all the available grievance redress mechanisms.

10. Implementation, monitoring and evaluation arrangements

As examined in detail in section 7.2, a comprehensive set of environmental and social management measures have been identified in preparation of this ESMF and its supporting safeguards instruments, and a detailed environmental and social management matrix was prepared. The environmental and social management matrix has been conceived as a preliminary monitoring and evaluation tool for this ESMF and complementary safeguards instruments, and which will be refined into actionable plans upon project inception and prior to any on-the-ground implementation.

The environmental and social management matrix provides detailed framework management measures - and monitoring and implementation arrangements - for all environmental, social and governance risks identified for the RBP, including those relevant to IPs and other local communities, women and any barriers to effective and inclusive participation in project activities. All of these will be refined - including detailed indicators, monitoring parameters, timelines, roles and responsibilities, and budgets - as part of the establishment of the project's ESMP during the project inception phase, and will inform the terms, conditions and standardized procedures for prioritizing, assessing, implementing, monitoring and reporting of on-the-ground activities.

Accordingly, the environmental and social management matrix should be considered an integral component of the project's M&E framework, including dedicated criteria, procedures and indicators to guide the prioritization, design, implementation, monitoring and reporting on on-the-ground implementation. Similarly, the ESMP should include detailed methodologies and approaches to monitor and assess management measures, and describe with technical details each mitigation measure, together with designs, equipment descriptions and standardized operating procedures, as appropriate, to ensure that all project team and partners with a role in this ESMF contribute to the implementation of all project activities in a manner that remains in compliance with the GCF's standards and policies and FAO's FESM.

To support the implementation of this ESMF – and the ESMP and supporting safeguards instruments – and the consistent implementation, monitoring and reporting on management measures, the project will carry out targeted trainings to project team and implementation partners and field staff, as well as standardized operating procedures will be prepared and included in service procurement services, and other guidance documents, as appropriate.

Regular monitoring and due diligence to all project activities is required throughout project implementation, including through detailed management measures established in this ESMF, in a way that informs annual and semi-annual performance reporting under both the GCF and the AE. Management measures relevant to on-the-ground activities will be regularly informing the ESMP and IPP, the SEP and the GAAP, in a feedback loop consistent with the adaptive management and conflict resolution and peace building approaches of the project, reflect on the project's inclusion, intersectional and gender dimensions in a feedback loop to inform regular updates and improvements, including to revise / update the project risk classification as relevant.

Specifically, the monitoring section of the ESMP should include:

- A detailed description of methodologies and approaches applicable to monitor measures, including indicators and parameters to be measured and frequency, methods to be used, sampling areas and definition of thresholds that will signal the need for corrective actions.

- Monitoring and reporting procedures to ensure the early detection of impacts that may need specific mitigation measures, and to provide information on the progress and results of mitigation (i.e. by annual audits and surveys to monitor overall effectiveness of this ESMF). Monitoring of on-the-ground activities will be in charge of the project's PMU.
- Roles, responsibilities, detailed budgets and timelines that guide the project's annual workplan, including of its safeguards team.

As underscored in section 7, the project's ESMF and environmental and social management matrix have been built upon the country's REDD+ readiness efforts and its own national interpretation of the Cancun Safeguards. Accordingly, and reconciled with FAO's FEMS, an integrated safeguards framework has been established as the basis for this ESMF and the environmental and social management matrix, conceived to provide a fit-for-purpose safeguards framework that remains anchored in the national interpretation of Cancun Safeguards which simultaneously ensuring conformance with and reporting towards relevant safeguards and policies.

The table below provides a referential timeline of the implementation of this ESMF, with a focus on activities to be undertaken over the project inception phase. As aforementioned, detailed workplans and timelines for both the ESMP and supporting safeguards instruments will be determined over the project inception phase.

The PMU safeguards specialists will be responsible for monitoring implementation of the ESMF, SEP, GAAP, IPP and ESMP and reporting on safeguards performance through the project's regular monitoring and reporting arrangements

Table 24. Timeline for the establishment and implementation of this ESMF and complementary safeguards instruments

Activities and milestones in the implementation of this ESMF	Y1	Y2	Y3	Y4	Y5	Y6
Hire safeguards specialist at the central level and recruit dedicated consultancies to undertake thematic assessments, as required.						
Environmental and social assessment (ESA) focused on the geographical area of intervention for on-the-ground activities (Component 2), including a comprehensive stakeholder mapping and socio-cultural characterization of potential project beneficiaries and partners, including a comprehensive overview on their roles, interests and concerns in relation to the RBP and the BSS as well as in relation to capacity building and access to information needs.						
Undertake a conflict potential assessment in relation to the proposed area of intervention of the BSS and integrate recommendations / standardized procedures as part of the terms and conditions of the BSS and informing the Exclusion List, as relevant.						
Develop the Indigenous Peoples Plan						
Prepare the Environmental and Social Management Plan for the project , in accordance with the ESA, including the re application of FAO's risk screening checklist and the refinement of the project's risks and management measures matrix.						
Develop standardized operational procedures: i) to guide participatory and consultative processes in the context of the BSS, ii) for conflict prevention and peace building as part of the ESMP and operational guidelines for the BSS, iii) to guide the implementation, oversight, monitoring and reporting on the ESMP in the context of the BSS.						
Implement the ESMP and the IPP throughout project implementation, as per risk management measures, procedures and protocols established to guide project implementation and on-the-ground activities under the BSS, including to inform reports on project implementation and REDD+ safeguards in the context of the REDD+ Strategy.						
Refine the stakeholder consultations, FPIC, and participation action plan (SEP, Component 1) , including but not limited to existing / revised / new national and regional participatory structures, and participatory and consultative processes in the context of the BSS that ensure the respect of FPIC (consistent with the IPP).						
Implement the stakeholder consultations and participation action plan, including tailored efforts on a case-by-case basis in the context of the operation of the BSS, ensuring the respect of FPIC where FDIPs are project beneficiaries.						
Develop an environmental awareness raising and capacity building action plan, (SEP, Component 2) at the national and subnational level and differentiated by interest groups, , including dedicated efforts for IPs.						
Implement the environmental education, awareness raising and capacity building action plan geared at diverse beneficiary groups and project implementation partners						
Develop a communications and outreach strategy (SEP, Component 3) , at the national and subnational level and differentiated by interest groups, including for national and local audiences, including dedicated efforts for IPs, as well as for international audience (i.e. GCF, REDD+ financing entities / donors).						
Implement the communications and outreach strategy, including the development of culturally appropriate and gender-sensitive material.						
Implement the MAC Improvement Plan, including measures to strengthen the reception, registration, referral, follow-up, resolution and reporting of project-related complaints, concerns, requests for information and feedback, and operate the MAC						
Refine the Gender Assessment in a way that informs the terms and conditions of the BSS as well as the conflict assessment and the SEP, and refine the Gender Action Plan.						
Develop standardized operational procedures for the implementation of the GAP, and operational guidelines for the BSS as appropriate.						

Source: Authors' own elaboration.

Implementation and governance arrangements

The Government of Mexico has requested FAO's technical and operational assistance for the design and implementation of this RBP proposal. Accordingly, FAO has been requested to act as both Accredited Entity and Executing Entity.

FAO will act as the **Accredited Entity (AE)** for the project and will be responsible for the overall management of the project, including: (i) oversight of project appraisal and funded activity implementation; (ii) administrative, financial and technical oversight and supervision throughout project implementation; (iii) ensuring funds are effectively managed to deliver results and achieve objectives; (iv) ensuring the quality of project monitoring, as well as the timeliness and quality of reporting to the GCF; and (v) project evaluation and closure.

In accordance with its accountability framework, FAO will retain overall responsibility for fiduciary oversight, compliance with the **Accreditation Master Agreement (AMA)** and **Funded Activity Agreement (FAA)** and monitoring of safeguards and project performance. FAO will ensure these responsibilities in accordance with the detailed provisions outlined in the AMA between FAO and GCF. FAO will also ensure compliance with GCF policies, including environmental and social safeguards and gender requirements.

FAO's role as AE will be attributed to the relevant offices and divisions in FAO Headquarters located in Rome, Italy (HQ), Subregional office for the Mesoamerican region, located in Panama, and the FAO Representation in Mexico (FAOMX). To fulfil the AE functions, FAO will set up a dedicated **Project Task Force (PTF)** in line with FAO project cycle guidelines. The PTF will be composed by the **Budget Holder (BH)** in the country office, the **Lead Technical Officer (LTO)**, **Funding Liaison Officer (FLO)**, HQ Technical Officer and other officers, as appropriate.

The project will be executed by FAO, acting through its Representation in Mexico (FAOMX), and the Government of Mexico, acting through CONAFOR, to deliver the project activities using the GCF proceeds.

There is a clear advantage to jointly deliver the project with CONAFOR, as such approach will allow for complementarity of skills, capacity, and expertise to achieve results, for better sustainability of project's results, and for continuous capacity strengthening of this key national entity in implementing and monitoring climatic and environmental policies.

In its role as Executing Entity (EE), FAOMX will be responsible for day-to-day project implementation, including operational planning, procurement, financial administration, coordination with national counterparts, and supervision of implementing partners. FAOMX will implement directly the activities assigned to FAO through the provision of goods, services, technical assistance and project management support. FAO will also provide technical support for the design and implementation of ground interventions as well to strengthen capacities of the counterpart and key stakeholders and beneficiaries, at different levels. Similarly, FAO will ensure full compliance with FAO's FESM at all times.

CONAFOR is the best-fit implementing partner based on its mandate, technical expertise, operational capacity, and central role in achieving the project results. As the federal institution responsible for implementing forest policy in Mexico, and with extensive experience implementing payment for ecosystem services and community-based climate resilience initiatives across the country, CONAFOR brings valuable expertise in managing development projects and ensuring effective delivery of forest and climate actions. CONAFOR is a leading institution in Mexico, with established systems for fiduciary management,

environmental and social safeguards, and community engagement, and will support implementation of the project.

Given that FAO together with the Government of Mexico (through CONAFOR) will act as Executing Entities, and so will be responsible for the implementation of relevant management measures and procedures to be determined in the ESMP, to ensure safeguards compliance during the assessment, selection, implementation, monitoring, evaluation and reporting of on-the-ground activities to be supported by GCF proceeds.

At the national level, a Project Steering Committee (PSC) will be established as the highest level of project governance to guide overall project implementation and ensure inter-institutional coordination. The PSC will be chaired by CONAFOR and include the participation of the **Secretariat of Agriculture and Rural Development (SADER), Secretariat of Environment and Natural Resources (SEMARNAT), FAOMX, and the Ministry of Finance and Public Credit.** The PSC composition will ensure women's representation and gender expertise through: (i) inclusion of designated Gender Focal Point from CONAFOR and the Gender Equity and Social Inclusion (GESI) specialist from the PMU as a technical advisor to ensure gender considerations are integrated into all strategic decisions and oversight functions.

Under the overall guidance of the PSC, the **Project Management Unit, the PMU,** will be responsible for overseeing the day-to-day management and execution of Project activities. The PMU will serve as the project's technical and administrative management unit and will have responsibility for, among others: or overall project coordination, administration, planning, budgeting, procurement support, monitoring, ensuring safeguards and gender-related measures implementation, reporting, knowledge management, and secretariat support to the PSC, in accordance with the guidance and decisions of the PSC and the approved annual work plans and budgets (AWPBs).

In this sense, the PMU is the responsible for day-to-day implementation, monitoring, evaluation and reporting on the ESMP to be developed, including in relation to the complementary yet standalone IPP, the SEP and the GAAP. Dedicated Safeguards and Gender Specialists will ensure expertise on safeguards, IPs issues, gender, and intersectionality. They will ultimately be responsible to support the implementation, monitoring, evaluation and reporting of mitigation measures and procedures relevant to on-the-ground implementation, including in relation to participatory and consultative processes. Regarding GBV/SEAH, the project will have zero tolerance of SEAH, and the implementation safeguards documents will mainstream SEAH risk mitigation. The gender specialist, will be responsible for the GAP implementation including capacity building on PSEA and measures to prevent and address GBV/SEAH issues that may arise in the context of the project. This will be in coordination with the safeguards specialist and relevant personnel in CONAFOR and FAO.

At the **subnational level,** periodic coordination with **State Governments** will be ensured through state-level established participatory platforms (e.g., State Forestry Councils, state REDD+ platforms), as defined as key mechanisms for capacity building and information dissemination. **Territorial Agents (local public institutions or civil society organizations)** will be strategic actors to ensure coordination with public institutions at sub-national level and particularly with local stakeholders. Territorial agents will directly **support ejidos and communities, and small landowners** in implementing the project activities. Also given their landscape approach in their influence areas of action, they will be key in avoiding duplication of initiatives and in promoting transparent, rights-based and inclusive engagement.

Noting the high-level and strategic nature of this ESMF, and consistent with the adaptive management approach provided in Mexico's REDD+ Strategy providing for on-going improvements, the ESMP to be prepared over project inception will allow to validate and revise the proposed governance and implementation arrangements, consistent with the project's governance and its M&E framework.

10.1 Workplan and budget

This section details the preliminary budget required to implement this ESMF and standalone yet complementary instruments, namely the SEP, the IPP and the GAAP, ensuring adherence to FAO's FESM and all relevant standards and policies under the GCF. The budget is organized to support the implementation of this ESMF and all complementary instruments throughout project implementation, distinguishing expenses in terms of full-time staff, analytical work and consultancy work envisioned, implementation of safeguards management frameworks and/or measures. This includes on-going screening, assessment and monitoring of potential risks and opportunities as identified in this ESMF as well as any that may be identified in preparation of the ESMP during inception phase. This budget also considers other expenses related to the SEP, including regarding stakeholder engagement, consultations and FPIC, awareness raising and capacity building, and the operation of the dedicated GRM procedures for the project.

Table 25 Budget

Item	Total Cost (USD) *To be confirmed
Safeguards national specialist/expert (6 years)	350,000
Gender national specialist/expert (6 years)	350,000
Preparation of the ESMP and associated safeguards instruments, including the IPP	30,000
Capacity building and awareness raising activities under the SEP, including training for CONAFOR, territorial technical teams, implementing partners and community-level actors	480,000
Implementation of the SEP, including consultations and stakeholder engagement process throughout project and on-the-ground implementation and FPIC, when applicable.	1,000,000
Update and implementation of the GAAP	362,000
Communication materials, FGRM related operation	300,000
Implementation of IPP, including culturally appropriate engagement, interpretation, community facilitation and monitoring	300,000
Implementation of ESMP	517,500
Total	3,689,500*

** The amounts represent total estimated costs for the full project lifecycle and are not annual allocations. Cost will be shared by output 1.2 (40%) and output 2.2 (60%). They will be confirmed and further detailed through costed annual workplans during the project inception phase. For a detailed budget breakdown, please refer to Annex 2.*

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Annex 1. FAO's Environmental and Social Checklist Screening for the RBP project proposal

Full ES Risk Screening checklist for project 761863

Project Title: GCF Results-Based Payments Mexico 2018-2019 aimed at Forest Conservation and Sustainable Livestock

Risk has been certified on 11-Jun-2026

The proposed project is classified as: **Moderate-risk**

Environmental and Social Safeguard question	Answer	Likelihood	Impact	Risk category	Reference Guidance	Risk mitigation measures (if any)
ESOP 2 - Stakeholder Engagement						
ESOP 2.1 Is it likely that the project will cause or increase tensions between community members, for example between beneficiaries and non-beneficiaries?	No					
ESOP 2.2 Will the project collect and process beneficiaries' personal data?	Yes				* Follow FAO's Data Protection Policy. * Does the project use Identification and Delivery for Empowerment Applications (IDEA) or any other system to protect personal data? Please see the guidance note on data protection for further guidance.	Apply data protection protocols consistent with applicable law and institutional procedures. Collect only necessary data, inform participants about the purpose of data collection, ensure confidentiality, restrict access to personal data and anonymize sensitive information where possible. Ensure MAC records are managed under confidentiality and personal data protection principles.

Environmental and Social Safeguard question	Answer	Likelihood	Impact	Risk category	Reference Guidance	Risk mitigation measures (if any)
ESS 1 - Biodiversity conservation, and sustainable management of natural resources						
Could the project positively or negatively affect biodiversity or habitats (water or land), through activities or policy?	Yes					Apply environmental eligibility and exclusion criteria. Prioritize native species and biodiversity-friendly restoration practices. Avoid conversion or degradation of natural habitats. Use technical assistance, site-level screening and monitoring to ensure consistency with biodiversity conservation objectives. Coordinate with relevant environmental authorities where activities

ESS 1.1 Could the project lead to land use change, fragmentation, conversion, or degradation of habitats (water and/or land)?	No			Low	'Habitats' includes the following: * Natural habitats are land and water areas where the biological communities are formed in large part by native plant and animal species, and where human activity has not essentially modified the area's primary ecological functions and species composition. * Modified habitats are areas that may contain a large proportion of plant and/or animal species of non-native origin, and/or where human activity has substantially modified an area's primary ecological functions and species composition. Modified habitats may include areas managed for agriculture, forest plantations, reclaimed coastal zones, and reclaimed wetlands. * Critical habitats are areas with high biodiversity value that are of significant importance to endemic, restricted-range, threatened, endangered, migratory, or congregatory species. Or they may include highly threatened and/or unique ecosystems associated with ecological functions or characteristics that are required to sustain the previously described biodiversity. * To see the relevant areas, visit the Protected Planet website * For programmes and projects operating in protected areas, FAO will: * * show that the proposed activities in these areas are legally permitted; * * operate in a manner that is in line with management plans that have been recognized by the government; * * engage in consultations with the sponsors and managers of the protected area, and involve them and other stakeholders, including Indigenous Peoples and local communities as appropriate.	intersect with protected or priority conservation areas.
ESS 1.2 Could the project include activities in marine or terrestrial areas that are or may become legally protected?	Yes	Likely	Low	Low	* * show that the proposed activities in these areas are legally permitted; * * operate in a manner that is in line with management plans that have been recognized by the government; * * engage in consultations with the sponsors and managers of the protected area, and involve them and other stakeholders, including Indigenous Peoples and local communities as appropriate.	Screen activities located in or near protected areas or priority conservation zones. Ensure consistency with applicable management plans and environmental regulations. Coordinate with CONANP or relevant authorities when required. Avoid activities that could undermine protected area objectives.
ESS 1.3 Could the project include any activity on the ground related to agroforestry, forest plantation, harvesting, or management of forest resources (native or planted) for timber and non-timber forest products uses (e.g. seeds collection, spices, honey, mushrooms, bush meat)?	Yes			Moderate	* Adhere to existing national forest policies, forest programmes or equivalent strategies; * and the Voluntary Guidelines on Planted Forests.	Provide technical assistance and environmental guidance for implementation. Promote native or locally adapted species, diversified systems and sustainable forest/resource management. Exclude activities involving habitat conversion, illegal harvesting or unsustainable extraction.

					Monitor implementation through georeferenced information, field verification and safeguards supervision.
ESS 1.4 Could the project implement aquaculture activities?	No			Low	* Animals: Follow the World Organisation for Animal Health terrestrial or aquatic code to ensure the introduced species/breed does not carry different diseases than local ones; * Plants: Follow appropriate phytosanitary protocols in accordance with International Plant Protection Convention; * Importing or transfer of seeds and/or planting materials for research and development: Ensure compliance with Access and Benefit Sharing norms as stipulated in the International Treaty on Plant Genetic Resources for Food and Agriculture and the Nagoya Protocol of the Convention on Biological Diversity as may be applicable. * Adhere to the Convention on Biological Diversity and the Cartagena Protocol on Biosafety in the handling, transport, and use of living modified organisms resulting from modern biotechnology; * The FAO Biosafety Resource Book is an important training tool for guiding activities; * Adhere to biosafety requirements in the handling of Genetically Modified Organisms or Living Modified Organisms according to national legislation; * Take measures to prevent gene flow from the introduced varieties to existing ones and/or wild relatives. At a minimum, follow the World Organisation for Animal Health Terrestrial and Aquatic Animal Health Codes. If yes, specific project document requirements may apply related to plant genetic resources for food and agriculture falling under the Multilateral System of Access and Benefit-sharing of the International Treaty on Plant Genetic Resources for Food and Agriculture.
ESS 1.5 Could the project provide or lead to the use of non-native species, varieties or breeds (terrestrial or aquatic)? Or Is there a risk that (agro) biodiversity might be lost because of monoculture?	No			Low	
ESS 1.6 Could the project lead to the introduction of genetically modified organisms (GMOs)?	No			Low	
ESS 1.7 Could the project affect animal welfare e.g. include transport or slaughter of animals?	No			Low	
ESS 1.8 Could the project use genetic resources for research or (commercial) development - including from Indigenous Peoples or local communities, and/or associated traditional knowledge - for which prior informed consent/mutually agreed terms are required?	No			Low	
ESS 1.9 Could (processed) natural resource commodities be procured in the context of the	Yes	Likely	Low	Low	Define procurement rules and exclusion criteria. Require legal and sustainable

project? E.g. primary/retail suppliers buying harvested wood, gravel or sand?		sourcing for any natural resource commodities. Avoid procurement linked to illegal deforestation, habitat conversion or unsustainable extraction.
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Environmental and Social Safeguard question	Answer	Likelihood	Impact	Risk category	Reference Guidance	Risk mitigation measures (if any)
ESS 2 - Resource efficiency and pollution prevention and management						Promote resource-efficient and low-pollution practices. Apply technical guidance on soil and water conservation, waste management and sustainable input use. Avoid activities involving hazardous substances or significant pollution risks.
Could the project positively or negatively affect soil and water resources, or water-related ecosystems, through activities or policy (e.g. through pollutants, pesticides, fertilizers, hazardous materials or waste)?	Yes					
ESS 2.1 Could the project lead to significant consumption/extraction of raw materials, surface or ground water and/or energy (e.g. water extraction is above sustainable levels or recharge capacities)?	No			Low	Minimize adverse impacts on the environment e.g. through energy-efficient machinery and equipment, cleaner production methods, nature-based solutions, green designs, sustainable infrastructure and procurement, etc.	
ESS 2.2 Could the project implement irrigation activities (including rehabilitation of irrigation schemes) and/or restrict or alter riverine systems (e.g. dams, reservoirs, river basin development, water diversion)?	Yes			Moderate	* Promote integrated water resources management approaches; * More than 20 ha of irrigation, or improving existing irrigation schemes: The ICID-checklist will be included in the prodoc or Environmental and Social Assessment, as well as appropriate actions to mitigate identified potential negative impacts; * FAO activities will avoid direct discharge of wastewater into freshwater courses, marine coastal areas, and surface runoff originating from production units or processing areas.	Keep dams, reservoirs, river basin development, water diversion and large-scale irrigation schemes outside the scope of the project. Promote water-efficient and climate-resilient practices, including rainwater harvesting systems, soil moisture conservation, mulching, infiltration measures, small-scale water storage where appropriate and legally permitted, and the use of native or locally adapted species with low water requirements.
ESS 2.3 Could the project implement activities on, or potentially lead to, degraded, depleted or polluted soil?	Yes	Likely	Low	Low	* Follow the Voluntary Guidelines for Sustainable Soil Management; * Following the guiding principles of the Revised World Soil Charter; * Utilize the Protocol for the assessment of Sustainable Soil Management to assess impact on soil health;	Use soil restoration and conservation practices, avoid activities that exacerbate degradation, and provide technical assistance on sustainable grazing, vegetative cover and erosion control.
ESS 2.4 Could the project directly or indirectly lead to the use and/or management of pesticides? * This also includes activities related to	Yes			Moderate	* Examples of pesticide use include projects that distribute treated seeds or implement locust campaigns and may include projects	Promote integrated pest management, agroecological practices and technical

management or disposal of waste pesticides, obsolete pesticides or pesticide contaminated waste materials.						that implement grants and funds; * Utilize Integrated Pest Management and Integrated Vector Management approaches as the frameworks for sustainable pest management; * The types and quantities of pesticides and the associated application and protective equipment that people are provided with must always comply with the conditions specified in FAO's Framework for Environmental and Social Management under ESS2 and should be included or referenced in the project document. * Follow the guidance in the FAO Environmental Management Toolkit for obsolete pesticides .	guidance to reduce chemical inputs. Avoid financing or promoting pesticide use.
ESS 2.5 Could the project lead to the use and/or management of fertilizers?	Yes	Likely	Low	Low		* Follow FAO International Code of Conduct for Sustainable Use and Management of Fertilizers (the Fertilizer Code); * Practice Integrated Soil Fertility Management. Utilize the Protocol for the assessment of Sustainable Soil Management to assess impact on soil health; * Include (synthetic and organic) fertilizer and soil nutrient quality analysis according to the standard protocols and guidelines provided by the International Network on Fertilizer Quality.	Promote organic soil management, composting, improved grazing and low-input practices. Avoid financing synthetic fertilizers unless justified and managed through technical guidance. Monitor input use as part of implementation.
ESS 2.6 Could the project activities lead to the one-time or continuing increase in the release of pollutants (e.g. nitrates from fertilizers, methane from livestock)?	Yes	Likely	Low	Low		* Examples include black carbon, methane and other short-lived climate pollutants, nitrates, ozone-depleting substances, petroleum hydrocarbons, Persistent Organic Pollutants, heavy metals, large amounts of agricultural plastics etc; * Follow the Voluntary Guidelines for Sustainable Soil Management; * Use performance levels and measures that are specified in national law or that are in accordance with good international practice, whichever are more stringent; * Avoid and minimize significant emissions in previously polluted or degraded areas.	Promote sustainable livestock practices, improved grazing management, restoration of vegetative cover and monitoring of environmental performance. Avoid activities that increase herd size without sustainability measures.
ESS 2.7 Could the project involve the use of hazardous substances and materials AND/OR lead to significant generation and handling of wastes (e.g. plastic, construction and demolition-related waste, wastewater, pesticide-related waste, veterinary waste or animal residue)?	No			Low			

Environmental and Social Safeguard question	Answer	Likelihood	Impact	Risk category	Reference Guidance	Risk mitigation measures (if any)
ESS 3 - Climate change and disaster risk reduction						
Could the project positively or negatively affect people's vulnerability to climate change?	Yes					Integrate climate resilience criteria into activity design. Promote nature-based solutions, diversified production systems, soil and water conservation, and adaptive capacity building. Monitor climate-related risks in target landscapes.
ESS 3.1 Could the project activities negatively affect communities not targeted by the project that rely on the same natural resources? E.g. a community that depends on the same river downstream.	No			Low		
ESS 3.2 Could beneficiaries develop dependencies on climate-adaptation resources or services promoted by the project that may be hard to maintain after project completion (due to factors such as cost, expertise, etc.)?	No			Low		

Environmental and Social Safeguard question	Answer	Likelihood	Impact	Risk category	Reference Guidance	Risk mitigation measures (if any)
ESS 4 - Decent work						
Could the project positively or negatively affect working conditions, generate employment or provide work-related training or technical support?	Yes					Ensure that training and project-supported work comply with decent work principles, non-discrimination, occupational safety and health requirements, and exclusion of child and forced labor. Include labor-related provisions in agreements with implementing partners and service providers.
ESS 4.1 Could the project lead to work-related training, cash for work, or will the project employ people? Note that this question should be triggered by projects that involve construction activities.	Yes	Likely	Low	Low	* These activities are positive if they contribute to decent work. They can cause unintended harm if the regulatory context and working conditions in the project sites are poor and not properly addressed in the project. Examples of weak regulatory contexts include not meeting national labour laws or international commitments or with such high levels of informality that national regulations do not apply or cannot	Provide safe and inclusive training conditions. Ensure equal access for women, youth, Indigenous Peoples and vulnerable groups. Apply codes of conduct and basic occupational safety measures for field activities.

ESS 4.2 Could the project use, or operate in, a value chain where there have been reports of forced labour? Or will it work in areas with increased risk of forced labour e.g. crisis, fragile and conflict-affected area or a host community for internal migration or refugees?	No			Low	be monitored; * Poor working conditions may include discriminatory practices, high gender inequality and the lack of equal opportunities, denial of freedom of association and collective bargaining, no respect of minimum wages or low pay below the national poverty line, discrimination of migrant workers or specific groups of marginalized workers, etc. Note that risks of forced labour may be increased for projects located in remote places or where migrant workers are employed.	
ESS 4.3 Could the project operate in a context or agricultural value chains (including fisheries) where there have been recent documented reports of child labour?	No			Low	* Note that project activities (e.g. generating employment, providing training/technical support) may lead to work that is typically hazardous to children, such as work at night, work at height, exposure to chemicals, or work under water. Refer to the International Labour Organization's Handbook on Hazardous Child Labour; * Risks of child labour in food and agriculture systems exist especially as unpaid family labour, in all sub-sectors of agriculture and not only in more commercial commodities; * If the project engages youth, take action to anticipate risk of engaging young people aged 14-17 in child labour by changing design or introducing complementary measures.	
ESS 4.4 Could the project: (a) operate in a sector, area or value chain where workers are typically exposed to Occupational Safety and Health (OSH) risks, and/or (b) implement activities, promote or use technologies or practices that pose OSH risks to workers such as farmers, fisherfolk, laboratory staff, animal health professionals, other workers or rural populations?	Yes	Likely	Low	Low	* OSH risks in agriculture might include: dangerous machinery and tools, hazardous chemicals, toxic or allergenic agents, carcinogenic substances or agents, parasitic diseases, transmissible animal diseases, confined spaces, ergonomic hazards, extreme temperatures, and contact with dangerous and poisonous animals, reptiles and insects; * Psychosocial hazards might include violence and harassment; * Awareness raising and capacity development activities on the needed Provide OSH guidance for field activities, including safe use of tools, appropriate protective equipment where needed, safe transport and risk awareness. Require service providers and implementing partners to apply basic OSH measures.	

		gender-responsive OSH measures should be included in project design to ensure workers' safety and health, including for informal workers; * Complementary measures can include measures to reduce risks and protect workers, as well as children working or playing on the farm, such as alternatives to pesticides, improved handling and storage of pesticides, etc.
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Environmental and Social Safeguard question	Answer	Likelihood	Impact	Risk category	Reference Guidance	Risk mitigation measures (if any)
ESS 5 - Community Health, Safety and Security						
Could the project positively or negatively affect health, safety and livelihoods of communities (including women, men, youth, as well as marginalized, disadvantaged and vulnerable groups)?	Yes					Apply community health and safety measures, codes of conduct for field teams, accessible grievance channels and clear communication with communities before field activities. Avoid activities involving hazardous infrastructure or significant community exposure to risks.
ESS 5.1 Could the project expose communities to health risks such as: pollution and the contamination of land, resources or food; biological hazards, including transboundary animal diseases; incidents of soil-borne, water-borne, vector-borne diseases, zoonotic diseases, food-borne diseases; the availability of drinking water; injuries; and detrimental effects on mental health and well-being?	No			Low	Note that where endemic disease (e.g., malaria) exists in the project areas, it should explore ways to improve environmental conditions that could minimize the incidence of these diseases.	
ESS 5.2 Could the project jeopardize the availability, accessibility and/or affordability of safe and nutritious foods that contribute to healthy and balanced diets? E.g. by sourcing foods from polluted sources.	No			Low	An FAO programme or project that supports healthy dietary patterns should adhere to the FAO/WHO guiding principles for sustainable healthy diets; promote all dimensions of individuals health and well-being; have low environmental pressure and impact; and be accessible, affordable, safe, equitable and culturally acceptable.	
ESS 5.3 Could the project expose communities to hazardous materials (including biohazardous, e.g. vaccines) or equipment (e.g. agricultural machinery accessible to the community), or will the project involve the design or construction of new	No			Low		

infrastructure, changes (including renovation and rehabilitation) to existing infrastructure, transportation, or storage?						
ESS 5.4 Could the project lead to an influx of project workers?	Yes	Unlikely	Low	Low		Apply codes of conduct for project personnel and service providers. Ensure respectful engagement, community protocols, SEA/SH prevention measures and accessible grievance channels. Use local capacity where feasible and avoid unnecessary influx of external workers.
ESS 5.5 Could the project have impacts on ecosystems and ecosystem services that may result in direct and indirect health and safety risks to communities? E.g. loss of natural buffer that increases the risk of flooding, removal of vegetation cover that increases the risk of landslides.	No			Low		
ESS 5.6 Will the project involve construction of buildings or infrastructure in areas prone to (natural) disasters such as earthquakes, subsidence, landslides, erosion, flooding, forest fires)?	No			Low		
ESS 5.7 Could the project lead to the engagement of security personnel to protect facilities and property or to support project activities?	No			Low	Note that FAO will take action (or require appropriate parties to take action) to prevent any occurrence of abuses and/or reprisals against individuals and communities. When necessary, FAO will report unlawful and abusive acts to the appropriate authorities.	
ESS 5.8 Could the project implement activities in areas with potential presence of mines and unexploded ordnances (UXOs)?	No			Low	Contact the ESM Unit for guidance.	

Environmental and Social Safeguard question	Answer	Likelihood	Impact	Risk category	Reference Guidance	Risk mitigation measures (if any)
ESS 6 - Gender equality and prevention of gender-based violence (GBV) Could the project positively or negatively affect people based on their gender, through activities or policy?	Yes					Integrate a gender-responsive approach throughout project design and implementation. Include targeted measures for women's participation, accessible consultation processes, gender-sensitive communication, sex-disaggregated monitoring and SEA/SH prevention measures.

ESS 6.1 Could the project lead to increased gender-based discrimination or inequalities?	Yes	Unlikely	Low	Low	For example through: * Not assessing social identities intersecting with gender (such as age, minorities and disabilities), which can exacerbate inequality); * Not addressing gender dimensions when providing policy advice; * Increasing the work burden for women; * Perpetuating women's poor labour conditions or displacing work currently carried out by women to men; * Using approaches that are not culturally and socially contextualized nor accepted; * Engaging implementing partners/service providers that are not gender-sensitive; * Excluding or failing to engage women in decision-making and planning processes; * Overlooking the specific constraints women face in gaining access to resources (natural and productive) and services (advisory and financial); * Not engaging/sensitizing men and boys in efforts to address gender inequalities and women's empowerment; * Overlooking women's major capacities and their skills (leadership/negotiation/technical) and knowledge gaps. * Note that any person can be the perpetrator of GBV; * Refer to the GBV assessment conducted by the national UN GBV cluster if available, and consider these guiding questions: What are the socio-cultural factors affecting the groups who will directly or indirectly benefit or be affected by FAO's intervention/response? (age, gender, health and wealth status, disabilities etc.); What are the gender and other intersecting factors affecting the target groups that might render them more susceptible to GBV (high vulnerabilities among single female headed households, children, ethnic groups, elderly, disabled and refugees)?; * Examples of GBV include: * * Increased violence in the household as women are the sole recipients of inputs and services; * * Violence against women and girls residing in refugee camps;	Apply affirmative and inclusive participation measures. Ensure women's meaningful participation in consultations, capacity building and benefit-related decisions. Monitor gender-disaggregated participation and outcomes.
ESS 6.2 Could this project operate in a context with high risks of gender-based violence and discrimination against women and girls, such as in conflicts situation, camps or shelters, areas where women's mobility is restricted, or with high numbers of poor female-headed households or unaccompanied minors?	Yes	Unlikely	Low	Low	* Note that any person can be the perpetrator of GBV; * Refer to the GBV assessment conducted by the national UN GBV cluster if available, and consider these guiding questions: What are the socio-cultural factors affecting the groups who will directly or indirectly benefit or be affected by FAO's intervention/response? (age, gender, health and wealth status, disabilities etc.); What are the gender and other intersecting factors affecting the target groups that might render them more susceptible to GBV (high vulnerabilities among single female headed households, children, ethnic groups, elderly, disabled and refugees)?; * Examples of GBV include: * * Increased violence in the household as women are the sole recipients of inputs and services; * * Violence against women and girls residing in refugee camps;	Conduct gender and SEA/SH risk screening in target areas. Adapt engagement methods to women's availability, mobility and safety. Use safe consultation spaces and confidential grievance channels. Coordinate with specialized services where needed.

ESS 6.3 How is the project planning to address Sexual Exploitation and Abuse (SEA) risks? (Describe risk mitigation measures in the comments column)

- * * Gender insensitivity among project partners and project team;
- * * People excluded from activities (i.e. training and distribution of inputs) by other members of their communities, based on their gender, age or ethnic group;
- * * Not allowing women and youth to participate in negotiation tables around climate change and planning humanitarian assistance;
- * * Giving access at night to irrigation for women exposing them to increased risks of GBV;
- * * Excluding men and boys from project activities, raising competition within households and communities;
- * * Arrangement of refugee camps that might increase risks of violence against women and girls, as well as against men and boys;
- * * Water scarcity in pastoral communities creating competition among poor people with limited resources.

* Note that SEA would refer to misconduct by FAO employees, or any other personnel associated with the work of FAO, against beneficiaries and vulnerable populations, meaning any person who benefits or may benefit from FAO assistance, including any vulnerable member of the affected population (not limited to women, children, elderly, disabled, ethnic minorities, etc.);

* Examples of risk mitigation measures:

- * * Budgetary support to Prevention of SEA (PSEA) such as for hiring PSEA expertise, raising awareness in the local communities etc;
- * * Ensure all project staff completed the mandatory FAO course on SEA before starting their work (in particular frontline workers e.g. M&E personnel, personnel involved in the distribution of inputs and/or cash; drivers, security guards supporting the project implementation etc);
- * * Assess PSEA capacity of project IPs before engaging with them and build their capacity accordingly;
- * * Sensitize project staff working on stakeholder engagement (in particular at community level) on how to communicate

By continuously raising awareness about PEAS among stakeholders, partners, consultants, contractors and local organizations and communities involved. By continuously sharing information on how to report EAS cases among beneficiary organizations and communities.

effectively on SEA (i.e. language and means of communication);

- * * Ensuring project beneficiaries/local community know how to submit complaints on SEA issues (i.e. OIG FAO hotline);
- * * Make use of inter-agency/joint Community Based Complaint Mechanism and SEA referral pathways (when applicable);
- * * Sensitize project staff on the importance of confidentiality when dealing with SEA matters.
- * For more information, see the ESS 6 Guidance Note and the SEA section in the GBV assessment conducted by the GBV sub-cluster/sub-sector in the project country if available;
- * Stored data, including documents and material related to SEA allegations, should only be accessible to authorized persons and must be stored safely to prevent accidental disclosure. Options for secure data storage include locked filing cabinets; digital storage on a secure server, computer or laptop; and official cloud storage.

Environmental and Social Safeguard question	Answer	Likelihood	Impact	Risk category	Reference Guidance	Risk mitigation measures (if any)
ESS 7 - Land tenure, displacement, and resettlement:						
Could the project, through activities or policy, affect positively or negatively the ability of people to live in, access or use land and natural resources in project areas required to maintain their livelihoods? Note that this includes tenure rights that are not formally recognized.	Yes					
ESS 7.1 Could the project implement activities that could involve or result in temporary or permanent displacement of people? I.e. people living in project sites are asked to move. This could involve the building of infrastructure (i.e. warehouses, buildings, ponds), the creation of protected areas, the restoration of degraded areas, or other activities.	No			Low	Follow the Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security.	

ESS 7.2 Has there to the best of your knowledge been prior displacement in anticipation of the project?	No			Low	If yes, contact the ESM Unit for guidance: ESM-unit@fao.org .	
ESS 7.3 Could any of the project activities lead, directly or indirectly, to restriction to land use and/or access to natural resources (agricultural or livestock or fish production, forest products, soil, land and water resources, grazing areas, etc.)? * I.e. land users are no longer allowed to use the area for livelihood activities, or for access to natural resources. *In case this affects Indigenous Peoples, see also ESS 8.	Yes	Unlikely	Low	Low	* Examples include: * * Loss of land and access to land or natural resources needed to support livelihoods; * * Loss of jobs and sources of livelihoods; * * Reduced access to markets; * * Dislocation from social networks. * Follow the Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security.	Ensure voluntary participation and no involuntary access restrictions. Document agreements with landholders and communities. If any restriction risk emerges, prepare appropriate mitigation measures before implementation.

Environmental and Social Safeguard question	Answer	Likelihood	Impact	Risk category	Reference Guidance	Risk mitigation measures (if any)
ESS 8 - Indigenous Peoples						
Could the project positively or negatively impact upon, through activities or policy, Indigenous Peoples, ethnic groups or minorities, aboriginals, hill tribes, minority nationalities, scheduled tribes, first nations, tribal groups, pastoralists, hunter-gatherers, nomadic groups, or forest dwellers (described below as 'Indigenous Peoples, ethnic minorities and minorities')?	Yes					Apply culturally appropriate stakeholder engagement. Identify Indigenous Peoples and Afro-Mexican peoples in target areas. Ensure information is accessible, translated or adapted where needed, and that engagement respects representative institutions, community protocols and collective decision-making.
ESS 8.1 Could the project be located on or near lands and territories owned or claimed by Indigenous Peoples, ethnic groups, or minorities?	Yes			Low	If yes: * Free, Prior and Informed Consent (FPIC) Process is required; * Include FPIC expertise in design/project team; * Please contact the ESM/PSUI unit as needed	Conduct site-level identification of Indigenous Peoples and ethnic groups. Engage through culturally appropriate processes and relevant authorities or community institutions. Ensure voluntary participation and respect for land and resource rights.
ESS 8.2 Could the project negatively affect Indigenous Peoples, ethnic groups, or minorities through its activities or policy advice - e.g. affect their human rights, land use and ownership, natural resources access, territories, and traditional livelihoods?	No			Low	If moderate or high-risk: * FPIC Process is required; * Include FPIC expertise in design/project team; * Please contact the ESM/PSUI unit as needed.	
ESS 8.3 Could the project use genetic resources or associated knowledge from Indigenous Peoples, ethnic groups or minorities for research or commercial purposes?	No			Low	* Refer to the Nagoya Protocol and the Convention on Biological Diversity introduction to access and benefit-sharing ;	

ESS 8.4 Could the project negatively affect Indigenous Peoples', ethnic groups', or minorities' access to resources upon which their livelihoods depend ("economic displacement")?	No	Low	* If you answered the question with "yes": * * Note that IPs must be informed of their rights under national and international law; * * Plan for an FPIC Process as this is required; * * Include FPIC expertise in design/project team; * * Contact PSUI and ITPGRFA as needed. * Follow the Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security; * Adhere to FAO's Policy on Indigenous and Tribal Peoples.
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Environmental and Social Safeguard question	Answer	Likelihood	Impact	Risk category	Reference Guidance	Risk mitigation measures (if any)
ESS 9 - Cultural Heritage						include cultural heritage screening in site-level assessment. Respect community protocols, traditional practices and culturally significant sites. Avoid any use of cultural heritage or traditional knowledge without prior consent and meaningful engagement.
Could the project positively or negatively affect tangible or intangible cultural heritage, through activities or policy?	Yes					
ESS 9.1 Could the project through activities or policy advice negatively affect places, objects, values or knowledge and practices of cultural importance to communities?	Yes	Unlikely	Low	Low	* For example, the project may affect communities' lands, natural resources, territories, water sources, sites of memory, structures or objects with historical, cultural, artistic, scientific, (oral) traditional or religious values and rituals, livelihoods, knowledge, social fabric, traditions, governance systems, cultural expressions, performing arts. "Cultural expressions" are those expressions that result from the creativity of individuals, groups and societies, and that have cultural content; * Note that in case cultural heritage of Indigenous Peoples is affected by the project, ESS 8 requirements also apply (e.g. FPIC); * Screening for this safeguard will be done with full and effective participation of local people. Where a project or programme proposes to use cultural heritage, including knowledge, innovations or practices of local communities for the benefit of the project	Confirm during local engagement whether culturally significant sites or practices may be affected. Avoid impacts and adapt activities if needed.

ESS 9.2 Could the project lead to excavations, flooding, demolitions, movement of earth, landscape transformation, or alteration to social/cultural uses or heritage?	No	Low	or for commercial purposes, communities should be informed of their rights under national law, the scope and nature of the proposed use, and the potential consequences. Documented consent should be obtained.
ESS 9.3 Could the project directly or indirectly make use of tangible and/or intangible forms (e.g. collections, areas, practices, traditional knowledge) of cultural heritage for commercial or other purposes .without prior consent and extensive community engagement?	No	Low	Screening for this safeguard will be done with full and effective participation of local people. Their documented consent should be obtained.

ESS 3.3 - The table below presents the climate risk and the recommended actions.

Country	Climate Risk score	Recommendation
Mexico	Moderate Risk Based on the country/countries, the recommended climate risk score is: High	The Climate Risk Tool Box (CRTB) is designed not only to assign a climate risk score, but also to catalyze follow-up action based on the score category. Climate risks may occur within the project area, but are expected to be limited in scope, duration, or are manageable. PTF is strongly encouraged to perform a detailed screening using the full CRTB, which enables detailed, location-specific climate risk screening including polygon-based risk mapping which are essential to confirm or adjust the preliminary climate risk score obtained in FPMIS. Before starting the screening, please watch the guidance video found on the full CRTB homepage or contact the Climate Risk Team at Risks-Team@fao.org for support. If the PTF identifies a different climate risk score during the full CRTB screening process, please inform the ESM Unit at ESM-Unit@fao.org so the updated climate risk score can be properly registered in FPMIS. The full CRTB will offer recommendations for appropriate follow-up actions based on the screening results and assigned climate risk category.

Additional information

Additional question	Answer
Is there any other potential environmental and/or social risk from this project that has not been captured in the screening checklist?	No

Annex 2. Environmental, social and governance risks management matrix

*The amounts shown represent total estimated costs for safeguards implementation throughout the full project lifecycle,

ESMF Risk ID	Phase	Potential Environmental, Social and Governance Risks	Applicable FAO ESS	Management Measures	Monitoring Indicator(s)	Modality / Frequency	Responsibility	Associated Budget*
Productive restoration through silvopastoral systems								
R1	Phase 1. Outreach, socialization and call for participation	Producers, women, Indigenous Peoples or smallholders may not receive timely or accessible information on eligibility, benefits and obligations.	ESOP 2, ESS 6, ESS 8	Design and implement an inclusive and accessible outreach, socialization and call for participation strategy, promoting the participation of young producers to engage in sustainable livelihood initiatives . This will include state- and territorial-level workshops, community meetings, field travel, accessible materials, and translation or interpretation where required.	Inclusive and accessible outreach, socialization and call for participation strategy prepared and implemented.	Strategy review / each cycle.	FAO PMU, CONAFOR, SADER, Territorial Technical Agents.	USD 120,000
R2	Phase 1. Outreach, socialization and call for participation	Eligibility criteria may be perceived as unclear or inequitable, generating tensions between beneficiaries and non-beneficiaries.	ESOP 2, ESS 7, ESS 8	Publicly disclose eligibility and prioritization criteria; use participatory validation where ejidos and communities are involved. Disclosure and validation will be supported through field meetings with ejidos and communities, accessible materials, and systematic follow-up of selection-related complaints through the MAC.	Selection criteria disclosed; number of complaints related to selection.	Administrative review and MAC registry / quarterly.	CONAFOR, FAO, Safeguards Specialist.	USD 50,000

R3	Phase 1. Outreach, socialization and call for participation	Silvopastoral systems may be proposed in unsuitable sites, including areas with natural habitat, tenure conflicts or high environmental sensitivity.	ESS 1, ESS 2, ESS 7	Apply environmental and social screening, Exclusion List and site-level verification before approval, <u>integrating Indigenous Peoples' traditional knowledge and local livestock production practices and taking into account seasonal production, climate, and community calendars.</u> Screening will include, georeferenced verification, tenure review, environmental sensitivity checks, and documented clearance before approval	Percentage of SSP sites screened before approval.	Screening forms and georeferenced verification / before approval.	CONAFOR, Territorial Technical Agents, Safeguards Specialist.	USD 120,000
R4	Phase 2. Implementation	Use of inappropriate, non-native or invasive species may affect biodiversity or restoration outcomes.	ESS 1, ESS 2, ESS 3	Prioritize native, locally adapted and non-invasive species; require technical validation of SSP designs. Technical validation will combine desk review and field verification of technical designs, species selection, and corrective technical assistance where needed.	Percentage of SSP using native, locally adapted and non-invasive species.	Technical reports / semi-annually.	CONAFOR, SADER, Technical Agents, Safeguards Specialist.	USD 50,000
R5	Phase 2. Implementation	Existing pesticide or fertilizer practices may continue or increase during productive reconversion.	ESS 2, ESS 5	Avoid financing pesticides; promote integrated pest management, organic soil management and low-input practices. Implementation will include on-site technical assistance, demonstration activities, and periodic field verification of low-input and integrated pest management practices.	Number of hectares under Integrated Pest Management / low-input guidance.	Field supervision / semi-annually.	SADER, Technical Agents, FAO PMU.	USD 40,000

R6	Phase 2. Implementation	Poor grazing management may increase soil degradation, erosion, fire risk or pressure on adjacent forests.	ESS 2, ESS 3	Promote rotational grazing, forage planning, vegetative cover and erosion-control measures. Territorial technical visits will verify grazing plans, forage management, vegetative cover, erosion-control measures, and corrective actions.	Percentage of SSP units with grazing / restoration plans.	Field verification / semi-annually.	CONAFOR, SADER, Technical Agents.	USD 100,000
R7	Phase 2. Implementation	Field activities may create occupational health and safety risks for producers, technicians or temporary workers.	ESS 4, ESS 5	Provide basic OSH guidance, safe tool-use protocols and PPE where needed. Implementation will include field safety briefings, incident follow-up, and corrective measures	Number of OSH briefings; number of incidents reported.	Incident registry / quarterly.	Technical Agents, FAO PMU.	USD 40,000
R8	Phase 2. Implementation	Interactions between technical personnel and beneficiaries may create SEA/SH risks or reinforce unequal access to assistance.	ESS 6, ESS 5	Apply codes of conduct, SEA/SH prevention briefings and confidential grievance channels. Codes of conduct, prevention briefings, confidential complaint channels, and referral procedures will be disseminated and monitored during field implementation.	Percentage of personnel trained on SEA/SH prevention; SEA/SH complaints handled through protocol.	Personnel records and MAC registry / quarterly.	FAO PMU, Gender Specialist, Safeguards Specialist.	USD 40,000
R9	Phase 3. Monitoring and evaluation	Weak monitoring may fail to detect land-use change, deforestation leakage or poor restoration performance.	ESS 1, ESS 2, ESS 3	Monitor land-cover change, restoration compliance and grazing management through field and remote tools.	Percentage of SSP units monitored; land-cover alerts reviewed.	Remote sensing and field checks / annually.	FAO Monitoring Team, CONAFOR.	USD 260,000
R10	Phase 3. Monitoring and evaluation	Monitoring may not capture differentiated outcomes for women, Indigenous Peoples and vulnerable producers.	ESOP 2, ESS 6, ESS 8	Collect sex-, ethnicity- and location-disaggregated data and include safeguards findings in project reports. Field interviews and monitoring visits will support collection of sex-, ethnicity-, and location-disaggregated data and	Disaggregated monitoring database operational.	Monitoring reports / semi-annually.	FAO PMU, Gender Specialist, CONAFOR.	USD 80,000

				follow-up of safeguards findings.				
Farmer Field Schools and capacity building								
R11	Phase 1. Outreach, socialization and call for participation	Women, Indigenous Peoples, youth and small producers may be excluded from Field Schools due to limited information, language barriers or social norms.	ESOP 2, ESS 6, ESS 8	Conduct targeted outreach and adapt communication to local languages, schedules and mobility constraints, promoting the <u>participation and leadership of Indigenous youth</u> Targeted outreach will include local communication, field travel, language adaptation, and enrollment support across participating territories.	Percentage of women, youth and Indigenous participants enrolled.	Enrollment records / quarterly.	FAO / SADER, Gender Specialist, Technical Agents.	USD 120,000
R12	Phase 1. Outreach, socialization and call for participation	Capacity-building needs of women and Indigenous producers may not be reflected in training design.	ESS 6, ESS 8	Conduct rapid training-needs assessments with gender, intergenerational, and intercultural criteria, to identify <u>the needs, capacities, and production systems of different beneficiary groups rather than applying standardized training packages.</u>	Training-needs assessment completed in target states.	Assessment reports / once per cycle.	FAO PMU, SADER, Technical Agents.	USD 50,000
R13	Phase 1. Outreach, socialization and call for participation	Selection of demonstration ranches may create local tensions or perceptions of favoritism.	ESOP 2, ESS 7	Define transparent selection criteria and document community-level validation where applicable.	Selection criteria disclosed; number of grievances related to site selection.	Selection criteria review, administrative review and MAC registry / each training cycle and quarterly.	FAO PMU, SADER, CONAFOR.	USD 30,000
R14	Phase 2. Implementation	Demonstration practices may unintentionally promote unsuitable species, poor soil practices or unsustainable resource use.	ESS 1, ESS 2, ESS 3	Align curricula with environmental eligibility criteria, native species use and sustainable grazing / restoration guidance. Training curricula and demonstration packages	Curricula assessed against safeguards criteria.	Curricula assessment / annually.	FAO Technical Team, SADER.	USD 40,000

				will undergo technical and safeguards review and adaptation before implementation.				
R15	Phase 2. Implementation	Field demonstrations may expose participants to accidents, unsafe tool use, heat, transport or animal-related risks.	ESS 4, ESS 5	Apply basic OSH protocols for field sessions and adapt activities to local risk conditions, including seasonal, production, climate and community calendars. Field sessions will include safety protocols, briefings, supervision, incident registration, and follow-up.	Safety protocol prepared; number of sessions with safety briefing; number of incidents reported.	Safety protocol, session records and incident records / each training cycle and quarterly.	Technical Agents, FAO PMU.	USD 40,000
R16	Phase 2. Implementation	Training spaces may reproduce gender stereotypes or create risks of harassment, exclusion or unequal participation.	ESS 6, ESS 5	Use gender-responsive facilitation, codes of conduct and safe participation arrangements. Facilitators will receive preparation on gender-responsive methods, codes of conduct, safe participation, and grievance referral	Percentage of facilitators trained in gender-responsive methods; number of grievances related to training spaces.	Training records, administrative review and MAC registry / semi-annually and quarterly.	FAO, Gender Specialist, SADER.	USD 50,000
R17	Phase 2. Implementation	Training may overlook Indigenous knowledge, local practices or culturally significant land-use systems.	ESS 8, ESS 9	Incorporate culturally appropriate facilitation and respect community protocols, calendars, and local knowledge and <u>recruit and strengthen, where feasible Indigenous and locally based technical personnel who understand local languages, cultural practices and territorial realities.</u> Materials and facilitation will be adapted to local contexts, with participation of local knowledge holders and	Training materials adapted to local context.	Material review / each training cycle.	FAO, Technical Agents, Safeguards Specialist.	USD 60,000

				interpretation where required.				
R18	Phase 3. Monitoring and evaluation	Evaluation may measure attendance but not actual uptake of knowledge by women, Indigenous Peoples and smallholders.	ESS 6, ESS 8	Apply simple pre/post assessments and disaggregate results by sex, age and ethnicity where possible.	Percentage of participants completing pre/post assessment; percentage of participants with self-reported knowledge acquisition.	Training evaluation / each cycle.	FAO PMU, SADER, Technical Agents.	USD 50,000
R19	Phase 3. Monitoring and evaluation	Participants may lack accessible channels to report concerns, misconduct or exclusion.	ESOP 2, ESS 5, ESS 6	Explain MAC and project grievance channels in every Field School cycle. Each Field School cycle will include accessible MAC materials, explanation of confidential channels, territorial dissemination, and complaint follow-up.	Percentage of Field Schools where GRM information was provided.	Training reports / quarterly.	FAO PMU, Technical Agents.	USD 80,000
R20	Phase 3. Monitoring and evaluation	Monitoring may not capture differentiated outcomes for women, Indigenous Peoples and vulnerable producers.	ESOP 2, ESS 6, ESS 8	Collect sex-, ethnicity- and location-disaggregated data and include safeguards findings in project reports. Monitoring visits, participant interviews, and disaggregated analysis will be carried out across participating territories	Disaggregated monitoring database operational.	Monitoring reports / semi-annually.	FAO PMU, Gender Specialist, Safeguards Specialist, CONAFOR.	USD 130,000
Payments for Environmental Services								
R21	Phase 1. Outreach, socialization and call for participation	Ejidos, communities, women and Indigenous Peoples may not receive accessible information on PES eligibility, obligations and benefit-sharing rules.	ESOP 2, ESS 6, ESS 8	Design and implement an inclusive and accessible outreach, socialization and call for participation strategy, promoting the participation of youth in forest conservation and management. Implementation will include community assemblies, accessible materials, field travel, local facilitation, and	Inclusive and accessible outreach, socialization and call for participation strategy prepared and implemented.	Strategy review / each cycle.	CONAFOR, FAO PMU, Safeguards Specialist, Gender Specialist.	USD 150,000

				translation or interpretation where required.				
R22	Phase 1. Outreach, socialization and call for participation	Land tenure disputes or unclear collective agreements may affect PES participation.	ESS 7, ESS 8	Confirm tenure status, assembly agreements and voluntary participation before approval.	Percentage of PES files with tenure / assembly documentation.	Document review / before approval.	CONAFOR.	USD 25,000
R23	Phase 1. Outreach, socialization and call for participation	Women without formal agrarian rights may be excluded from PES decision-making and benefit-sharing discussions. Targeted outreach and participation support will be provided to women.	ESS 6, ESS 7	Promote inclusive assembly participation and document women's participation in PES-related decisions.	Percentage of women participating in PES-related assemblies recorded.	Assembly minutes review / annually.	CONAFOR, Gender Specialist.	USD 105,000
R24	Phase 1. Outreach, socialization and call for participation	PES eligibility requirements and benefit-sharing criteria may be perceived as unclear or inequitable, generating tensions within communities or between beneficiaries and non-beneficiaries.	ESOP 2, ESS 6, ESS 7, ESS 8	Publicly disclose eligibility and benefit-sharing criteria; promote participatory socialization through community assemblies and representative governance structures. Disclosure and participatory socialization will include community meetings, accessible materials, and MAC follow-up	Eligibility and benefit-sharing criteria publicly disclosed; number of grievances related to eligibility and benefit-sharing criteria.	Administrative review, assembly records and MAC registry / each cycle and quarterly.	CONAFOR, FAO, Safeguards Specialist.	USD 100,000
R25	Phase 2. Implementation	PES activities may fail to achieve conservation benefits if management commitments are weak or poorly supervised.	ESS 1, ESS 2, ESS 3	Define conservation / restoration commitments and monitor compliance with technical criteria. Annual verification missions, technical supervision, and corrective follow-up will be undertaken across PES areas.	Hectares under PES with verified compliance.	Field verification / annually.	CONAFOR, Territorial Technical Agents, Safeguards Specialist.	USD 170,000
R26	Phase 2. Implementation	PES may generate intra-community tensions over benefit-sharing distribution, labor obligations or access to forest resources.	ESOP 2, ESS 7, ESS 8	Use transparent benefit-sharing arrangements; promote participatory validation through community assemblies and representative	Number of assemblies with clear and transparent benefit-sharing arrangements;	Administrative review, technical reports and MAC registry / quarterly.	CONAFOR, FAO, Safeguards Specialist, Gender Specialist.	USD 100,000

				governance structures; socialize the MAC for complaints.	number of grievances related to PES benefits.			
R27	Phase 2. Implementation	PES rules may overlook Indigenous governance systems, cultural values or traditional resource management.	ESS 8, ESS 9	Respect community protocols, calendars, representative institutions and culturally appropriate decision-making, integrating <u>Indigenous Peoples' traditional knowledge and local forest management practices and biocultural knowledge.</u>	Percentage of PES agreements reflecting community governance procedures.	Agreement review / annually.	CONAFOR, Safeguards Specialist.	USD 20,000
R28	Phase 2. Implementation	External technical visits may create risks of misconduct or unsafe engagement in communities.	ESS 5, ESS 6	Use gender-responsive technical advisor training, codes of conduct and safe participation arrangements. External technical personnel will receive training, codes of conduct, supervision, and grievance referral guidance.	Percentage of technical advisors trained in gender-responsive methods; number of grievances related to external technical visits.	Training records, administrative review and MAC registry / semi-annually and quarterly.	CONAFOR, FAO PMU.	USD 100,000
R29	Phase 3. Monitoring and evaluation	Monitoring may not detect forest degradation, fires or land-use change in PES areas.	ESS 1, ESS 2, ESS 3	Combine geospatial monitoring, field verification and community reporting.	Hectares monitored; number of alerts verified.	Remote sensing and field checks / annually.	CONAFOR Monitoring Team, FAO.	USD 130,000
R30	Phase 3. Monitoring and evaluation	PES monitoring may not capture who benefits within communities.	ESOP 2, ESS 6, ESS 8	Include disaggregated social monitoring on participation, benefit access and grievances. Field interviews and disaggregated analysis will assess participation and benefit access,	PES monitoring reports include gender and social inclusion section.	Safeguards reports / annually.	FAO, Safeguards Specialist, CONAFOR.	USD 50,000
Gender-related risks and management measures								

R31	Phase 1. Outreach, socialization and call for participation	Women's groups, Indigenous and Afro-Mexican women, women livestock producers and women involved in restoration, nurseries, NTFPs, value chains and governance may not be identified.	ESS 6, ESS 8, ESOP 2	Identify women's groups, Indigenous and Afro-Mexican women, women livestock producers, and women involved in restoration, nurseries, NTFPs, value chains and community governance in target states. Territorial mapping will include field interviews, workshops, and annual updates in the seven participating states.	Stakeholder mapping includes women's groups and gender-differentiated analysis.	Stakeholder mapping / inception and annual update.	FAO, CONAFOR, state governments, Safeguards Specialist, Gender Specialist.	USD 60,000
R32	Phase 1. Outreach, socialization and call for participation	Socialization and consultation processes may not integrate a gender-responsive approach from the design stage.	ESS 6, ESOP 2	Ensure that the socialization and consultation process integrates gender-responsive criteria, differentiated participation strategies and measures to promote women's effective participation.	Consultation process includes gender-responsive criteria and differentiated participation strategies and measures to promote women's effective participation.	Consultation reports / each consultation cycle.	FAO, CONAFOR, Safeguards Specialist, Gender Specialist.	USD 55,000
R33	Phase 1. Outreach, socialization and call for participation	Women may not participate meaningfully in discussions on productive restoration, SSP, territorial governance, PES, financing mechanisms and value chains.	ESS 6, ESS 8, ESS 7	Organize consultation spaces that enable women's participation in discussions on productive restoration, silvopastoral systems, territorial governance, PES, financing mechanisms and value chains. Targeted meetings, accessible venues, local travel support, facilitation, and measures to reduce participation barriers will be provided.	Number and percentage of women participating in consultation activities.	Attendance lists / each consultation cycle.	FAO, CONAFOR, Safeguards Specialist, Gender Specialist.	USD 80,000
R34	Phase 1. Outreach, socialization and call for participation ⁹	Gender-differentiated barriers, risks and opportunities may not be captured during consultations.	ESS 6, ESS 8	Include specific questions in consultation tools to identify gender-differentiated barriers, risks and opportunities related to restoration,	Consultation tools include gender-specific questions	Tool review and consultation reports	FAO, CONAFOR, Safeguards Specialist, Gender Specialist.	USD 35,000

				SSP, financing, PES and value chains.				
R35	Phase 1. Outreach, socialization and call for participation	Women's inputs may not be reflected in final design, safeguards, benefit-sharing or monitoring arrangements.	ESS 6, ESOP 2	Document and incorporate women's inputs into final design or explain why they could not be incorporated.	Consultation report identifies women's inputs and incorporation status.	Consultation reporting / at consultation report stage.	FAO, CONAFOR, Gender Specialist, Safeguards Team.	USD 20,000
R36	Phase 1. Outreach, socialization and call for participation	Women may not know how to access the Citizen Attention Mechanism or other grievance channels.	ESS 6, ESS 5, ESOP 2	Share accessible information on MAC and other grievance channels with women during socialization and consultations. Accessible MAC materials, confidential reporting information, and community-level outreach will be provided to women during consultations and implementation.	Percentage of activities where grievance channels are explained; materials include accessible complaint information.	Implementation reports / quarterly.	CONAFOR, FAO, Gender Specialist, Safeguards Team.	USD 60,000
R37	Phase 2. Implementation	Field Schools and productive reconversion models may fail to ensure women's participation in design, implementation and monitoring.	ESS 6, ESS 4	Mainstream gender into Field Schools and demonstrative productive reconversion models, ensuring women's participation in sustainable livestock transition activities. Targeted outreach, facilitation, participation support, and monitoring will be provided to strengthen women's participation.	Percentage of women participating in Field Schools and demonstration models. Percentage of women serving as technical advisors or facilitators. Curricula with dedicated gender and intersectionality module and territorially adapted content.	Training records / quarterly. Staff records/annually. Curricula documents/annually,	FAO / SADER, Safeguards Specialist, Gender Specialist, Technical Agents.	USD 80,000
R38	Phase 2. Implementation	Women may have limited access to financing, SSP incentives or productive assets due	ESS 6, ESS 7	Promote gender-responsive eligibility support, targeted information and accompaniment for women producers,	Number and percentage of women accessing financing support.	Beneficiary records / semi-annually.	CONAFOR, FAO, Safeguards Specialist, Gender Specialist.	USD 55,000

		to land tenure and eligibility barriers.		young women, and women in agrarian communities.				
R39	Phase 2. Implementation	Women may be excluded from PES-related activities, benefit-sharing and community decision-making.	ESS 6, ESS 8	Promote women's participation in the design and implementation of PES, including community assemblies, benefit-sharing discussions and community arrangements.	Percentage of women participating in PES-related activities	Assembly minutes and technical reports / annually.	CONAFOR, Safeguards Specialist, Gender Specialist.	USD 50,000
R40	Phase 2. Implementation	Women may have limited participation in deforestation-free and sustainable value chains associated with silvopastoral systems, productive restoration, forage production, nurseries, non-timber forest products and other locally relevant economic activities, reducing their access to economic benefits generated by the project.	ESS 6, ESS 7, ESS 8	Promote women's participation in deforestation-free and sustainable value chains linked to silvopastoral systems, productive restoration, forage production, nurseries, non-timber forest products and locally relevant products, including offering opportunities for young women to engage in sustainable livelihoods initiatives. Field-based capacity building, market information, business development support, and follow-up will be provided.	Number of women accessing market information, business development support or commercialization mechanisms via ECAs and other capacity-building activities.	Project records and technical reports / semi-annually.	CONAFOR, SADER, FAO, Technical Agents, Safeguards Specialist, Gender Specialist.	USD 40,000
R41	Phase 2. Implementation	Institutional actors, technical personnel and local facilitators may lack the knowledge and skills required to effectively integrate gender equality and social inclusion considerations into project implementation.	ESS 6, ESS 8	Strengthen institutional and technical capacities to mainstream gender in silvopastoral systems, productive reconversion, financing, territorial governance, PES and safeguards implementation.	Number of events targeting CONAFOR, SADER, state-level, technical and local personnel to build capacities on gender equality, inclusive facilitation, women's rights, Indigenous Peoples' rights and prevention of	Training records and attendance lists / annually.	FAO PMU, CONAFOR, SADER, Safeguards Specialist, Gender Specialist.	USD 25,000

					exclusion and GBV.			
R42	Phase 2. Implementation	Women and vulnerable groups may be exposed to risks of exclusion, discrimination, sexual exploitation, abuse and harassment during project implementation.	ESS 6, ESS 5	Integrate measures to prevent and respond to risks of exclusion, discrimination, sexual exploitation, abuse and harassment in RBP-supported activities.	SEAH / GBV prevention and response measures integrated into safeguards procedures, codes of conduct, training materials and grievance referral protocols; number of grievances related to exclusion, discrimination or SEAH.	Safeguards reviews, supervision and MAC registry reports / annually and quarterly.	FAO PMU, Safeguards Specialist, Gender Specialist, CONAFOR.	USD 35,000
R43	Phase 2. Implementation	Women's unpaid care burdens may limit their participation in trainings, consultations and implementation activities.	ESS 6, ESS 4	Schedule activities at suitable times, reduce participation costs and consider local care-related constraints and adaptable facilitation in planning.	Percentage of women participating in proposal activities.	Activity reports / quarterly.	FAO, CONAFOR, SADER, Technical Agents, Safeguards Specialist, Gender Specialist.	USD 45,000
R44	Phase 3. Monitoring and evaluation	Monitoring systems may fail to capture differentiated outcomes for women, limiting the project's ability to assess gender-related results and barriers.	ESS 6, ESS 8	Ensure that monitoring systems collect and report sex-disaggregated data and qualitative evidence on women's participation, access to benefits and influence in decision-making. Monitoring will include field data collection, qualitative evidence, sex-disaggregated analysis, and semi-annual reporting.	Monitoring system includes gender-responsive indicators; sex-disaggregated data collected and reported; periodic reports include analysis of women's participation, benefits and barriers.	M&E reports and safeguards monitoring / semi-annually.	FAO PMU, M&E Team, Gender Specialist, CONAFOR.	USD 40,000
R45	Phase 3. Monitoring and evaluation	Lessons learned regarding women's participation and inclusion may not be systematically documented or used to improve project	ESS 6, ESS 8	Document and disseminate good practices on women's participation in productive reconversion, silvopastoral systems, deforestation-free value chains, PES and	Number of gender-related case studies, lessons learned or good practices documented and used to inform adaptive	Knowledge products and annual learning reviews / annually.	FAO PMU, CONAFOR, Gender Specialist, Communications Team.	USD 32,000

		implementation and replication.		territorial governance. Case studies, knowledge products, dissemination activities, and annual learning reviews will support adaptive management and replication.	management and knowledge exchange.			
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Indicative budgets will be refined during the project inception phase.

Annex 3. Exclusion list applicable to the RBP project proposal

Building on the GCF's Policy on Prohibited practices and in FAO's exclusion list, as well as on the results of the Checklist and the risk management matrix prepared to guide the implementation and monitoring of this ESMF, a dedicated Exclusion List has been prepared for this RBP funding proposal. The Exclusion List is applicable to *all* project activities and will be part of the terms and conditions for the on-the-ground implementation.

Mexico's RBP project proposal will not knowingly support, directly or indirectly, any of the activities listed below:

- Activities that directly or indirectly entail or result in corruption or corrupt practices; fraud or fraudulent practices; coercion or coercive practices; collusion or collusive practices; obstructive practices; abuse; money laundering; retaliation against whistleblowers or witnesses; financing of terrorism.
- Harmful or exploitative forms of forced and/ or child labour.
- Trade related to pornography and/or prostitution.
- Production and distribution of racist and discriminatory media.
- The project will not support any activity that potentially leads to economic or physical displacement or relocation from land or any restriction to the land and resources. Forced evictions are forbidden.
- The project will not support any production or activities that impinge on the lands owned, or claimed under adjudication, by Indigenous Peoples, without full documented consent of such peoples.
- Activities that may lead to the commercial use of - and/or negative impacts to - genetic resources or traditional knowledge or practices.
- Activities that negatively affect women's rights and/or may lead to increased gender-based discrimination, inequalities, or gender-based violence. A zero-tolerance policy for GBV and SEAH will be ensured throughout project implementation.
- Activities that result in the exploitation of and access to outsiders to indigenous lands and territories.
- Activities will exclude the use and promotion of invasive alien species, and best international practice will be followed in species selection and the use of exotic species.
- Activities that include or lead to the introduction of genetically modified organisms (GMOs), nor the use of pesticides.
- Activities will not be implemented in areas with potential presence of mines or unexploded ordnances, nor in areas with active conflict and which may pose a threat to the security of the project team, partners and beneficiaries.
- Destruction of protected areas or other high biodiversity and High Conservation Value areas.
- Activities that are illegal under host country laws, regulations or ratified international conventions and agreements relating to biodiversity protection or cultural heritage.
- Construction or financing of dams over 15 m in height.
- Activities or materials deemed illegal under host country laws or regulations or international conventions and agreements, such as:

- products that contain any substances that are banned for use or trade under applicable international treaties and agreements, or meet the criteria of carcinogenicity, mutagenicity, or reproductive toxicity as set forth by relevant international agencies; and
- wildlife or products regulated under the Convention on International Trade in Endangered Species or Wild Fauna and Flora (CITES).
- Cross-border trade in waste and waste products, unless compliant to the Basel Convention and the underlying regulations.
- Project's activities for which any of the following products is having a primary role:
 - production, use or trade in radioactive materials and unbounded asbestos fibres or asbestos-containing products;
 - blast fishing and large-scale pelagic drift net fishing using nets in excess of 2.5 km in length;
 - production or trade in alcoholic beverages (except beer and wine) and tobacco; o production, use, trade or distribution of weapons and munitions; and
 - gambling, casinos or equivalent enterprises.

The Exclusion List might be expanded at any time, i.e. as a result of the inception phase and the preparation of a detailed ESMP, in a way that constitute standardized criteria when screening for eligible on-the-ground activities to be implemented with REDD+ proceeds.

Category A/ high risk activities will not be financed by this project. No activities assessed of high risk will be financed at any time throughout project implementation.

Annex 4. Indicative outline for the Environmental and Social Management Plan

Note: The environmental and social management plan (ESMP) is a detailed project-specific plan that outlines the principles, requirements and specific measures, actions and strategies that will be implemented by the project to manage and mitigate the environmental and social risks and impacts of specific project activities. The ESMP is ideally prepared during formulation phase, and in any case before activities are implemented. The plan can be based on an existing ESMF, if that was the project's ES risk management instrument of choice when the activities and sites were still unknown. Both moderate and high-risk projects are required to develop an ESMP before project activities are implemented.

The ESMP should consist of the following sections:

Executive summary: provide a brief overview of the project and the key environmental and social considerations. Indicate the project risk category as per the ES risk screening checklist. A summary of key findings from the baseline and risk assessment, objectives and recommended actions may also be included.

1. Introduction: describe the project and the activities covered by the ESMP, including locations and implementing partners. Outline the purpose and scope of the ESMF, which should be aligned with the project activities/components. Briefly outline the potential social and environmental impacts of the project (they will be further detailed in the following sections).

2. Policy, legal and institutional framework: provide an overview of the key legal, regulatory and institutional provisions that concern the project's social and environmental aspects. This overview should include the international/national/regional/local legal and institutional requirements relevant to the specific social and environmental aspects, risks and impacts, and safeguards triggered by the project. Requirements imposed by international organizations (i.e. United Nations Development Programme, International Labour Organization and/or donors/implementing partners) may also be considered.

3. Environmental and social baseline: describe and analyze the environmental and social context in which the project will be implemented. While some broad contextual information is necessary, the analysis should focus on the immediate context of the project site and on aspects that relate to the identified impacts; such information is needed to make decisions about project design, operations and mitigation measures. For general baseline information, secondary data (regional and/or national) and existing assessments may be used; for site-specific baseline information, primary data collection is strongly recommended. For projects that have conducted an Environmental and Social Impact Assessment (ESIA), a summary of the baseline findings on social and environmental conditions may be used for this section.

The scope of the environmental and social baseline analysis will vary according to the nature of the project and the issues identified during the screening phase. The analysis might cover a range of physical, biological, socioeconomic and cultural aspects that could be potentially affected by the project.

The following are some of the aspects that may be covered:

- 3.1. physical environment: topography, climate, soils, rainfall, infrastructure, etc.;
- 3.2. biological environment: flora, fauna, endangered species, sensitive sites and significant natural sites; and

3.3. socioeconomic and cultural environment: population dynamics, demographics, land use, poverty trends, community structure and capacities, community health (current status and drivers of diseases), sources of livelihoods, distribution of income, cultural heritage, goods and services, extent of the community's awareness on issues such as poverty and environment, biodiversity loss and climate change, extent of the community's dependence on natural resources for livelihoods, and access to basic services such as water and sanitation, healthcare, schools, agricultural extension services, electricity, transportation and markets.

4. Risk classification and management: indicate the risk categorization as per the FAO screening checklist. The risk categorization is obtained upon completion of FAO's Environmental and Social Risk Screening Checklist in the Field Programme Management Information System (**FPMIS**) (add the checklist as an annex).

5. Describe the potential ES risks and impacts: identify and analyze the potential risks and adverse impacts of the project, as well as opportunities to enhance its positive impacts. When identifying risks and impacts, consider each of the project's activities, and describe how the project will address ES risks. This section should also consider cumulative impacts and cross-cutting issues.

6. Environmental and social management measures: describe the mitigation measures to avoid, minimize or mitigate the ES risks and impacts identified in previous sections and in the ESIA. Outline the measures to enhance the project's positive environmental and social outcomes.

7. Institutional arrangements for implementation and estimated costs: describe the institutional arrangements for implementation and indicate the estimated costs of the implementation of this ES risk management plan. This section may include an overview of roles and responsibilities, timelines and budget allocation; alternatively, this information may be added to the ESMP matrix (see Table A2 below).

8. Monitoring arrangements: describe the arrangements to monitor the implementation of this ESMP. This section may include an overview of roles and responsibilities and timelines; alternatively, this information may be added to the ESMP matrix (see Table A2 below).

9. Stakeholder engagement: briefly describe the stakeholder engagement activities that have been conducted so far, including: i) identification of key stakeholders and their interests in the project; ii) stakeholder engagement activities such as consultations and other types of participation conducted to date, and the key issues, concerns and feedback obtained during these activities; and iii) how the project plans to incorporate stakeholder feedback and address concerns, both during and after project implementation. Describe how stakeholder engagement will be incorporated as an ongoing project activity and indicate the main communication channels and frequency of engagement for each stakeholder type/group. Alternatively, this section may contain a summary of the key stakeholder engagement findings to date and provide a link to the SEP developed for the project⁹.

10. Grievance redress mechanism: describe the project's GRM and indicate how it will be communicated to stakeholders. Alternatively, provide a link to the GRM developed for the project¹⁰.

11. Disclosure of information: outline when and where project information is, or will be, publicly disclosed. The disclosure of programme and project information boosts stakeholders' ability to effectively participate

⁹ For further details, see FAO's ESOP 2 Guidance Note.

¹⁰ For further details, see ESOP 2 Guidance Note.

in project consultations. FAO strives for project information to be relevant, understandable, accessible and considered culturally appropriate by stakeholders. Due attention should be paid to the specific needs of the community groups affected by the project. Indicate when the information will be published on FAO's disclosure portal, as well as any additional channels. The guidance note in ESOP 2 on stakeholder engagement provides additional guidance related to the disclosure of project information.

Table A2. Environmental and social management plan matrix

Activities (Specify the locations)	Potential environmental and social risks and impacts (Briefly describe the potential risks identified in line with the Environmental and Social Standards)	Mitigation measures (Briefly describe the mitigation measures for the identified risks. Indicate whether any specific instruments have been developed, such as a biodiversity management plan, gender action plan, labour management procedure etc., and provide a link to or copy of the document)	Implementation arrangements (Actors responsible for the implementation of the mitigation measures, and timeline for activities) ¹¹	Monitoring arrangements (Actors responsible, timeline and frequency of monitoring activities) ¹²	Timeline	Est. Costs of mitigation measures

12. Annexes

12.1. Environmental and Social Risk Screening Checklist

¹¹ This information can either be presented in the table or in a separate section. If a separate section is used, indicate which activities and mitigation measures the arrangements relate to.

¹² This information can either be presented in the table or in a separate section. If a separate section is used, indicate which activities and mitigation measures the arrangements relate to.

Annex 5. Guidance for the development of the Indigenous Peoples Plan

For moderate-risk projects, the ESMP template provides the following guiding questions for the development of the Project's Indigenous Peoples Plan, in consistency with FAO's ESS8:

ESS8 Indigenous Peoples

- a) Are the IPs involved or affected by the project dependent on natural resources within the project area?
 - ▣ According to the United Nations, the term 'Indigenous Peoples' refers to distinct collectives who answer to any of the more commonly accepted definitions. Regardless of the local, national and regional terms applied to them, self-identification as a distinct people is a fundamental criterion in the definition of Indigenous Peoples. Other key characteristics of the definition of Indigenous Peoples include: voluntary perpetuation of cultural distinctiveness (e.g. languages, laws, customary cultural, social, economic or political institutions); collective attachment to the lands, territories and resources they have traditionally owned, occupied or otherwise used or acquired; traditional livelihoods and tangible and intangible cultural heritage associated with their lands, territories, and resources; priority in time with respect to occupation and use of specific territory; and an experience of subjugation, marginalization, dispossession, exclusion or discrimination, whether or not these conditions persist. Indigenous Peoples may have a distinct language or dialect, often different from the official language or languages of the country or region in which they reside.
- b) Will the project affect access to natural and/or cultural resources used by IPs? If yes, explain the outcome of the discussion of such restriction of access with the affected IP groups or individuals?
- c) When the project will be implemented in or near indigenous peoples territories (owned or claimed), what is the project strategy for conducting FPIC?
- d) Clearly describe measures to enable indigenous peoples to take advantage of opportunities brought about by the project, and to conserve and manage on a sustainable basis the utilization of the unique natural resource base upon which they depend. Such opportunities should be culturally appropriate.

According to GCF's Indigenous Peoples Policy, the IPP should include the following elements:

- (a) Baseline information (from independent and participatory environmental and social risks and impacts assessment processes);
- (b) Key findings and analyses of impacts, risks and opportunities; Indigenous People Policy Page 11
- (c) Measures to avoid, minimize and mitigate negative impacts, and enhance positive impacts and opportunities;
- (d) Community-based natural resource management;
- (e) Results of consultations (during environmental and social risks and impacts assessment processes), including a list of people and organizations that participated, a timetable, who was responsible for each activity, the free, prior and informed consent, and future engagement plans;
- (f) Gender assessment and action plans;
- (g) Benefit sharing plans;
- (h) Tenure arrangements;
- (i) Grievance redress mechanisms;
- (j) Costs, budgets, timetables, organizational responsibilities; and
- (k) Monitoring, evaluation and reporting.