

Global Green Growth Institute (GGGI)

Environmental and Social Safeguard Policy



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Abbreviations and Acronyms

ESMP	Environmental and Social Management Plan
ESMS	Environmental and Social Management System
ESSP	Environmental and Social Safeguards Policy
ESVF	Environmental and Social Values Framework
GGGI	Global Green Growth Institute
SEAH	Sexual exploitation, abuse and harassment
USP	Unidentified Sub-Project

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1. Introduction

1. At its 17th Session, the Council adopted an Environmental and Social Values Framework (ESVF)¹ on October 17, 2024. It consists of a comprehensive set of values that articulate unwanted outcomes of GGGI activities. Different from the GGGI strategic framework for the promotion of green growth, the values framework is an articulation of GGGI's intent to do no harm and is exclusively focused on risks of unwanted outcomes, i.e. environmental and social safeguard risks.
2. These values form the foundation of this Environmental and Social Safeguards Policy (ESSP), replacing the GGGI Sustainability and Safeguards Rules, which were first approved in November 2014 and revised in March 2018.
3. This ESSP describes the operationalization of GGGI's adherence and application of the values of the ESVF through actions, considerations, and commitments by GGGI.
4. The ESSP is the foundation for the GGGI Environmental and Social Management System (ESMS).

2. Policy statement

5. The purpose of the ESSP is to make explicit GGGI's commitment to supporting and promoting strong, inclusive and sustainable economic growth in developing countries and emerging economies without causing unwanted environmental and social impacts.
6. The policy provides the basis for the operationalization of the environmental and social values stated in the GGGI ESVF. The substantive values of the ESVF define the scope of the environmental and social risks to be considered, while its process values determine the nature, the characteristics, and the extent of the risks management process.
7. The policy applies to all GGGI activities and business processes².
8. The policy guides the activities and business processes of GGGI towards avoiding unwanted environmental and social impacts.
9. In addition to applying a risk management process to avoid unwanted environmental and social consequences, the integration of the risk management process in the development of activities, projects and business processes will contribute to their overall quality and the potential of achieving their objectives.
10. Partnerships are at the core of GGGI's operations. The ESSP has been designed also with a view to develop and maintain the capacity to meet a wide range of external requirements of environmental and social safeguarding, current and future.

¹ A/2024/DC/6-C/2024/DC/11

² A business process in the context of this policy is defined as a sequence of activities contributing to or resulting in outputs in line with GGGI's mission to achieve poverty eradication, social inclusion, environmental sustainability, and economic growth. As set out in the ESVF, this process covers all stages including identification, formulation, design, implementation, and decommissioning of all activities.

3. The GGGI Environmental and Social Management System

11. The GGGI ESMS is a part of the GGGI management system, used to manage environmental and social aspects, fulfil compliance obligations and address risks, in line with the GGGI ESVF. In addition to delivering those outcomes, the ESMS also provides the material to demonstrate, substantiate and communicate the solidity and effectiveness of the efforts to meet these objectives, which will build the credibility of the system and of the organization as a whole.
12. The ESMS exclusively deals with avoiding and managing unwanted or negative environmental and social impacts. The ESVF and the ESSP set GGGI on a path towards developing a modern, fit-for-purpose ESMS, in being risk-based, comprehensive, backed by process values for effectiveness and accountability, and ensuring the integration of social and environmental risks.
13. In alignment with other safeguard systems³, the GGGI ESMS consists of the following elements:
 - a. the ESVF, as set by the Council;
 - b. the ESSP;
 - c. the grievance redress mechanism;
 - d. a monitoring and evaluation process;
 - e. organizational capacity and competency;
 - f. a communication process.
14. Other instruments may be developed to become part of the ESMS.
15. Where these ESMS elements exist as separate GGGI policies, rules or procedures, these will be applied as part of the ESMS. A review will be carried out to determine the extent to which such policies, rules or procedures are and remain fit for purpose as part of the ESMS, and updates or modifications will be made as required.
16. The operationalization of the ESMS will reflect and support the business needs of GGGI, preserving the organization's agile and nimble nature. The ESSP reflects the specific nature, requirements and limitations of the GGGI activities and business processes, being suitable for all whilst providing and maintaining high levels of accountability and integrity.

4. Governance of the Environmental and Social Management System

17. The GGGI Council adopts and revises the ESVF.
18. The Director General approves the ESSP, as well as the other components of the ESMS to the extent that these are under the authority of the Director General.
19. The Director General may determine organizational and operational arrangements for the implementation and oversight of the ESSP.
20. The Director General may delegate the implementation of the ESSP to an internal division with responsibility for the implementation and technical oversight of the related mechanisms.

5. Scope of application

21. The Director General may consider and decide that compliance with the ESSP is incompatible with a particular activity or business process. The nature of such incompatibility can be diverse, and may relate to:

³ Such as those of the World Bank, the International Finance Corporation, the Asian Development Bank, the Adaptation Fund, the Green Climate Fund, the United Nations Development Programme, the European Bank for Reconstruction and Development, KfW Development Bank, International Union for Conservation of Nature and the Equator Principles.

- a. the specific nature of the activity or business process, precluding ESSP compliance in a meaningful way;
 - b. the limited level of control by GGGI over an activity or business process, that may render (parts of) the environmental and social risks identification and management process meaningless;
 - c. unjustifiable impediments caused to the business process involved due to compliance with the policy;
 - d. applicable legal or regulatory requirements.
22. Where relevant and appropriate, GGGI will play an advocacy role towards its partners with the aim of promoting the application of the ESVF, even when ESSP compliance is not formally required or pursued. To the extent possible, the ESSP will also be applied, promoted, leveraged and encouraged in exempted activities and business processes.
23. Exemptions to ESSP compliance may be granted in whole or in part, subject to a process overseen by the Director General, with alternative environmental and social safeguard measures considered. When compliance with the ESSP is decided not to be pursued or achieved for an activity or business process, the grounds for such decision will be made public, and additional measures of transparency and communication will be taken to ensure that the level of GGGI ESSP compliance is publicly known.
24. For activities and certainly for business processes, when (full) compliance with the ESSP is not required following a decision by the Director General, GGGI will still carry out in line with the substantive values of the ESVF an identification of the environmental and social risks that are inherent to the activity or business process. An overview of these inherent risks will be included in the activity or business process outputs as appropriate, with guidance and encouragement to apply an accountable, adequate risks identification and management process like that of the GGGI ESSP.
25. GGGI will integrate the costs of ESSP implementation in its resource mobilization and project delivery. GGGI may offer technical assistance to its partners regarding the promotion of its ESVF and the development and implementation of a competent ESMS.
26. The process of approving ESSP exemptions to activities and business processes will be conducted, concluded and publicly documented in a manner so that for each activity or business process it shall be readily evident to a third party to what extent such activity or business process may be exempt from the ESSP. The process of granting a partial or full exemption of ESSP compliance will follow the steps outlined in Annex I. Activities or business processes shall not commence until completion of the process.

6. Process of environmental and social safeguarding

27. The process of environmental and social safeguarding reflects the process values of the ESVF.
28. These processes enable and require GGGI to adopt and apply systems that are accountable, transparent, and justified. These aspects of good governance are the qualities that provide not only effectiveness but also credibility to the commitment and practice of environmental and social safeguarding.
29. The process of environmental and social safeguarding is comprehensive in that it applies to all GGGI activities and business processes, except those or parts of those exempted under Section IV.
30. The process of environmental and social safeguarding is comprehensive in that it considers all the ESSP principles and standards, at all times, even as, often, many may not be relevant.
31. The process of identifying unwanted environmental and social outcomes takes a risks-based approach.
32. Environmental and social risks will be considered concurrently, reflecting the linkages between both.
33. The process of environmental and social safeguarding shall consider all stages of an activity or business process. This includes their identification, formulation, implementation, and decommissioning.

34. The process of environmental and social safeguarding shall be applied in a way that is proportionate or commensurate to the risks involved. The requirement is that the safeguard effort shall be adequate to identify risks and assess impacts but at the same time be economical in its application.
35. In addition, the environmental and social safeguarding process will employ a precautionary approach in relation to uncertainties and knowledge gaps.
36. For each GGGI business process, a procedure will be developed, as needed, for compliance with the ESSP. This procedure will describe the integration of the process for compliance with the principles and standards of the ESSP, considering the specific requirements and limitations of each business process.
37. The process of environmental and social safeguarding will avoid opinion wherever possible, requiring evidence-based, documented findings that may be subject to peer review. It will also identify and acknowledge uncertainty and knowledge gaps.
38. The process of environmental and social safeguarding requires gender⁴-disaggregated information and considerations during all stages of an activity or business process. This will reflect the gender-differentiation of risks, impacts and management requirements.
39. The process of environmental and social safeguarding is intended to be iterative and being applied potentially several times during the identification, formulation and implementation of an activity or a business process. Being applied early on, the application of the environmental and social safeguarding process will create opportunities to eliminate or reduce risks during the design stage.
40. GGGI shall consider the development and use of a list of activities that are excluded from GGGI involvement (i.e. an exclusion list) due to their inherent environmental and social risks and impacts or the difficulty of effectively identifying and managing such risks.
41. Third party requirements for environmental and social safeguarding will be identified for an activity or business process. These may relate to national regulations of partners involved, donor, investor or other partner requirements, or specific safeguarding goals or standards such as certification of sustainability or emission mitigation. When the ESSP is to provide compliance with external safeguarding requirements, a gap analysis will be carried out and any additional measures required for compliance will be identified and applied without compromising the requirements of the ESSP.

6.1 Identifying environmental and social risks

42. This section describes the use of the ESVF to identify environmental and social risks associated with GGGI activities and business processes.
43. The substantive values of the ESVF are reflected in this policy as principles with standards⁵ (Annex II). The corresponding principles have an explicit perspective of risk of unwanted outcomes. For each principle, one or a number of standards have been formulated, to be applied in the process of risks identification and management.
44. The standards are specific, measurable rules or benchmarks that operationalize the principles into actionable requirements, defining concrete minimum criteria and requirements for compliance with a principle. The standards will ensure uniformity and accountability across the ESMS. As a consequence, the requirements for oversight are reduced and opportunities are created for economies of scale, e.g. for the collection of information specific to a country or subject.

⁴ Disaggregation by sex is the minimum requirement.

⁵ The nature of the principles is not dissimilar to those of other contemporary risks-based ESMS. Their number is larger than for most due to the necessity to eliminate ambiguity and unjustified amalgamation of values, and address all the substantive values of the ESVF.

45. Compliance with the principles takes precedence over compliance with the corresponding standards. When a standard or a set of standards cannot be applied or is not suitable or optimal for the activity at hand, then the corresponding principle will provide guidance.
46. The first step of the ESSP compliance process for a GGGI activity or business process is the identification of environmental and social risks.
47. Risks identification shall be done as early as meaningfully possible in the identification and formulation of an activity or business process. The purpose is to create opportunities to design out as many and as much of the risks as possible, and to contribute at the identification and formulation stage to the overall effectiveness and sustainability of the activity or business process.
48. Environmental and social risks shall be identified in a comprehensive way (i.e. for all the principles and for all the activities), and throughout the life cycle of the activity or business process.
49. The risks identification process consists of two consecutive stages. The first stage is the identification of risks that are inherent to the activity or business process, regardless of its location or setting. This step will use known characteristics of the activity to identify risks that are invariably or most likely associated with the activity. The second stage is the determination of the environmental and social setting in which the activity will take place.
50. The actual identification of environmental and social risks follows from the combination of the findings for inherent risks and the characteristics of the environmental and social setting. This approach allows for efficiency and targeted efforts.
51. Typically, the risks identification process starts with the identification of inherent risks. Exceptionally, further risks may be identified from the determination of the environmental and social setting.
52. The inherent risks of an activity will be identified for all the principles of the ESSP. In most cases, this will result in a 'yes/no/maybe' or 'unknown' outcome. For some principles, this will involve the corresponding standards, while other standards may not yet be relevant at this stage and can only be met through the next stage.
53. For all the principles where the inherent risk finding for the activity is yes, maybe or unknown, the risks component related to the environmental and social setting will be determined. For those principles where no inherent risk is found, that finding is recorded, with substantiating information as required, and no further action is needed regarding that principle.
54. The determination of the risks component related to the environmental and social setting for the inherent risks associated with the activity will gather the required information to determine the actual risk.
55. Considerations of the gravity (e.g. the extent, reversibility, scale, number of affected persons) of the potential impacts for the risks identified do not determine the process. The process is built on the principle of commensurability whereby efforts to identify and manage risks are commensurate to the risks, utilizing the same focused approach regardless of the extent, reversibility, scale or other considerations regarding the severity of potential impacts.
56. The evidence-based process will collect the substantiating information to determine what level of effort is required for it to be proportional to the risk. This may involve a process of iterative approximation. Considerations of likelihood of its occurrence and the unacceptability of the unwanted impact will be part of what inevitably is a judgement call to determine the commensurate level of effort in risk identification and management. Those making that judgement shall do so based on verifiable evidence to the extent possible and provide supporting evidence. The outcome of the risk identification and the subsequent impact assessment will provide reference points for credibility and adequacy of the commensurate approach used.

57. Resource and cost-effectiveness considerations have a role in the risks identification process. In addition to being commensurate to the risk, the cost of actual determination of the risk and subsequently the anticipated impact, may be disproportional, e.g. to the expected benefits of the activity, or overall prohibitive. In such cases, and in line with the intended use of the ESMS as an activity design tool, the activity may be modified to reduce the cost of commensurate risks identification or to eliminate certain risks altogether.
58. The risks identification process will be subject to dedicated oversight.
59. The risks identification process considers risks that are direct, indirect, secondary, cumulative, as well as those generated by subsequent developments.
60. The ESSP will preserve its risks-based process integrity by not considering in the risks identification the desired outcomes of the activity or business process, to avoid implicit off-sets. These desired outcomes may include activity- or business process-stated outputs and outcomes, as well as co-benefits.
61. Risk identification and the outcome of applying the ESSP to an activity or business process will be subject to public consultation. This applies, in case of iterative application to a developing activity or business process, to the final iteration.

6.2 Assessing environmental and social impacts

62. For each environmental and social risk that has been identified, a forecast will be made of the impact of the activity, known as an environmental and social impact assessment.
63. This assessment shall be based on the risk generating activity only, and must not take into account measures for avoidance, mitigation, reduction or other forms of management of the risks and impacts.
64. An impact assessment will be limited to just those principles for which risks have been identified. The risks identification sets out the terms of reference for the impact assessment. As is the case for the risks identification, the impact assessment will be commensurate to the risk, and thereby in practice be self-sizing. The precautionary principle will guide this further.
65. Impact assessment findings will be justified and substantiating information recorded. The assessment will reflect a knowledge hierarchy. Opinion, as the least reliable source of knowledge, will be clearly marked as such. The impact assessment will be based on evidence that is documented and available for scrutiny throughout the life cycle of the activity.
66. The impact assessment process will be recorded, as will be its findings. Assumptions, knowledge gaps, uncertainties and unpredictability will be explicitly recorded as such.
67. An environmental and social impact assessment of an activity or business process will be subject to public consultation
68. The environmental and social impact assessment process will be subject to dedicated internal oversight.

6.3 Managing environmental and social risks

69. The process of impact assessment will at the same time for most impacts directly lead to the subsequent identification of measures of prevention or management.
70. The identification of environmental and social management measures will reflect a mitigation hierarchy prioritizing measures as follows: avoiding impacts where possible, minimizing those that cannot be avoided, restoring affected areas, items and communities, and compensating for any residual unwanted impacts.
71. Impacts on biodiversity and ecosystems must be managed without the option of compensation or offsetting.

72. The ensemble of management measures identified for the environmental and social risks shall be collected in an Environmental and Social Management Plan (ESMP).
73. The development of an ESMP is mandatory for all activities or business processes with environmental or social risks identified.
74. When effective risks identification is not possible because either the nature of the activity (and thereby its inherent risks) or the specific location (and thereby the environmental and social setting) are not yet identified⁶, an ESMP is also required. It will then include a process⁷ to identify environmental and social risks during implementation of the activity as soon as the lacking information becomes available. That process will result in risks identification and impact assessment following the same process (principles, standards, etc.) as described in this policy. The ESMP shall include as a minimum the following elements:
 - a. an overview of the assessed impacts and the corresponding management measures;
 - b. corresponding elements for monitoring, with performance indicators and reporting requirements;
 - c. description of the ESMP process;
 - d. allocation of roles and responsibilities for the implementation of the ESMP;
 - e. an estimation of the financial resources required for implementing the ESMP;
 - f. when the case, a process for risks identification and impact assessment for activities for which such was not possible earlier to ensure comprehensive application of the ESSP;
 - g. low-level monitoring for unanticipated environmental and social risks, and for changes to the setting that may result in a different risk finding.
75. In case of an activity or business process where risks identification is done during implementation, the ESMP shall be updated accordingly.
76. An environmental and social management plan for an activity or business process will be subject to public consultation.
77. The environmental and social management plan and its implementation will be subject to dedicated oversight.
78. GGGI shall develop guidance and specific tools to support the process of management of environmental and social impacts.

6.4 Monitoring and reporting

79. The implementation of the ESMP for an activity or business process shall be monitored.
80. The adequacy of the environmental and social risks findings shall also be monitored as part of the activity or business process activities.
81. For each activity or business process, an appropriate and effective reporting schedule shall be determined as part of the ESMP. The reporting will demonstrate the status and effectiveness of the ESMP measures, including any actions of adaptive management and corrective measures that may have been taken.

7. Stakeholder engagement

82. Stakeholder engagement is an essential component of the GGGI ESMS. It is indispensable for adequate risks identification and management, for monitoring and reporting of risks and impacts, and as a consideration in activity or business process effectiveness.

⁶ Such an activity is commonly referred to as an Unidentified Sub-Project (USP)

⁷ Commonly referred to as an Environmental and Social Management Framework (ESMF).

83. Stakeholders shall be identified for each activity or business process, where feasible, considering its current stage.
84. Stakeholder identification will have specific attention to identify those stakeholders that are mentioned in any of the ESSP principles, e.g. marginalized and vulnerable groups and indigenous peoples.
85. In the environmental and social safeguarding process, stakeholder consultation is required at the beginning of the process of risks identification, at the time of concluding the risks identification, in the impacts assessment and formulation of any management measures, during implementation in monitoring, and at evaluation.
86. In addition, there are requirements for specific additional stakeholder engagement activities for a number of the ESSP principles, e.g. in the case of involuntary resettlement.
87. Stakeholder consultations and engagement will be done in the most effective way possible for all stakeholders, enabling participation and addressing barriers, proportionate to the scale and nature of the activities.
88. As part of the ESMS, it is essential that the following elements are duly documented:
 - a. the process of stakeholder identification;
 - b. considerations for effectiveness such as accessibility measures, language support, representation of special attention groups etc.;
 - c. records of the feedback received from stakeholders;
 - d. records of the response to stakeholder feedback and consultations.
89. Decisions leading to non-disclosure of (parts of) the application and compliance with the ESSP will be subject to independent oversight.

8. Grievance Redress mechanism

90. The ESMS is complemented by a grievance redress mechanism (GRM). The GRM serves as the ESMS failsafe mechanism and is designed to further prevent harm or minimize the effects of a failure.
91. The GRM provides an accessible process for receiving and handling grievances related to the ESSP regarding GGGI activities. The GRM will be operated at the level where it is the most efficient.
92. The GRM will facilitate the lodging of grievances and not establish barriers or impediments e.g. through requirements for language, format or nature of the complainant.
93. Unless justified, all grievances, as well as their processing and resolution will be made public, at the earliest possible time so as not to interfere or jeopardize their efficient resolution. Grievances may be treated confidentially and remain so, at the request of the complainant, or as GGGI considers it in the best interest of the complainant to do so. Confidential complaints will be subject to additional oversight.
94. For each business process at GGGI, a determination will be made of the extent to which GGGI may be held accountable for grievances received. Grievances that are related to activities for which GGGI is accountable will be handled by the GGGI GRM. For grievances outside of GGGI accountability the complainant will be informed thereof and referred to, or offered the option of GGGI referring the grievance to the most appropriate authority.
95. In addition to any legal requirements, the GRM may specify categories of grievances that always require GGGI to take action.
96. The GRM takes a subsidiary approach to grievance handling.

97. Grievances do not automatically expire or become inadmissible by the completion or termination of the activities they relate to.
98. The GRM will include a mechanism for organization-wide monitoring of grievances and complaints received, as well as of their resolution and the efficiency and expediency of the process.
99. Relevant elements of the GRM are included in the Accountability framework, the Compliance Review Mechanism, the Whistleblower Policy, and the Guidelines for GGGI Anti-Corruption Policy and Whistleblower Policy.

9. Organizational capacity and competency

100. GGGI will develop and maintain the capacity at all levels of the organization to ensure compliance with the ESSP.

10. ESMS monitoring, evaluation and reporting

101. GGGI shall identify indicators to reflect the status of implementation and compliance with the ESSP across the Institute and all its activities and business processes.
102. GGGI shall include a section on its performance on environmental and social safeguarding in its Annual Report.
103. The ESSP is subject to an evaluation of its effectiveness and being fit-for-purpose every five years.

11. Review period

104. The ESSP shall undergo review at least every five years to ensure it stays up to date and relevant to changes in GGGI's programs and organizational structure, as well as changes in ESVF.

12. Final provisions

105. This Policy repeals and replaces any previous policies, rules, guidelines and guidance on its subject matter, including the Sustainability and Safeguards Rules. To the extent of any inconsistency between the guidelines, arrangements, conditions and procedures set out in this Policy and any existing rules, policies, guidelines or guidance, this Policy's guidelines, arrangements, conditions and procedures supersede and replace the contrary provisions to the extent of the inconsistency.
106. This Policy may be amended, modified or repealed, in whole or in part, by the Director General at any time.
107. This Policy will enter into force on its date of approval by the Director General.

Annex I. Process for ESSP exemption

1. Exemption or partial exemption from ESSP compliance is based on a motivated request to that effect for an activity or business process, demonstrating how ESSP compliance would be either:
 - a. incompatible with the activity or business process;
 - b. ineffective considering the limited or lack of GGGI control over the activity or business process;
 - c. disproportionately expensive compared to the expected outcomes;
 - d. required for other business necessities.
2. The request will specify whether the exemption applies to the whole of the ESSP or only parts thereof.
3. The request will include an identification of the liability and reputational risks of the exemption to GGGI.
4. The request will consider the extent to which other, generic environmental and social mitigation measures are in place, such as an existing third-party ESMS or any external applicable environmental and social values frameworks and commitments. As a principle, GGGI should only refer to its own ESMS and compliance with its ESSP. Where third parties systems are used, that should be identified as such, and no equivalence with ESSP compliance claimed.
5. The request will include options for the promotion of the GRM of partners and/or GGGI⁸ for grievances related to environmental and social risks and impacts of the activity or business process, regardless of the level of ESSP exemption.
6. The decision by the Director General regarding an ESSP exemption for an activity or business process will be announced and published on the GGGI website, detailing the nature of the exemption.
7. The ESSP will be annually updated with a supplement documenting all the exemption decisions made in the past year.

⁸ The GGGI GRM will be updated to allow it to accept and handle complaints also from activities or business processes subject to an exemption decision.

Annex II. Principles and standards

1. The following are the principles and corresponding standards of the ESSP:

Principle 0: Environmental and social risks

Environmental and social risks of the activity shall be identified, potential impacts assessed, and managed, in accordance with the Values Framework of GGGI.

Standard 0.1: For each of the principles of the ESSP, identify the risk of unwanted environmental and social impacts, using the processes described in the ESSP.

Standard 0.2: For all environmental and social risks identified, carry out an impact assessment to determine the likely outcome for each risk should no measures be taken to prevent, avoid, minimize or mitigate against the unwanted outcomes, in a manner proportionate to the risk identified.

Standard 0.3: For all assessed impacts, determine the management measures required to prevent, avoid, minimize or mitigate against those impacts.

Standard 0.4: Based on the identified management measures, develop an Environmental and Social Management Plan (ESMP) for the activity, with specified costs and sources of financing, indicators for monitoring and evaluation of the effectiveness of the management.

Standard 0.5: Develop and maintain a Grievance Redress Mechanism (GRM), applicable at the most effective level, and integrated in an Institute-wide mechanism providing oversight.

Standard 0.6: Document, and make public, information regarding the compliance with the ESSP for the activity, the application of an ESMP, the monitoring and evaluation outcomes, and any grievances, justifying to an internal oversight body reasons for not publicizing any relevant information.

Standard 0.7: Gather and document potential lessons to be learned from complying with the ESSP for the activity.

Principle 1: Biodiversity

The activity shall not affect the biodiversity status quo at all levels (varieties, species, populations, ecosystems and ecosystem processes) and shall not affect processes that drive evolution.

Standard 1.1: Identify, through appropriate methods, the biodiversity elements at all levels (varieties, species, populations, ecosystems and ecosystem processes) that may be at risk of being adversely affected by the activity.

Standard 1.2: Identify the processes that drive evolution and that may be at risk of being negatively impacted by the activity.

Principle 2: Habitats

The activity shall not negatively affect habitats or cause loss of habitats.

Standard 2.1: Identify the habitats of which the nature, quality or integrity may be affected by the activity.

Standard 2.2: Identify habitats that may be at risk of being lost, in part or wholly, due to the activity.

Principle 3: Invasive and non-native species

The activity shall not affect biodiversity and productive systems by the introduction and proliferation of non-native or invasive species, or by creating the risk thereof.

Standard 3.1: Identify the potential associated with the activity of introducing, establishing or spreading non-native or invasive species.

Standard 3.2: Identify the biodiversity elements and productive systems that would be vulnerable to the introduction or proliferation of non-native or invasive species.

Principle 4: Ecosystem services

The activity shall not affect the integrity of the services provided by ecosystems to humans, and shall not reduce the benefits, availability and accessibility of ecosystem services.

Standard 4.1: Identify the ecosystem services of which the quality or integrity may be affected by the activity.

Standard 2.2: Identify the benefits, availability and accessibility of the ecosystem services, and the extent to which these may be affected due to the activity.

Principle 5: Living natural resources

The activity shall not lead to or contribute to or maintain the unsustainable use of living natural resources. It shall not have a negative impact on the protection or conservation of living natural resources.

Standard 5.1: Identify the living natural resources that may be affected by the activity.

Standard 5.2: Determine for each living natural resource, including separate parts thereof, possibly affected by the activity, the current status of use in terms of sustainability.

Standard 5.3: Determine for each living natural resource concerned ongoing or planned protection or conservation actions.

Principle 6: Natural and cultural heritage

The activity shall not affect natural or cultural heritage or the equitable sharing of benefits from the use of natural and cultural heritage.

Standard 6.1: Determine natural and cultural heritage that may be affected by the activity.

Standard 6.2: Determine for each heritage element its vulnerabilities, protection and preservation needs, including legal and regulatory requirements.

Standard 6.3: Determine the needs and practice of equitable sharing of the benefits from the use of natural and cultural heritage.

Standard 6.4: Determine the likelihood of the presence of as yet unknown heritage, and the likelihood of the activity revealing such unknown heritage.

Principle 7: Indigenous peoples

The activity shall respect the dignity, human rights, aspirations, cultures and customary livelihoods of indigenous peoples and preserve their culture, knowledge, and practices.

Standard 7.1: Determine the presence or involvement of indigenous peoples.

Standard 7.2: Determine the aspirations, cultures, knowledge, practices and customary livelihoods of any and all indigenous peoples present or involved.

Principle 8: Pollution

The activity shall minimize at the source the generation and release of pollutants.

Standard 8.1: Identify at the source the generation of pollutants and their release.

Principle 9: Waste prevention and management

The activity shall avoid, minimize, reduce, recover and reuse waste and manage, treat, destroy or dispose of waste in a manner that is safe for human health and the environment.

Standard 9.1: Identify the creation of any waste.

Standard 9.2: Determine for any waste produced manners to minimize, reduce, recover and reuse.

Standard 9.3: Determine for any waste produced requirements for management, treatment, destruction or disposal in a manner that is safe for human health and the environment, including legal and regulatory requirements.

Principle 10: Hazardous substances

The activity shall minimize and control the use and release of hazardous materials.

Standard 10.1: Identify the use of hazardous materials.

Standard 10.2: Determine the requirements for control of the use and release of hazardous materials, including legal and regulatory requirements.

Principle 11: Resource efficiency

The activity shall make efficient and sustainable use of natural and other resources, including energy, water and raw materials.

Standard 11.1: Determine the use of natural and other resources by the activity and by subsequent and secondary activities.

Principle 12: Greenhouse gas emissions

The activity shall not contribute to climate change by emission of greenhouse gases.

Standard 12.1: Determine the emission by the activity of greenhouse gases, directly and indirectly.

Principle 13: Equity and inclusivity

The activity shall provide fair and equitable access to activity benefits, not exacerbating existing inequalities (i.e. other than gender-related inequalities).

Standard 13.1: Determine the process for allocating access to activity benefits.

Standard 13.2: Determine inequalities in the communities that may be exacerbated by unequitable access to activity benefits.

Principle 14: Access

The activity shall maintain and not impede access to basic health services, clean water and sanitation, energy, education, housing, safe and decent working conditions, and land rights.

Standard 14.1: Identify access to basic health services, clean water and sanitation, energy, education, housing, safe and decent working conditions, and land rights for communities involved in or concerned by the activity.

Principle 15: Resettlement

The activity shall avoid and minimize displacement, forced eviction and adverse social and economic impacts from land acquisition or restrictions on land use or on access to livelihoods assets.

Standard 15.1: Determine the implications of the activity for land acquisition, restrictions to land use and access to livelihoods assets.

Standard 15.2: Determine current land ownership, formal and informal land occupation, land use and physical livelihoods assets that may be temporarily or permanently affected by the activity.

Standard 15.3: Determine seasonal or recurring changes in land ownership, land use and occupation, and livelihoods.

Principle 16: Marginalized, disadvantaged and vulnerable groups

The activity shall reduce and not exacerbate existing inequities, particularly with respect to marginalized, disadvantaged or vulnerable groups.

Standard 16.1: Identify marginalized, disadvantaged and vulnerable groups and existing inequities related to their status.

Principle 17: Core Labor Rights

The activity shall meet the core labor standards as identified by the International Labor Organization (ILO), with specific attention to promoting safety and health at work, protecting workers from discrimination, excluding all forms of forced and child labor, supporting freedom of association and collective bargaining, and providing project workers with accessible means to raise workplace concerns.

Standard 17.1: Determine whether the activity involves a sector for which there is a documented risk of child labor.

Standard 17.2: Determine whether the activity involves a geographic area for which there is a documented risk of child labor.

Standard 17.3: Determine whether the activity involves a sector for which there is a documented risk of forced labor.

Standard 17.4: Determine whether the activity involves a geographic area for which there is a documented risk of forced labor.

Standard 17.5: Determine legal and regulatory requirements relevant to the activity related to the core ILO Labor Standards.

Standard 17.6: Determine specific health and safety requirements for the activity.

Principle 18: Human Rights

The activity shall respect and where applicable promote international human rights.

Standard 18.1: Determine if the country or geographical area involved in the activity is cited in any Special Procedures of the United Nations Human Rights Council, be they thematic or country mandates, and provide an overview of the relevant human rights issues that are identified.

Principle 19: Community health and safety

The activity shall avoid adverse impacts on the health and safety of communities from both routine and non-routine circumstances.

Standard 19.1: Determine specific health and safety vulnerabilities of communities involved in the activity, considering direct and indirect vulnerabilities, as well as secondary and cumulative elements.

Standard 19.2: Identify within communities those elements that may be disproportionately at risk of impacts on health and safety.

Principle 20: Compliance with the law

The activity shall comply with applicable domestic and international law and regulations.

Standard 20.1: Determine which laws and regulations applicable to the activity require specific attention for compliance, in particular relevant national technical standards.

Principle 21: Child protection

The activity shall prevent child exploitation and abuse.

In alignment with the Rules on Child Protection, the ESMS will include the identification of risks related to child protection and in doing so provide the risk assessment required in section 5.2 of these Rules.

Standard 21.1: Determine if the activity involves potential contact with children, working with children or may have otherwise an impact on children.

Principle 22: Sexual exploitation, abuse and harassment (SEAH)

The activity shall prevent sexual exploitation, abuse and harassment.

In alignment with the Rules on Preventing Sexual Exploitation, Abuse and Harassment, the ESMS will include the identification of risks related to SEAH and in doing so bring the risk and decision-making process provided in section 5.1 of the SEAH Rules.

Standard 22.1: Determine whether the activity involves a sector or geographic area with documented elevated risk of SEAH, including interaction with vulnerable communities.

Standard 22.2: Determine if cultural and social norms relevant to the activity, including power imbalances, gender inequality or other forms of discrimination, are likely to tolerate or conceal SEAH.

Standard 22.3: Identify groups that due to socio-economic or demographic reasons are vulnerable to SEAH.

Principle 23: Gender Equality and Women's Empowerment

The activity shall avoid creating, sustaining and/or exacerbating existing gender inequalities or obstacles to women's empowerment.

In alignment with the Gender Equality and Social Inclusion Strategy 2021-2025, the ESMS will address at the project activity level the identification of risk aspect of the Strategy.

Standard 23.1: Determine through a gender analysis existing gender inequalities and obstacles to women's empowerment relevant to the activity.

Principle 24: Soil conservation

The activity shall conserve soils and their productive characteristics, and prevent erosion.

Standard 24.1: Determine in the activity area the presence of soils susceptible to degradation and erosion.

Standard 24.2: Determine in the activity area the presence of soils that should not be disturbed due to their potential to cause severe environmental, health and structural issues (e.g. acid sulphate soils, peat soils, contaminated soils, permafrost).

Principle 25: Degradation or conversion of productive lands

The activity shall avoid the degradation or conversion of productive lands, and preserve open space.

Standard 25.1: Determine the presence of productive lands and open space.

Principle 26: Violent conflict

The activity shall avoid sustaining or aggravating existing violent conflicts and to avoid creating violent conflicts.

Standard 26.1: Determine existing and potential violent conflicts in the activity area and analyze their context.



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