



GLF

HEALTH AND SAFETY RISK MANAGEMENT PROCEDURE

Policy Control	
VERSION NO	0
SUMMARY OF CHANGE	First Issue
PERSON RESPONSIBLE FOR THE POLICY	GLF Board of Directors
GLF APPROVAL AND DATE	December 2024
VALID FROM	05 December 2024
DISTRIBUTION	For Internal Use

Table of Contents

1. INTRODUCTION	3
2. OBJECTIVES	3
3. SCOPE	3
4. ACRONYMS AND DEFINITIONS	4
5. HAZARD IDENTIFICATION, RISK ASSESSMENT AND CONTROL	5
6. EMERGENCY HAZARD CONTROLS	7
7. GRANT/PROJECT SPECIFIC H&S PLANS	7
8. PROJECTS, TASKS OR HAZARDS ASSESSED AS "HIGH RISK"	9
9. TRAINING	9
10. H&S ROLES AND RESPONSIBILITIES	10
10.1 GLF EMPLOYEES	10
10.2 GLF SUSTAINABILITY OFFICER	10
10.3 GLF PROGRAM OFFICER	11
10.4 GRANTEES AND BENEFICIAL PROJECT PARTNERS	12
10.5 SUBJECT MATTER EXPERT(S)	12
11. REPORTING	12
11.1 GRANTEE HSSE REPORTING	13
11.2 SERIOUS INCIDENT REPORTING	13
11.3 GLF REPORTABLE INCIDENTS	14
11.4 GLF QUARTERLY HSSE REPORTING AND ANNUAL H&S REPORTING	15
12. EMERGENCY PREVENTION, PREPAREDNESS, AND RESPONSE (EPPR)	16
13. APPLICABLE REGULATIONS, STANDARDS AND GUIDELINES	16
ANNEX A: H&S RISK EVALUATION PROTOCOL AND MATRIX	17
ANNEX B: GALÁPAGOS FIELD TRIP HAZARD IDENTIFICATION AND RISK ASSESSMENT TEMPLATE	18
ANNEX C: H&S REPORTING TEMPLATES	19
C-1: QUARTERLY HSSE REPORTING TEMPLATE	19
C-2: SERIOUS INCIDENT REPORTING	19

1. INTRODUCTION

The Galápagos Life Fund (GLF) Health and Safety Risk Management Procedure aims to establish a systematic approach to identifying work-place hazards as well as evaluating, prioritizing, and controlling health and safety (H&S) risks. The risk assessment guideline will be used to manage hazards associated with both routine and non-routine tasks and locations. Furthermore, it will focus on the risks associated with new processes, operational modifications, and products or services relevant to GLF, grantees, their project activities and all other project partners. This guideline aligns with and strengthens GLF's dedication to health and safety as detailed in the GLF Health and Safety Policy and the GLF Environmental and Social Management System (ESMS)

Since GLF operations and most of GLF-funded projects are based in the Galápagos Islands, the Galápagos Marine Reserve (GMR) and the Hermandad Marine Reserve (HMR), H&S risks and related management issues will typically (but not exclusively) focus on conservation related activities e.g. offshore operations and field trips (including diving). However, they may also involve development-related activities such as smaller constructions, vehicles, water and waste management etc.

2. OBJECTIVES

The objectives of this procedure are to:

1. Document risk evaluation protocols for GLF, grantees and project partners.
2. Provide a systematic means to identify workplace risks and associated control measures to eliminate or minimize risks by removing the hazard or controlling the exposure to the hazard.
3. Create a consistent method to evaluate risks related to identified workplace hazards.
4. Establish a process to prioritize the allocation of resources for H&S needs based on the ranking of identified risks when there is no regulatory driver.
5. Allow the risk assessment process to be adjusted to meet the needs of the presented risk.

3. SCOPE

This procedure applies to all GLF employees, GLF's grantees and project partners (including, contractors, suppliers, consultants, and their employees, sub-grantees and representatives) engaged by GLF.

4. ACRONYMS AND DEFINITIONS

For this procedure, the following acronyms and definitions apply:

Acronyms	
dba	Decibels, measured on the A-weighted scale
EPPR	Emergency Prevention, Preparedness, and Response
ESOP	Environmental and Social Code of Practice
ESMS	Environmental and Social Management System
GLF	Galápagos Life Fund
HPI	High Potential Incidents
H&S	Health and Safety
LTI	Lost time incident
PPE	Personal Protective Equipment
SOPs	Standard Operating Procedures

Definitions	
Lost time incident (LTI)	A work-related injury or illness that results in an employee's absence from work for a significant period, typically a day or more.
Administrative Controls (regarding hazards)	Changes made to the methods used by personnel to perform their work. Examples include procedural changes, employee training, and installation of signs and warning labels. Administrative controls do not remove hazards, but limit or prevent exposure to the hazards through applied work methods.
Risk ranking/ categories	<p>The effect of an event happening. GLF uses three main consequence categories: High, Medium, and Low.</p> <ul style="list-style-type: none"> • High (High- Very High)– The hazard may cause death, severe injury or illness, or major organisation or project shutdown. • Medium– The hazard may cause minor injury or minor illness resulting in lost work time or minor property damage. • Low (Very Low-Low) – The hazard would not affect personnel safety or health but still has the potential for a minor injury or illness.
Elimination (regarding hazards)	Physically removing the hazard is the most effective control method. For example, if an employee must work high above the ground, the hazard can be eliminated by moving the piece they are working on to ground level to eliminate the need to work at heights.
Hazard	A condition, event, item that has potential to cause harm or circumstance that could lead to or contribute to an unplanned or undesirable event.
Hazard Control Hierarchy	<p>Means used to minimize or eliminate exposure to identified hazards. Hazard controls usually adhere to the following hierarchy, to decrease effectiveness:</p> <ul style="list-style-type: none"> • Elimination.

Definitions	
	<ul style="list-style-type: none"> • Substitution. • Engineering. • Administration. • Personal Protective Equipment (PPE).
Health and Safety Plan (H&S Plan)	A plan that addresses the health and safety, hazards, and requirements (training, medical surveillance, site controls, emergency preparedness, etc.) of a project.
High Potential Incidents	Some incidents and near misses may occur that under different, plausible circumstances the most serious credible outcome could have been a serious incident.
Incident	An event or chain of events which caused or could have caused injury, illness, loss of assets or potential or actual damage to relationships or reputation.
Personal Protective Equipment (PPE)	Includes, but is not limited to gloves, respirators, hard hats, safety glasses, high-visibility clothing, and safety footwear. PPE is the least desirable or effective means for controlling hazards.
Reportable incidents	Incidents that comprise serious incidents and High Potential Incidents (HPIs).
Risk Assessment	The process of quantifying the probability of a harmful effect to individuals or groups of people from certain hazards.
Serious incident	Any unplanned or uncontrolled event with a materially adverse effect on workers, community members or the environment within a project's Area of Influence or events that have the potential to have material or immaterial adverse effects on the project execution or give rise to potential liabilities or reputational risks.
Substitution (regarding hazards)	Involves replacing something that produces a hazard with something that does not produce as great a hazard. For example, replacing lead-based paint with acrylic paint.

5. HAZARD IDENTIFICATION, RISK ASSESSMENT AND CONTROL

The following must be understood and implemented by **GLF, grantees and project partners**:

1. A formal written hazard identification and risk assessment, utilizing the GLF Health & Safety Risk Evaluation Protocol and Matrix (Annex A), must be conducted by **GLF, all grantees and other project partners** for all GLF operational and grant/project-related activities that may involve potential hazards. This assessment should systematically identify and evaluate hazards associated with the project. The **GLF Health & Safety Risk Evaluation Protocol and Matrix (Annex A)** will guide the assessment process, helping to determine the level of risk associated with each identified hazard. Based on the risk assessment, appropriate control measures must be established to eliminate or mitigate the identified hazards.

If a GLF grantee/project partner already has equivalent Standard Operating Procedures (SOPs) for hazard identification and risk assessment to those included in Annex B, the SOPs will be evaluated by an expert and updated for substantive alignment to GLF's procedures.

2. Additionally, construction activities will require an **Environmental and Social Code of Practice (ESCAP)** as mandated by GLF's Environmental and Social Management System (ESMS). Field-based activities (both terrestrial and maritime) will also necessitate the completion of the **Galápagos Field Trip Hazard Identification and Risk Assessment template (see Annex B)** (or a substantively equivalent risk assessment, if the grantee/partner already has its own SOPs).
3. A comprehensive appraisal of work-related hazards requires gathering insights from all participants and relevant stakeholders, especially the persons that will be directly exposed to the hazard. A hazard that seems minor to one person might be significant to another, due to differences in experience, abilities, or attitudes towards safety. Hazards can be specific to a location or task, obvious or hidden, and their impact can vary from person to person.
4. It is essential for the responsible staff member (Sustainability Officer for GLF; H&S Manager/Compliance Officer for grantee/project partner) to document all scheduled tasks, ensuring that each potential hazard related to the task is clearly identified using the H&S Risk Evaluation Protocol and Matrix (see Annex A). This documentation should include an initial risk assessment score along with the mitigations implemented, culminating in a final residual risk score.
5. The risk assessment should be discussed with GLF's Sustainability Officer (or designated representative (as applicable)) to check for understanding. GLF's Sustainability Officer or representative will ascertain that the employee(s) (either GLF or grantee/project partner) **acknowledge the risk assessment by signing next to their name(s)**, including the date of the risk assessment.
6. It is essential that all **controls are established** prior to initiating the task, with personal protective equipment (PPE) being provided to personnel as required, serving as the final measure of mitigation.
7. Tasks should only be initiated when the residual risk rating is **medium or low**.
8. **GLF employees' engagement** in GLF related activities associated with **"high"-rated hazards** requires the authorization of the GLF Sustainability Officer or his/her representative. Additionally, tasks that are classified with a "high" residual risk ranking must not be undertaken without obtaining prior approval.
9. **Grantee/project partner employees' engagement** in GLF Grants/Projects related activities associated with **"high"-rated hazards** requires the documented authorization of the

grantee/beneficial project partner/institution's Compliance Officer (or H&S Manager / designated representative (as applicable)). Additionally, tasks that are classified with a "high" residual risk ranking must not be undertaken without obtaining prior approval.

10. Exposure to **"high"-rated hazards** must be addressed in a grant-specific Health and Safety (H&S) plan (see Section 8).
11. If a task or **hazard is assessed as high risk**, it should only be performed if the hazard can be managed and mitigated. Employees of GLF and its grantees/project partners have both the authority and the obligation to stop working if a new hazard is identified and if the present hazard measures are deemed insufficient.
12. A **project risk assessment** remains effective for a period of six months, unless there are substantial alterations in the project's location. It is the duty of all staff members to monitor any such changes.
13. **Risk assessments** should be saved for audit verification purposes.
 - a. Within GLF this will be done by the GLF Sustainability Officer. In case of grantees it should be the Project Manager in cooperation with GLF Sustainability Officer cc GLF Program Officer.
 - b. Risk assessments will be saved/archived by GLF Program Officer and grantee/project partner (as applicable).

6. EMERGENCY HAZARD CONTROLS

In situations where urgent measures are necessary to address a condition that poses an immediate danger to employees or the general public and there is insufficient time to conduct a risk assessment, it is imperative to prioritize the control of hazards during the execution of emergency actions. It is essential to communicate the actions to be undertaken to all personnel involved, ensuring they are aware of the hazards and the control measures that will be put in place to reduce the risk to workers and/or the public.

7. GRANT/PROJECT SPECIFIC H&S PLANS

Grant or project-specific H&S plans are essential components of the processes for hazard identification, risk assessment, and control. These plans must be created when engaging in activities that involve elevated risks. It is imperative that project-specific H&S plans are developed, approved, and implemented within the first three to six months of the project's inception phase, or prior to risk posing activities commencing (whichever is the earliest).

The project specific H&S plans must:

- a) Outline the expected negative effects on the health and safety of workers and surrounding communities throughout the project, considering both regular and irregular situations, and establish strategies (including roles & responsibilities and necessary resources) to mitigate these adverse impacts.
- b) Include the H&S training plan for workers intervening in a project.
- c) Detail how H&S records will be maintained, including mandatory training delivery, near-misses, incidents, and accidents.
- d) Include tools and procedures for reporting accidents or activities resulting in occupational injuries, deaths, disability, or disease and the remedial measures put in place.
- e) Ensure that personnel and property are safeguarded following relevant human rights principles and in a manner that avoids or minimizes risks to affected communities.

Depending on the type, scale, likelihood, and impact of H&S risks identified during the risk assessment, projects may also be required to conduct specific studies or comprehensive risk mitigation or management plans or develop additional procedures, plans, protocols, etc. This will be agreed with GLF at project inception, or once the H&S plan is available.

Projects that may require tailored H&S plans include, but are not limited to:

- All tasks or hazards assessed as "high" risk.
- Work with cold stress concerns (hypothermia, frostbite, etc.).
- Working on or near water (e.g. wading, boating, swimming, diving).
- Working near wildlife and other biological hazards (animal bites, contact with bloodborne pathogens, etc.).
- Pending severe weather/storm conditions (flooding, high winds, snow, etc.).
- Potential exposure to hazardous chemicals or substances.
- Potential exposure to elevated noise (> 85 decibels on the A-scale [dBA]) over an 8-hour time-weighted average.
- Work that requires or recommends respiratory protection equipment.
- Work conducted near moving or rotating equipment (e.g., drill rigs, cranes, and other heavy equipment).
- Work conducted near open excavations and/or trenching activities.
- Work that has the potential for contact with underground or overhead utilities.
- Confined space entry activities.
- Working at heights.
- Work that requires hazardous energy control (i.e., lockout/tagout).
- Work involving flame- or spark-producing equipment (i.e., hot work).
- Work with heat stress concerns (heat cramps, exhaustion, stroke, etc.).

All onsite workers (including subcontractors) at project sites or those involved in field-based activities (e.g. monitoring) must be briefed on the contents of the project-specific H&S Plan and acknowledge that they will adhere to its requirements.

8. PROJECTS, TASKS OR HAZARDS ASSESSED AS "HIGH RISK"

If a task or hazard is assessed as high risk, it should only be performed if the hazard can be adequately mitigated. In such cases, a systematic approach known as the 'Hierarchy of Control' is essential for hazard management. This hierarchy has six levels, starting with 'Elimination', which aims to completely remove the hazard or hazardous practice from the worksite (e.g., removing a trip hazard).

However, elimination isn't always feasible, so the next level, 'Substitution', involves replacing the hazard with a less hazardous alternative (e.g., using a non-toxic chemical instead of a toxic one).

The final level, 'Personal Protective Equipment' (PPE), is the least effective control as it assumes some level of risk exposure. For tasks involving long-term exposure, PPE alone may not adequately protect employees and higher level of control measures should be included.

Level of Control	Example
1. Elimination	Remove the hazard: e.g. charter a boat instead of camping on an uninhabited island; avoid asbestos when building
2. Substitution	Use an alternative <ul style="list-style-type: none">• use scaffolding rather than ladders• replace noisy tools by upgraded muffled tools
3. Isolation	Separation of hazard <ul style="list-style-type: none">• place a physical barrier around the hazard to exclude access
4. Redesign	Avoid the hazard by changing the process or the equipment
5. Administration	Change the work practice: <ul style="list-style-type: none">• establish rest periods and recovery areas for employees involved in hazardous processes
6. Personal Protective Equipment	Provide protective clothing and or equipment

The cost of the H&S measures, including the PPE and training will be included in the total cost of the project.

9. TRAINING

All GLF employees and project partners, including GLF's grantees, contractors, suppliers, consultants, and their employees, sub-grantees, and representatives will undergo training on this procedure and the process of undertaking a risk assessment. Training for grantees, sub-grantees their employees and representatives will be provided by GLF during the inception phase of each new grant. Additionally, grantees, sub-grantees and their employees and representatives requiring refresher training may request it from the GLF Sustainability Officer or representative.

10. H&S ROLES AND RESPONSIBILITIES

The GLF, grantees and project partners are legally obligated to provide a safe and healthy work environment. Employees possess both rights and responsibilities regarding their own health and that of their coworkers. These responsibilities are set out below.

10.1 GLF EMPLOYEES

- Adhere to safety protocols: Diligently follow all hazard control measures identified in risk assessments and any additional safety instructions provided by supervisors or the GLF Sustainability Officer.
- Participate in risk assessments: Actively contribute to the development and review of risk assessments when requested or when encountering new or changing work conditions. Share observations and insights to ensure comprehensive hazard identification.
- Exercise stop-work authority: Take immediate action to stop work if the employee believes the implemented hazard controls are inadequate or if he encounters an unsafe situation. Promptly report such concerns to supervisor or the GLF Sustainability Officer.
- Contribute to continuous improvement: Proactively offer suggestions and feedback to improve risk assessment processes, hazard controls, and overall workplace safety.
- Report incidents and near-misses: Report all accidents, incidents, near-misses, and any safety concerns to their supervisor and/ or the GLF Sustainability Officer without delay.
- Complete H&S training: Participate in all mandatory H&S training programs and refreshers to maintain awareness and competency.
- Maintain a safe work environment: Take responsibility for own safety and the safety of colleagues by following established procedures, using PPE correctly, and keeping the work area clean and organized.
- Foster a culture of safety by actively promoting safe practices, reporting hazards promptly, and supporting colleagues in maintaining a safe and healthy workplace.

10.2 GLF SUSTAINABILITY OFFICER

GLF-Related Roles and Responsibilities:

- Developing, implementing, and maintaining H&S policies and procedures.
- Conducting regular workplace inspections to identify and address potential hazards.
- Investigating accidents, incidents, and near-misses to determine root causes and implement corrective actions.
- Coordinating emergency preparedness and response plans.
- Maintaining records of H&S-related activities, including training, inspections, and incidents.
- Providing H&S training and awareness programs for all GLF staff.
- Approve exposure to and mitigation plans for "high"-rated hazards.
- Lead the development of risk assessments and H&S plans when site hazards necessitate such documentation.
- Submit reports to U.S. International Development Finance Corporation (DFC), Oceans Finance Company (OFC) and Climate Fund Managers (CFM) using the GLF HSSE Report Template (see Annex C).
- Liaising with external H&S consultants and regulatory bodies.
- Promoting a positive H&S culture within the organization.

- Staying up to date with relevant H&S legislation and best practices.

Grants/Projects related roles and responsibilities:

- Review and approve H&S plans and risk assessments submitted by grantees and project partners.
- Provide guidance and support to grantees and project partners on H&S matters.
- Receive grantee/ project partner H&S performance reports (from Program Officer) and compile and manage the data.
- Conduct periodic reviews of grantee and project partner H&S performance.
- Investigate and report on any H&S incidents or near-misses involving GLF-funded projects.
- Ensure compliance with relevant H&S regulations and standards in all GLF-funded projects.
- Collaborate with GLF program staff to integrate H&S considerations into project design and implementation.
- Develop and deliver H&S training programs for grantees and project partners.
- Stay up to date on H&S best practices and disseminate relevant information to GLF staff and partners.
- Maintain records of all H&S-related activities and communications.
- Report on grantee H&S performance in GLFs Annual E&S Monitoring Report.

Ultimate responsibility for health and safety (including hazard identification, risk assessment, mitigation implementation, and approvals) rests with each grantee or project partner. GLF and its Sustainability Officer are not liable for the day-to-day H&S management of grantees and other project partners.

10.3 GLF PROGRAM OFFICER

- Oversee risk assessment process: Ensure that a comprehensive risk assessment process is conducted for all grants/projects under their purview. Verify that the assessments are completed thoroughly and in a timely manner.
- Validate assessor qualifications: Confirm that the team or individuals responsible for conducting the risk assessment possess adequate experience and/or training in hazard identification, risk assessment, and control measures.
- Maintain H&S records: Ensure that all records generated from the risk assessment process, including H&S plans and monthly HSSE reports (if applicable), are properly documented, stored, and included within the project records for easy access and reference.
- Consult with H&S expert: Consult with the GLF Sustainability Officer whenever necessary to address any questions, concerns, or challenges related to the development of grant-related risk assessment documents and/or project-specific H&S plans. Seek his/her expertise and guidance in ensuring the adequacy of H&S measures.
- Monitor H&S performance: Regularly monitor the implementation of H&S plans and the overall H&S performance of grantees and project partners. Address any deficiencies or non-compliance promptly and effectively.
- Facilitate communication and collaboration: Foster open communication and collaboration between the project team, grantees, and the GLF Sustainability Officer on all H&S matters.
- Promote a safety-conscious culture: Encourage a proactive approach to H&S among grantees and project partners, emphasizing the importance of hazard identification, risk mitigation, and continuous improvement.

10.4 GRANTEES AND BENEFICIAL PROJECT PARTNERS

- Develop and implement project-specific H&S policies, plans, and procedures: These should align with Ecuadorian laws or the Special Regime of the Galápagos, as well as adhere to international best practices. Collaborate with the GLF Sustainability Officer during this process.
- Proactively manage hazards: Anticipate, identify, assess, and minimize any hazards associated with project operations. This includes providing consistent training and appropriate personal protective equipment (PPE) to all personnel.
- Create a safe working environment: Provide and maintain necessary facilities, equipment, and resources to ensure a safe and healthy working environment for all staff and project personnel.
- Report incidents and near-misses: Promptly report all H&S incidents, near-misses, and any concerns related to GLF-funded projects to the GLF Program Officer and cc the GLF Sustainability Officer.
- Ensure legal compliance: Maintain full compliance with all relevant H&S regulations and standards applicable to the project location and activities.
- Integrate H&S into project design: Collaborate with GLF program staff to proactively consider and integrate H&S factors into project design, planning, and implementation.
- Maintain H&S records: Keep comprehensive records of all H&S-related activities, including training, inspections, incident reports, and risk assessments.
- Regularly review and update H&S measures: Continuously monitor and evaluate the effectiveness of H&S measures and update them as needed to ensure ongoing safety and compliance.
- Conduct regular safety drills, establish emergency response procedures, and provide access to medical care and first aid.
- Foster a positive safety culture, where all personnel are encouraged to actively participate in maintaining a safe and healthy work environment.

10.5 SUBJECT MATTER EXPERT(S)

- Assist in the risk assessment and mitigation process as requested by the GLF Program Officer, Sustainability Officer, H&S Manager or representative.

11. REPORTING

The GLF is committed to maintaining a safe and healthy work environment for all employees, grantees, and project partners. In the unfortunate event of an occupational accident, disease, or incident, that involves GLF employees, grantees or project partners, it is crucial to have a clear and efficient reporting procedure in place.

Grantees and GLF are required to report on their Health, Safety, Social and Environmental (HSSE) performance on a regular basis and in addition, Grantees and GLF shall report on serious incidents promptly when they occur.

11.1 GRANTEE HSSE REPORTING

Grantees are required to collect data within which the HSSE performance can be measured and monitored. The performance data shall be reported to the GLF Sustainability Officer quarterly by the grantee's Project Manager.

The Quarterly HSSE Reporting Template is included in Annex C-1. The reporting template may be updated from time to time – grantees will be notified as necessary.

11.2 SERIOUS INCIDENT REPORTING

Grantees shall report on serious incidents. A serious incident is defined as any unplanned or uncontrolled event with a materially adverse effect on workers, community members or the environment within a project's Area of Influence or events that have the potential to have material or immaterial adverse effects on the project execution or give rise to potential liabilities or reputational risks.

Serious incidents can include, for example:

- Fatalities, serious injuries, incidents and accidents at work;
- Fatalities, serious injuries, incidents and accidents affecting local communities and others;
- Violations of human rights, including sexual and gender-based violence and harmful child labour;
- Conflicts, disputes and disturbances leading to loss of life, violence or the risk of violence; and
- Environmental impacts.

The information provided by the Grantee will be considered confidential and treated as proprietary information. For serious incidents:

- **NOTIFICATION.** Any serious incidents must be reported immediately after the incident occurred. Given the time it might take to prepare a full Serious Incident Reporting, the Grantee is required to provide an immediate email (**within 48 hours**) to the GLF Program Officer as an initial notification while the complete report is being prepared. This includes:
 - **Accidents:** Any unplanned event that results in injury, illness, or property damage.
 - **Diseases:** Any illness or health condition that is directly related to work activities or the work environment.
 - **Incidents:** Any near-miss event or situation that had the potential to cause harm, even if no actual harm occurred.

The GLF Program Officer will notify the relevant discipline lead within GLF depending on the nature of the incident/ accident such as the Sustainability Officer for all HSSE matters. Note in the case of Medical Treatments, Grantees shall seek appropriate medical attention if necessary and ensuring that medical records are provided to the Sustainability Officer.

- **REPORTING.** A complete report shall be submitted to GLF **no later than 7 working days** after the initial notifications. The Serious Incident Reporting Template shall be used (see Annex C-2).

Following the reporting of an incident, a thorough investigation will be conducted to determine the root cause and identify any corrective actions needed to prevent similar incidents in the future. This may involve:

- **Gathering Information:** Interviewing witnesses, reviewing incident reports, and examining the work environment.
- **Analyzing Data:** Identifying contributing factors and underlying causes.
- **Implementing Corrective Actions:** Developing and implementing measures to eliminate or control hazards, improve safety procedures, and provide additional training if necessary.
- This shall be documented in the Serious Incident Reporting Template (see Annex C-2). In case investigations are still ongoing after 7 business days, the report shall be completed with the then available information.
- The Grantee should keep GLF informed about **any progress** with respect to remedial actions as well as any open issues/ conflicts with regard to the incident that would require further clarification (e.g. complaints/ grievances) **through regular updates**.
- **Record Keeping:** All incident reports and investigation findings will be documented and maintained in accordance with GLF's record-keeping policies by GLF's Sustainability Officer. These records will be used to track trends, identify areas for improvement, and demonstrate GLF's commitment to health and safety.

11.3 GLF REPORTABLE INCIDENTS

Reportable incidents are defined as incidents that must be reported by to its DFC, OFC and CFM and this comprises serious incidents and High Potential Incidents (HPIs) which are defined as some incidents and near misses may occur that under different, plausible circumstances the most serious credible outcome could have been a serious incident¹.

This will include reportable incidents of grantees, subgrantees and other project partners. GLF shall report reportable incidents to DFC, OFC and CFM as per the table below.

¹ In making the determination as to whether an incident is reportable, the circumstance with respect to the incident/accident should reasonably be expected to have a material adverse effect or a material adverse impact on the implementation or operation of GLF or Grantees Project. These could include for example any Environmental and/or Social Claim, accidents, loss of life, material breach of law, or material effect on the social or natural environment.

Table 1: GLFs Reportable Accidents and Incidents

Report	Requirement
Initial Notification	As soon as reasonably practicable and in any event within three (3) business days after becoming aware of the occurrence, GLF shall notify DFC, OFC and CFM in writing of a Reportable Incident.
Serious Incident Report	As soon as reasonably practicable thereafter, but ultimately within thirty (30) days of the first notification report to DFC, OFC and CFM, GLF shall provide a detailed report describing the nature of the Reportable Incident, the circumstances, the impact or effect arising or likely to arise there from, and the measures being taken, or planned to be taken, to address them and prevent any future similar event. This report may also be referred to as Serious Incident Report.
Incident Progress Report	In severe cases, GLF will keep DFC, OFC and CFM informed on a quarterly basis of the on-going implementation of the measures as defined in the Serious Incident Report.

11.4 GLF QUARTERLY HSSE REPORTING AND ANNUAL H&S REPORTING

GLF will collate HSSE data from grantees, subgrantees and other partners and GLFs own operations and make this available to DFC, OFC and CFM on a **quarterly basis**. This will be managed by the Sustainability Officer.

The information in the table below will be reported on in **GLFs Annual E&S Monitoring Report** will be disclosed publicly on the GLF website.

Table 5: Health and Safety Performance

Category	GLF	Grantees
Health and Safety Incidents		
Fatalities		
Lost time incidents		
HPI (High Potential Incident)		
Reportable (significant) Spills		
Near Miss		

12. EMERGENCY PREVENTION, PREPAREDNESS, AND RESPONSE (EPPR)

GLF recognizes the importance of being prepared for emergencies and having effective response plans in place for its activities and operations. GLF will implement the following measures to ensure the safety of all personnel in the event of an emergency:

- **Emergency Planning:** Develop and maintain comprehensive emergency plans that address a range of potential emergencies, including natural disasters, fires, medical emergencies, and security threats.
- **Training and Drills:** Conduct regular training and drills to ensure that all personnel are familiar with emergency procedures and can respond effectively in a crisis.
- **Communication:** Establish clear communication protocols for emergencies, including designated emergency contacts, communication channels, and procedures for notifying relevant authorities.
- **Equipment and Supplies:** Maintain adequate emergency equipment and supplies, such as first aid kits, fire extinguishers, and emergency communication devices.
- **Evacuation Procedures:** Develop and practice evacuation procedures for all work locations, ensuring that all personnel know how to safely exit the premises in an emergency.
- **Post-Emergency Review:** Conduct a thorough review after any emergency to evaluate the effectiveness of the response, identify areas for improvement, and update emergency plans as needed.

GLF's procedure and plans will be detailed in the Emergency Prevention, Preparedness, and Response (EPPR) Protocol. The EPPR statement/policy is included in this document to ensure alignment and integration of emergency prevention, preparedness, and response considerations within the broader Health and Safety Risk Management Procedure. While GLF will develop a comprehensive EPPR Protocol applicable to its own operations, this statement serves as an interim guideline. The forthcoming EPPR procedure and plan will provide detailed information on GLF's approach to emergency prevention, preparedness, and response, including specific roles, responsibilities, and protocols. This procedure will be finalized and adopted by GLF.

13. APPLICABLE REGULATIONS, STANDARDS AND GUIDELINES

- The World Bank Group's Environmental, Health and Safety (EHS) Guidelines, including
- General EHS Guidelines and Industry Specific Guidelines, as applicable (World Bank 2007).
- ILO – Occupational Safety, Health and the Environment (SafeWork) Access point to all the ILO activities, information and standards on OSH: <http://www.ilo.org/safework>
- ILO – International Labour Standards Access to full texts of ILO Conventions and Recommendations and related databases: <http://www.ilo.org/public/english/standards/norm/index.htm>
- World Health Organization (WHO) Access point to information on many aspects of occupational health, OSH and chemical safety: <http://www.who.int>

ANNEX A: H&S RISK EVALUATION PROTOCOL AND MATRIX

ANNEX B: GALÁPAGOS FIELD TRIP HAZARD IDENTIFICATION AND RISK ASSESSMENT TEMPLATE

ANNEX C: H&S REPORTING TEMPLATES

C-1: QUARTERLY HSSE REPORTING TEMPLATE

Below is the Quarterly HSSE Reporting Template.



GLF Quarterly HSSE
Report Template_Dec

C-2: SERIOUS INCIDENT REPORTING

The table below provides a template for Serious Incident Reporting.

Table 4: Serious Incident Reporting Form

	ITEM	INFORMATION	
	GRANTEE		
	CONTACT DETAILS		
	DATE		
	TIME		
	INCIDENT LOCATION		
	PERSON NAME <i>Person involved in the incident</i>		
	PERSON AGE		
	PERSON SEX		
	PERSON ID		
	PERSON ROLE		
	SENIORITY		
	INCIDENT TYPE	Accident <input type="checkbox"/>	Incident <input type="checkbox"/>
		H&S of Workers <input type="checkbox"/> Community H&S <input type="checkbox"/> Social Cohesion <input type="checkbox"/> Human Rights <input type="checkbox"/> Reputational Risk <input type="checkbox"/>	Indigenous Peoples Rights <input type="checkbox"/> Gender-based violence <input type="checkbox"/> Environmental <input type="checkbox"/> Legal Compliance <input type="checkbox"/>
	DESCRIPTION of the incident / accident		
	SITE CONDITIONS <i>Description of the unsafe conditions present</i>		
	HEALTH EFFECT <i>Description of the health effects of the incident / accident</i>		
	BODY PARTS AFFECTED <i>List of the body parts affected</i>		
	IMMEDIATE CAUSE <i>Direct cause of the incident / accident - Object, equipment, substance or circumstance that caused the incident.</i>		
	ROOT CAUSE ANALYSIS <i>Analysis of the ultimate source of the incident / accident</i>		

	ITEM	INFORMATION	
	WITNESS 1 NAME		Position:
	WITNESS 2 NAME		Position:
	INVESTIGATION DATE:		
	PERSON RESPONSIBLE		Position:
	CONCLUSIONS <i>Present the main conclusions of the investigation. Add an additional sheet if needed.</i>		
	PREVENTIVE / CORRECTIVE MEASURES IDENTIFIED <i>Present preventive or corrective actions.</i>		
	KEY FOLLOW UP POINTS <i>Schedule to check/verify the implementation of corrective and preventive actions. Include dates.</i>		
	LESSONS LEARNT		
		Name, Position and Signature	Date
	PREPARED BY		
	REVIEWED BY		
	APPROVED BY (GLF)		