

Annex [#]. Social and Environmental Screening Template

The completed template, which constitutes the Social and Environmental Screening Report, must be included as an annex to the Project Document. Please refer to the Social and Environmental Screening Procedure for guidance on how to answer the 6 questions.]

Project Information

Project Information	
1. Project Title	Sustainable Development of the Ecuadorian Amazon: Integrated management of multi-use landscapes and high conservation value forest
2. Project Number	PIMS 5606
3. Location (Global/Region/Country)	Ecuador

Part A. Integrating Overarching Principles to Strengthen Social and Environmental Sustainability

QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?

Briefly describe in the space below how the Project mainstreams the human-rights based approach

The project upholds the generic concept of centrality of human rights to sustainable development, poverty alleviation and ensuring fair distribution of development opportunities and benefits. The project actively seeks to address sustainable development in the Amazon - one of Ecuador's poorest areas. A central aspect of the project is to support communities in strengthening the governance and zoning of their lands to optimize alternative livelihoods and guard against the expansion of production practices that may undermine ecosystem health and the loss of goods and services. Protecting these ecosystem services and goods in turn will maintain current and future development options of community and indigenous peoples. In doing so the project is committed to supporting "universal respect for, and observance of, human rights and fundamental freedoms for all." Specifically it will uphold the following principles as described below:

Participation and inclusion: At the local and region, the project will engage multiple and diverse governmental institutions, organizations and stakeholder groups. Their current and expected roles are summarized in Tables 5, 6 and 7 on project partners and Table 8 on stakeholder engagement of the Project Document. Amongst these are several indigenous groups mainly from the Kichwa, Achuar and Shuar nationalities¹ in living in the project's target landscapes where several on the ground interventions will be undertaken. The project recognizes that these nationalities are responsible for the management of their lands

¹ Indigenous peoples represent 33% of the Population in the Amazon (245,014 people). These are distributed in 10 of the 17 indigenous nationalities found in Ecuador: Achuar, Waorani, Kichwa, Secoyai (Secoya), A'i Cofan, Shiwar, Shuar, Zápara, Andwa and Sion. The various indigenous nationalities of the CTEA are organized into federations and one regional organization, the Confederation of Indigenous Nationalities of the Ecuadorian Amazon (CONFENIAE)

and territories. It will provide support to these nationalities in specific indigenous territories for strengthening their governance systems including the conservation of forest areas they deem to be sacred; developing alternative production such as non-timber forest products, etc. Specific approaches will be adopted to ensure that project activities are detailed together with indigenous groups and fully respect their Cosmo vision. On the ground activity will be undertaken in indigenous lands that form part of the Socio Bosque program (PSB) and in protective forests where indigenous communities live. Under the PSB in-field information campaigns, and information dissemination assemblies with interested communities are undertaken. These communities are required to meet and approve in general assembly with majority participation their decision to participate, or not, in the program. In the case of protective forests, local parish councils have participated in PPG consultation processes. Furthermore, additional consultations will be undertaken in protective forests during project implementation to ensure communities are adequately informed and engaged in the project interventions.

The project will maintain international law regarding indigenous peoples. Ecuador has signed and ratified the United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP). In terms of national legislation under the Ecuadorian Constitution, prior, free and informed consent is only required in three cases:

- Plans and programs for prospection, exploitation and commercialization of non-renewal resources located on their lands, which may affect them environmentally or culturally (Article 57.7)
- Pre-legislative consultation, prior to the adoption of a legislative measure with potential to affect any of their collective rights (Article 57.17)
- Environmental consultation: any decision or authorization by the State which may affect the environment must be subjected to consultation with local communities, which must be informed in an ample and opportune manner (Article 398).

Furthermore the Constitution recognizes Ecuador as an inter-cultural and plurinational State and gives special attention to environmental themes related to inter-cultural issues. Art.57 of the Constitution indicates the rights of indigenous, afro-ecuadorian and montubian peoples to conserve and promote their biodiversity and environment management practices. The National Agenda for Equality of Nationalities and Peoples (2013-2017) seeks to ensure mainstreaming of the inter-cultural perspective through, among other, promoting the protection of nature, lands and traditional territories to guarantee the protection of the environment and the cultural identity of peoples and nationalities, promoting and respecting the rights to community and sustainable management of water, lands and territories in accordance to Cosmo visions, cultural and historical practices.

As the project seeks to protect the environment and ecosystem services in areas of high value for conservation it is expected that on the ground interventions will be positive and will not correspond to these three cases and under Ecuadorian law do not require such consent; nevertheless, since a majority of the CTEA is inhabited or owned by indigenous peoples and nationalities, their free, prior and informed consent and full and effective participation is important. As noted above a precedent for projects of similar nature with Amazonian communities has been set by the Socio Bosque Program as indicated above and upon which the project will build.

Consultations were undertaken during the project development phase (PPG) to ensure that local communities are adequately informed of the proposed initiatives, and for their full and effective participation, as appropriate, in their formulation, planning and implementation. This consisted in a series of consultation workshops in the three main regions in the Ecuadorian Amazon (North, Center and South); meetings with different stakeholder groups including one specifically for NGOs; and bilateral interviews with projects, donor agencies and public institutions. Over 300 people have been interviewed or participated in the workshops. In addition, a further three validation workshops were undertaken with representatives of different stakeholder groups to finalize the logical framework matrix in Quito and two covering the three Amazon regions.

<p>Furthermore all project activities are in line with national environmental regulations relevant to PAs and natural resource management. However, active participation in project activities will be voluntary and provisions have been made to increase understanding and buy-in as this is crucial to increase the feasibility, effectiveness and social sustainability of the actions proposed. Selection of the target landscapes for on the ground interventions took into account as a selection criteria the parishes with greater indigenous population.</p> <p>The <u>principal of accountability and rule of law</u> will also be upheld by following all standard UNDP policies on monitoring, evaluation, audits, and transparency in project implementation. The legal context of the project is defined by the CPAP signed by the Government and UNDP and which includes reference to "ensure the inclusion of sustainable development approach... promotion of sustainable livelihoods, conservation equitable and sustainable use of biodiversity and ecosystems..." . All CPAP provisions apply to this document.</p> <p>The project will <u>also uphold equality and non-discrimination</u>. In designing and carrying out project activities, the project will not discriminate on the grounds of race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. UNDP will ensure the meaningful, effective and informed participation of stakeholders in the formulation of the project, and will continue to do so in implementation, monitoring and evaluation.</p>	<p><i>Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment</i></p> <p>The project covers a geographic region with a population of 739,814, of which women constitute 48%. Gender and multiculturalism constitute an integral part of the intervention strategy of the project and a gender and inter-cultural mainstreaming strategy has been developed. In the traditional indigenous Amazonian agricultural chakra production system, women are the primary actors, spending much of their labor ensuring production for both subsistence use and increasingly for sale on the market. This is a key justification for incorporating a robust gender equality approach that will lead to women's empowerment.</p> <p>In terms of the UNDP Gender Marker, the project has been rated GEN2 on the basis of the gender analysis undertaken including how the project will achieve its environmental objective considering the differences in the roles and needs of women and men. The project mainstreams gender and inter-cultural issues throughout its entire cycle, based on the premise that besides ensuring participation of women (and their organizations) in the spaces generated by the project, it will contribute to their effective empowerment as social actors. The project recognizes the ethno-cultural characteristics of the relevant groups (e.g. settlers, Kichwa, Achuar and Shuar indigenous peoples), the role of the family in production and income generation, the socio-economic differences between men and women, and the differences between the environment-related knowledge in each case.</p> <p>The project will thus contribute at addressing the inequalities that currently exist between men and women with regard to public decision-making, their access to natural resources and their vulnerability to environmental degradation. Women's involvement is likely to be high as they are more receptive to new concepts and more willing to shift to ecosystem-friendly practices, provided that they generate enough income for a household. This project will, therefore, place particular emphasis on ensuring that women are well represented in project implementation and that the impact of project activities on women will be considered. Specific actions include:</p> <ul style="list-style-type: none"> • Mainstreaming of a gender and inter-cultural approaches in the Land Use and Development Plans; • Training programs for MAE, MAGAP, GADS and other key public entities will include a gender approach awareness raising module that includes empowerment of family groups and organizations to raise awareness on the division of roles and a more equitable distribution of work loads between men and women and show how women, especially indigenous women, use their time;
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- Fostering participation of women and indigenous peoples in dialogue platforms;
 - Making use of methodologies that disaggregate data by sex, age, ethnicity to assess population statistics, family income, number of women and youths, population characteristics, number of male and female heads of households, roles of family members in productive systems, and roles of indigenous families located in critical areas for conservation;
 - Identifying specific opportunities for business opportunities and market access;
 - Developing a competitive grants mechanism to support startups for income generation through sustainable use of biodiversity products;
 - Best practices guidelines and training and technical assistance programs based on a gender and inter-cultural approach;
 - Fostering equal participation of women and indigenous peoples in trainings, meetings and technical assistance;
 - Promoting participation of men and women in technical assistance teams, preferably mixed teams to create and enabling environment for gender and inter-cultural mainstreaming;
 - Training and technical assistance will take into account the work schedules of producers and their families for minimum interference with the daily chores of men and women in order to ensure their participation in the activities organized by the project. Given that indigenous women are in charge of traditional *ajías* and *chakras* an important aspect to be taken into account is that training and technical assistance in these cases be delivered by female technicians and local promoters, respecting their cosmovision and traditional knowledge, fostering dialogue and learning by doing;
 - SFM and NTFP management plans will include specific activities targeting women (e.g. training, specific business opportunities and value adding initiatives);
 - Promoting equal participation of men and women in NTFP business opportunities;
 - Promoting access of women to incentives and credit lines for sustainable production, value adding and alternative livelihoods (aquaculture, apiculture, sustainable tourism);
 - Promoting exchange visits for groups of women to successful experiences.
- Project M&E will take into account collecting and monitoring sex-disaggregated data related to governance, participation, access to credits and incentives, and sustainable production as well as participatory methodologies. Furthermore, the MTE and TE will provide an overview of the processes developed to extract lessons and best practices from the interventions targeting women and youths, especially indigenous peoples.

Briefly describe in the space below how the Project mainstreams environmental sustainability

The project recognizes that sustainable management, protection, conservation, maintenance and rehabilitation of natural habitats and their associated biodiversity and ecosystem functions are fundamental to UNDP's efforts to develop and implement sustainable development pathways. The Government of Ecuador has requested UNDP and GEF incremental assistance to build a governance system and capacities to guide land use in the Amazon to reduce deforestation and land degradation and protect forest with high conservation value, and in this way optimizing the sustainable use of forest ecosystem services and goods. The project thus focuses on sustainable forest and land management in critical, productive, forested landscapes found in the Amazon region of Ecuador. Support is needed to change existing patterns of land use by strengthening multilevel decision making; agricultural financial mechanisms and forest incentives in the current land-use planning system, which are the basic financial and administrative drivers of land use, thus addressing forest conservation in the long term.

The project will build upon existing programs, including, amongst others, the Amazonian Productive Transformation Agenda (ATPA), the National REDD+ Programme, the National Socio Bosque Incentives Program, Sustainable Livestock Program and Coffee and Cocoa Reactivation Program, and other national

level reforestation and biodiversity conservation efforts (Tables 5, 6 and 7 of the Project Document on project partnerships provides information on partners' baseline initiatives that contribute to project results), facilitating integrated land use planning, with the emphasis being on decentralization and bottom-up planning. This includes strengthening multi-level governance and capacities for sustainable forest management, improving coordination between national, provincial and local stakeholders.

A comparison of the baseline scenario with the GEF Alternative scenario and associated global environmental benefits are presented in the table below.

Baseline practices	Alternatives to be put in place by the project	Environmental benefits
Deforestation and degradation of forests due to land use change (expansion of agricultural frontier, illegal extraction of timber, oil drilling, mining, road construction and settlements)	<ul style="list-style-type: none"> • Inter-institutional and inter-sectoral coordination mechanisms • Mainstreaming of landscape approach in planning and land use planning • Territorial Articulation Platform for multi-level governance for management of MUL • Capacity development of national and territorial stakeholders 	<p>Biodiversity, Land degradation, SFM:</p> <p>Reduced pressures on 1.859.600 ha of MUL and HVCF (direct effect of the Project)</p> <p>Additional hectares through replication (indirect effect) 3.328.813 ha</p> <p>Biodiversity:</p> <ul style="list-style-type: none"> • Conservation of globally significant and threatened species • Conservation of species with social, cultural and economic value • Forests conserved in productive farms through conservation agreements (33,571 ha) <p>Land degradation:</p> <ul style="list-style-type: none"> • Sound environmental practices in 44,230 has of farms producing coffee, cocoa, oil palm and livestock • Adoption of agrosilvopastoral systems in areas occupied by pastures (74,320 ha) • Increase in areas incorporating live fences with native tree species • Reduction of land degradation in areas under restoration (18,660 ha) • Increase in family incomes from sustainable agriculture and forest products <p>SFM:</p> <ul style="list-style-type: none"> • Sustainable SFM and NTFP management in 162,653 has. • Conservation of 439,369 hectares of HVCF in community and indigenous peoples' lands through incentives • Carbon stocks/avoided emissions: 257,566.69 tCO_{2e} (In Morona y Zamora over 6 years); 8,726,514.50 tCO_{2e} (In CTEA over 20 years)
Unsustainable agricultural and forestry practices	<ul style="list-style-type: none"> • Sustainable forest and land management practices in MUL: i) farm planning, ii) soil and pasture management; iii) integrated pest management; iv) traditional chakra, agroforestry, silvo-pastoral systems, v) organic fertilizers • Conservation and restoration agreements with landowners and communities (Socio-Bosque) • Regional Platforms for Sustainable Supply Chains of coffee, cocoa, oil palm and livestock for dialogue and consensus, and connecting producers with buyers of sustainable products • Credit lines in support of sustainable production practices and financial instruments for market access that contribute to sustainable production and livelihoods • Capacity development of extension services for upscaling of best practices 	
Limitations in access and benefit sharing of biodiversity related incomes	<ul style="list-style-type: none"> • Agreements with GADs, landowners and communities for optimized use of incentives for conservation, restoration and production in farms and community lands 	

Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “Yes” responses).</i> Risk Description	QUESTION 3: What is the level of significance of the potential social and environmental risks? <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i> Impact and Probability (1-5)	Significance (Low, Moderate, High)	Comments	QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)? Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.
<p>Risk 1 The project activities will take place within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas and indigenous people's lands (1.2). It will support land use planning in these areas (1.2); harvesting of natural forest and reforestation (1.6) and possibly use of genetic resources (1.9) and unless this takes into account sustainable practices and harvesting limits this may adversely affect conservation values of these areas</p>	<p>I = 2 P = 2</p>	<p>Low</p>		<p>The focus of the project is precisely on maintaining areas of high conservation value forest and project components are designed specifically to avoid adverse impacts on conservation values. By securing sustainable local livelihoods, the project seeks to maintain and enhance biodiversity and ecosystem services. In practice this is reflected by integrating sustainability and biodiversity into a multi-level landscape planning and production approach. Land use planning, governance and management that harmonize national, provincial and local priorities will guide land use to those activities and practices that do not harm ecosystem goods and services. UNDP's and Ecuador's commitment to the CBD objectives contributes to the sustainable use of biodiversity and the equitable sharing of its benefits. Additionally, the project will uphold the definition of sustainable extraction levels of a living natural resource ensuring sustainable management that enables people and communities, including indigenous peoples, to provide for their social, economic, and cultural well-being while also sustaining the potential for those resources to meet the needs of future generations. To comply with this, PPG definition will include experts with skills to determine which actions are needed to be included in the main project to define extraction limits and parameters to help guide activities in field. For example, a critical indicator will be the healthy ecological functioning of ecosystems at the landscape level. Additionally, to avoid land degradation from productive activities, criteria on soil quality to maintain ecosystem services will be incorporated</p>

<p>Risk 2 The project aims to bring together stakeholders with differing levels of resources and power through a multi-level governance framework for land use planning and management in the amazon and implement this in specific areas. There is a high percentage of indigenous populations with important cultural heritage in the project area. Consequently, unless specific measures are put in place for full and effective participation of indigenous groups there is a possibility that the project may lead to adverse impacts on human rights, in terms of indigenous lands, natural resources, territories, values or intangible forms of culture and traditional livelihoods.</p>	<p>I = 3 P = 2</p>	<p>Moderate</p>	<p>At a minimum, the project incorporates the prior consultation and consent standards and practices already in place for Socio Bosque Program, which is comprised of information campaigns and informative assemblies, and requires community assembly approval of project implementation. Furthermore, it is understood that the Ecuador REDD+ program is establishing even more robust standards for community consultation and consent, and for which a decree will be established and which the project will likely adopt. Importantly, the project focuses on activities to promote greater control and management by indigenous peoples over developments affecting them, including their lands, resources and territories, including: strengthening community land-use planning, incorporating local stakeholders into multi-sectorial dialogues, as well as strengthening social control and local knowledge systems. During the PPG phase a Specialist on Inter-cultural Issues supported mainstreaming the theme in project design, including the identification and implementation of the most effective mechanisms to ensure full, effective and meaningful local and indigenous participation and avoid negative human rights impacts.</p> <p>Special attention will be paid by the project to recognizing and guaranteeing the collective territorial and land use rights and practices, upheld by the Ecuadorian constitution. Additionally, by ensuring equal participation, the incorporation of local knowledge, and access and contribution of women and men in protecting and sharing the benefits of Cultural Heritage, the project will ensure that Cultural Heritage is protected in the course of development activities, and ensure the equitable sharing of benefits from the use of Cultural Heritage</p>
<p>Risk 3: The project is seeking to bring about planning, regulation and enforcement in areas where to a large extent economic activity such as farming, harvesting and grazing has expanded with little control. If it is successful in bringing about the desired changes and the expansion of economic activity is more planned and techniques change to become more sustainable, this could have an opportunity cost to small-scale producers</p> <p>[add additional rows as needed]</p>	<p>I = 2 P = 2</p>	<p>Low</p>	<p>The project strategy has been designed for compensating any potential opportunity cost as it aims to use incentive payments in the short term, increased income from new access to markets for certified produce in the medium term, and increase income from enhanced agricultural productivity in the long term although use of these approaches also varies geographically.</p>

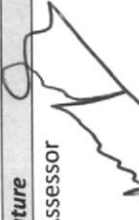


QUESTION 4: What is the overall Project risk categorization?		
Select one (see <u>SESP</u> for guidance)		Comments
<div>Low Risk</div> <input type="checkbox"/>		
<div>Moderate Risk</div> <input checked="" type="checkbox"/>		<p>Given that the project has an explicit focus on biodiversity conservation through best practice landscape management, risk towards adversely affecting conservation values is limited. However because of the work with communities and indigenous peoples in areas of critical habitats and given the external factors prevalent in the Amazon, such as increasing road infrastructure, this has been rated as moderate risk and measures are needed to ensure risks are kept to a minimum. The design of the project takes into account these measures. And these will be monitored during project implementation. Furthermore, a commitment to active and effective participation by local stakeholders and indigenous communities through effective multi-level landscape governance limits the potential for human rights abuses and negative impacts on marginalized communities. The government of Ecuador and UNDP have a history of collaboration in the areas of conservation and sustainable development, and the project is in firmly in line with constitutional and national development objectives that mitigate the risks identified, establishing a strong platform for cooperation and limited risk.</p>
<div>High Risk</div> <input type="checkbox"/>		
QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?		
Check all that apply		Comments
<div>Principle 1: Human Rights</div> <input checked="" type="checkbox"/>		<ul style="list-style-type: none"> With the support to land use planning there may be restriction on potential production activities that may incur opportunity costs. These restrictions will be negotiated during land use planning with different level of government; communities and in the case of Life Plans with indigenous peoples. Additionally as noted above the project design includes elements to compensate potential opportunity cost as it aims to use incentive payments in the short term, increased income from new access to markets for certified produce in the medium

		<p>term, and increase income from enhanced agricultural productivity in the long term although use of these approaches also varies geographically.</p> <ul style="list-style-type: none"> • There will also be mechanisms in place to deal with community grievances. • There will be multi-level round tables for dialogue and consensus and for stakeholders including small producers. • Stakeholder engagement processes have been undertaken during the PPG and all consultation mechanisms to be undertaken in the full size project will be discussed and agreed upon. • Strengthening of local capacities will contribute to guarantee the right to participation in development of LUDPs. 	
Principle 2: Gender Equality and Women's Empowerment	<input checked="" type="checkbox"/>	<p>The project has developed a gender mainstreaming strategy based upon consultations with UN Women – Ecuador and recommendations by the Inter-cultural Specialist. Elements of the gender strategy include, among others:</p> <ul style="list-style-type: none"> • Alignment with the constitutional and regulatory framework in regards to gender equality; • Gender related indicators and data to be collected as part of the project's M&E (e.g. budget for gender related activities; number of female technicians; number of trained women; number of women receiving technical assistance; perceptions; training assessment surveys; Closing the GAP methodology) • Encouraging participation of women in training activities; incorporating women as extension agents; participation in Citizen Assemblies and Planning Councils 	
1. Biodiversity Conservation and Natural Resource Management	<input checked="" type="checkbox"/>	<p>The project focuses on sustainable forest and land management in critical, production forested landscapes in the Amazon many of which are critical habitats. The design has been precisely to safeguard those habitats with high conservation values and set up a system whereby land use planning and management provide the framework to ensure production activities do not produce negative impacts on these high value forests.</p> <p>Three target landscapes have been selected for on the ground interventions based on the following criteria: i) level of threats to natural resources and biodiversity; ii) level of dependence of the population on biological and/or forest</p>	

		<p>resources; iii) level of poverty; iv) structure of local institutions; v) existing participatory processes; vi) level of incorporation at local level of environmental, sustainable production, climate change and poverty issues; vii) level of knowledge and motivation for integrated management of MULs and HCVFs; viii) ongoing and planned activities; ix) high presence of indigenous communities, women and youth groups.</p> <p>These landscapes characterize the existing and emerging challenges in each sub-region but that are replicable to the entire CTEA. The project will focus efforts on areas in the landscape where threats to HCVFs and critical connecting forests are most acute, focusing on forest clearance, forest degradation and other unsustainable practices. In doing so, the project will reduce deforestation and enhance restoration of natural habitats and biodiversity conservation. This will help secure the flow of ecosystem services from productive landscapes and natural habitats. Interventions will be based on management plans (e.g. for protective forests, for SFM, for NTFPs, for community lands and individual farms) and sound environmental practices.</p>	
	2. Climate Change Mitigation and Adaptation	<input type="checkbox"/>	
	3. Community Health, Safety and Working Conditions	<input type="checkbox"/>	
	4. Cultural Heritage	<input checked="" type="checkbox"/>	Proposed activities will respect sustainable productive activities that take into account the culture of the local indigenous nationalities. The project will promote recognition of these traditional productive practices and knowledge, as well as sacred sites within land use plans. Land use plans will mainstream gender and inter-cultural approaches. Training activities will take into account respect for local traditional knowledge.
	5. Displacement and Resettlement	<input type="checkbox"/>	
	6. Indigenous Peoples	<input checked="" type="checkbox"/>	At a minimum, the project incorporates the prior consultation and consent standards and practices already in place for Socio Bosque Program, which is comprised of information campaigns and informative assemblies, and requires community assembly approval of project implementation. Project design takes into account participatory processes for planning, implementation and monitoring of activities to ensure full, effective and meaningful local and indigenous participation and avoid negative human rights impacts; as

			well as ensuring that all UNDP standards are well addressed. Special attention will be paid by the project to recognizing and guaranteeing the collective territorial and land use rights and practices, upheld by the Ecuadorian constitution. Traditional knowledge will be taken into account in development of project interventions (e.g. NTFP management, practices in traditional <i>ajías</i> and <i>chakras</i>).
		7. Pollution Prevention and Resource Efficiency	<input type="checkbox"/>

Final Sign Off

Signature	Date	Description
 QA Assessor Gabriel Jaramillo Programme Specialist Environment and Energy Unit UNDP		UNDP staff member responsible for the Project, typically a UNDP Programme Officer. Final signature confirms they have "checked" to ensure that the SESP is adequately conducted.
 QA Approver Diego Zorrilla Resident Representative UNDP		UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have "cleared" the SESP prior to submittal to the PAC.
 PAC Chair Diego Zorrilla Resident Representative UNDP		UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.

SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks		Answer (Yes/No)
Principles 1: Human Rights		
1.	Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	Y
2.	Is there likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? ²	Y
3.	Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	N
4.	Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	N
5.	Are there measures or mechanisms in place to respond to local community grievances?	N
6.	Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	Y
7.	Is there a risk that rights-holders do not have the capacity to claim their rights?	Y
8.	Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	N
9.	Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	N
Principle 2: Gender Equality and Women's Empowerment		
1.	Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	N
2.	Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	N
3.	Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?	Y
3.	Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? <i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</i>	N
Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below		
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management		

² Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

1.1	Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	N
1.2	Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	Y
1.3	Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	N
1.4	Would Project activities pose risks to endangered species?	N
1.5	Would the Project pose a risk of introducing invasive alien species?	N
1.6	Does the Project involve harvesting of natural forests, plantation development, or reforestation?	Y
1.7	Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	N
1.8	Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	N
1.9	Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	N
1.10	Would the Project generate potential adverse transboundary or global environmental concerns?	N
1.11	Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i>	N
Standard 2: Climate Change Mitigation and Adaptation		
2.1	Will the proposed Project result in significant ³ greenhouse gas emissions or may exacerbate climate change?	N
2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	N
2.3	Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)? <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	N
Standard 3: Community Health, Safety and Working Conditions		
3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	N

³ In regards to CO₂, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

3.2	Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	N
3.3	Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	N
3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	N
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	N
3.6	Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	N
3.7	Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	N
3.8	Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?	N
3.9	Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	N
Standard 4: Cultural Heritage		
4.1	Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	Y
4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	N
Standard 5: Displacement and Resettlement		
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	N
5.2	Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	N
5.3	Is there a risk that the Project would lead to forced evictions? ⁴	N
5.4	Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	N
Standard 6: Indigenous Peoples		
6.1	Are indigenous peoples present in the Project area (including Project area of influence)?	Y
6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	Y
6.3	Would the proposed Project potentially affect the rights, lands and territories of indigenous peoples (regardless of whether Indigenous Peoples possess the legal titles to such areas)?	Y

⁴ Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

6.4	Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	Y
6.4	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	Y
6.5	Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	N
6.6	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	N
6.7	Would the Project potentially affect the traditional livelihoods, physical and cultural survival of indigenous peoples?	N
6.8	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	Y
Standard 7: Pollution Prevention and Resource Efficiency		
7.1	Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	N
7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	N
7.3	Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs? <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i>	N
7.4	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	N
7.5	Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	N