

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 and Toolkit for guidance on how to answer the 6 questions.

Project Information

Project Information	
1. Project Title	Sustainable management of forest ecosystems in Amazonia by indigenous and local communities to generate multiple environmental and social benefits
2. Project Number	PIMS 4743
3. Location (Global/Region/Country)	Bolivia

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 will support indigenous communities in the sustainable management of the natural resources in their territories (TIOCs), thereby contributing to their income levels, livelihood sustainability, and social and cultural coherence. Extensive consultations have been carried out throughout the design phase with all of the target indigenous groups, including the representatives of the TIOC organizations and the central indigenous organizations CIRABO and CIPOAP, in accordance with agreements signed between the project and the TIOCs, culminating in validation workshops at national and regional levels on 28th and 31st August following which representatives of the target TIOCs signed letters of accord confirming their approval of the project.

Briefly describe in the space below: how the Project is likely to improve gender equality and women's empowerment

The project will take steps to maximize the benefits of forest-based initiatives for women and to safeguard against the risk of generating unintended negative impacts, thereby contributing to their economic and social empowerment. The project will preferentially support productive activities with potential to generate particular benefits for women, as defined by the women's groups themselves. Again subject to consultation with women, preference will be given to marketing through women's groups, in order to reduce the risk of revenues being captured and controlled by male members of the family as may happen when sales are family-based. Each productive option will be analyzed with the participation of the target women in order to identify and guard against the risk of unintended negative consequences such as competition with other activities of social or economic importance to women; in general, forest fruit tend to be produced during times of the year when there are few other such activities.

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

The target forests will be managed for the sustainable extraction of non-timber forest products and to a lesser extent timber. This will be carried out in accordance with the provisions of Plans for the Integrated Management of Forests and Lands (PGIBT), which are subject to approval by the Forest and Lands Authority and make provision for resource sustainability. The project will not promote increases in current overall levels of extraction (the forests have been subject to extractive management for Brazil nuts and before that rubber, by the target communities, for many decades), but rather will strengthen capacities and governance structures in order to ensure that such extraction is carried out sustainably and optimizes benefits for local communities. The project will increase levels of extraction of some products (such as asai and palma real) in order to help diversify the income and livelihood bases of local communities, but sustainable levels of extraction be defined by prior studies in which local communities will be involved, and corresponding governance structures will be established or strengthened in order to ensure that these are respected.

Part B. Identifying and Managing Social and Environmental Risks

<p>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). If no risks have been identified in Attachment 1 then note “No Risks Identified” and skip to Question 4 and Select “Low Risk.” Questions 5 and 6 not required for Low Risk Projects.</i></p>	<p>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></p>	<p>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)?</p>		
<p>Risk Description</p>	<p>Impact and Probability (1-5)</p>	<p>Significance (Low, Moderate, High)</p>	<p>Comments</p>	<p>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>
<p>Risk 1: 1.6: Possible impacts on biodiversity and ecological functions due to harvesting in natural forests</p>	<p>I = 1 P = 1</p>	<p>Low</p>	<p>The project will promote the sustainable extraction of non-timber forest products and to a lesser extent timber, by indigenous people in their territories.</p>	<p>Extraction will be carried out in accordance with the provisions of Plans for the Integrated Management of Forests and Lands (PGIBT), subject to approval by the Forest and Lands Authority and making provision for resource sustainability. The project will not promote increases in current overall levels of extraction (the forests have been subject to extractive management for Brazil nuts and before that rubber, by the target communities, for many decades), but rather will strengthen capacities and governance structures in order to ensure that such extraction is carried out sustainably and optimizes benefits for local communities. The project will increase levels of extraction of some products (such as asai and palma real) in order to help diversify the income and livelihood bases of local communities, but sustainable levels of extraction be defined by prior studies in which local communities will be involved, and corresponding governance structures will be established or strengthened in order to ensure that these are respected.</p>
<p>Risk 2: 1.7: Possible impacts on aquatic ecology and biodiversity due to the harvesting of fish populations</p>	<p>I = 1 P = 1</p>	<p>Low</p>	<p>The project will support the harvesting of paiche (<i>Arapaima gigas</i>). This species is native to the Amazon basin but not to this area of Bolivia, where it was introduced around 30 years ago and where it is considered an invasive exotic species. As such its</p>	<p>No measures required given that the species is an invasive exotic.</p>

Risk 3: 6.1: Possible impacts on the livelihoods and cultural values of indigenous peoples present in the Project area	I = 1 P = 1	Low	capture will have no negative impact on native fisheries, and is exempt from restriction under national fisheries legislation. The project stakeholders consist almost entirely of the indigenous people who inhabit the project area. The project will promote the sustainable extraction and marketing of non-timber forest products and to a lesser extent timber, by these indigenous people in their territories.	Extensive consultations have been carried out with the indigenous peoples who inhabit the project area, throughout the project formulation process. The project will specifically focus on generating livelihood benefits for these actors through the sustainable management and utilization of the natural resources located in their territories, defined and planned with their full participation and subject to strengthened traditional governance frameworks.
Risk 4: 6.2: Possible implications for the tenure and use rights of indigenous peoples	I = 1 P = 1	Low	The project area consists entirely of four Original Indigenous Peasant Territories (TIOCs)	Legally secure tenure rights in favour of the project's indigenous stakeholders are in place over the entire project area (the target TIOCs)
Risk 5: 6.5: Possible impacts on traditional forms of resource use by indigenous peoples, as a result of the utilization and commercial development of natural resources in indigenous territories	I = 1 P = 1	Low	The project will promote the sustainable extraction and marketing of non-timber forest products and to a lesser extent timber, by indigenous people in their territories.	There is a long history of indigenous people in this area harvesting NTEPs for market, in the past focusing on rubber but now on Brazil nut. In contrast to the earlier models of rubber extraction where the indigenous people were exploited as paid labor, the model of extraction and management proposed by the project will allow them to control the resource and its management and thereby to maximize the generation and sustainability of economic benefits, while respecting their cultural norms and other livelihood needs. The extraction and management model has been defined and will be applied with the full participation of the local communities.

QUESTION 4: What is the overall Project risk categorization?

	Select one (see SESP for guidance)	<p>Low Risk <input checked="" type="checkbox"/></p> <p>Moderate Risk <input type="checkbox"/></p> <p>High Risk <input type="checkbox"/></p>	<p>Comments</p> <p>The identified risks are all of low probability and impact, and will be easily avoided or mitigated due in large part to the extensive participation of the project's indigenous stakeholders in project development, which will be continued during the implementation phase and beyond.</p>
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QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?

	Check all that apply	<p>Principle 1: Human Rights <input type="checkbox"/></p>	<p>Comments</p>
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Principle 2: Gender Equality and Women's Empowerment		<input type="checkbox"/>
1. Biodiversity Conservation and Natural Resource Management	The project will have positive implications for biodiversity and the sustainability of natural resource management.	<input checked="" type="checkbox"/>
2. Climate Change Mitigation and Adaptation		<input type="checkbox"/>
3. Community Health, Safety and Working Conditions		<input type="checkbox"/>
4. Cultural Heritage	The project will respect and strengthen cultural heritage	<input checked="" type="checkbox"/>
5. Displacement and Resettlement		<input type="checkbox"/>
6. Indigenous Peoples	The main stakeholders of the project will be indigenous peoples, who have been and will be actively and fully involved in the project's formulation and implementation, and who will receive significant livelihood benefits as a result as well as strengthened tenure and occupancy rights over their indigenous territories.	<input checked="" type="checkbox"/>
7. Pollution Prevention and Resource Efficiency		<input type="checkbox"/>

Final Sign Off

Signature	Date	Description
QA Assessor		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		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		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?	No
2.	Is there a 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? ¹	No
3.	Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	No
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?	No
5.	Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	No
6.	Is there a risk that rights-holders do not have the capacity to claim their rights?	No
7.	Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	No
8.	Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	No
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?	No
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?	No
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?	No
4.	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>	No
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		
1.1	Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services?	No

¹ 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.

	<i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	
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?	No
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)	No
1.4	Would Project activities pose risks to endangered species?	No
1.5	Would the Project pose a risk of introducing invasive alien species?	No
1.6	Does the Project involve harvesting of natural forests, plantation development, or reforestation?	Yes
1.7	Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	Yes
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>	No
1.9	Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	No
1.10	Would the Project generate potential adverse transboundary or global environmental concerns?	No
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>	No
Standard 2: Climate Change Mitigation and Adaptation		
2.1	Will the proposed Project result in significant ² greenhouse gas emissions or may exacerbate climate change?	No
2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	No
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>	No
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?	No
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)?	No

² 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.]

3.3	Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	No
3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	No
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	No
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)?	No
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?	No
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)?	No
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)?	No
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)	No
4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	No
Standard 5: Displacement and Resettlement		
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	No
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)?	No
5.3	Is there a risk that the Project would lead to forced evictions? ³	No
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?	No
Standard 6: Indigenous Peoples		
6.1	Are indigenous peoples present in the Project area (including Project area of influence)?	Yes
6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	Yes
6.3	Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)? <i>If the answer to the screening question 6.3 is “yes” the potential risk impacts are considered potentially severe and/or critical and the Project would be categorized as either Moderate or High Risk.</i>	No

³ 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?	No
6.5	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	Yes
6.6	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?	No
6.7	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	No
6.8	Would the Project potentially affect the physical and cultural survival of indigenous peoples?	No
6.9	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	No
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?	No
7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	No
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>	No
7.4	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	No
7.5	Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	No



Mireia Villar-Fornier
Deputy Resident Representative
UNDP BOLIVIA

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