#### ANNEX F: UNDP SOCIAL AND ENVIRONMENTAL AND SOCIAL SCREENING TEMPLATE (SESP)

## **Project Information**

Project Info	formation	
1. Project	t Title	Agroforestry landscapes and sustainable forest management that generate environmental and economic benefits globally and locally
2. Project	t Number	PIMS 5704
3. Locatio	on (Global/Region/Country)	Honduras

#### 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 proposed project will implement activities using a human-rights based approach while benefiting the communities living within the PAs and their buffer zones and along the dry-humid biological corridor of southwestern Honduras. The project activities will be implemented so that they will contribute to protecting human life and to assist the government of Honduras to realize civil, economic, social and cultural rights of all project participants and beneficiaries. In addition, the project will promote nondiscrimination and equality, including women, indigenous people, economically disadvantaged communities, and other vulnerable groups. Some of the activities are related to the following main outcomes and/or results of the project: a) Increased awareness by indigenous communities and farmers about the importance of the project and its biological corridor as well of biodiversity and conservation values; b) Consultation protocol with indigenous communities for the establishment of biological corridors; c) participatory management plans for PAs updated d) Implementation of sustainable biodiversity-friendly production practices, including coffee and cocoa under agroforestry products; and e) Technical assistance for the implementation of biodiversity-friendly production so that the local communities (including women) may continue with the production once the project is finished. The project also promotes accountability and the rule of law and identifies mechanisms to address grievances through UNDP's mechanism for addressing complaints, grievances, and suggestions. The project will respect the human rights of all project participants regardless of their race, color, sex, language, religion, political or other opinion, national or social origin, property, birth, or other status.

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

The project will give special priority on ensuring that women are well represented in the implementation. The project will incorporate gender considerations into all phases of its life cycle, and includes a Project Gender Mainstreaming Plan designed specifically to ensure that the concerns and experiences of women (as well as men) are an integral part of the development, implementation, and M&E of the project. The Project Gender Mainstreaming Plan outlines activities and specific indicators to ensure gender participation and gender equality. In addition, the project's Stakeholder Engagement and Communication Plan identifies women and women's groups in the prioritized landscape within in the dry-humid biological corridor that will be directly involved in project implementation. According to the

UNDP Gender Marker the project is classified as Gender Responsive: the results address the different needs of men and women, there is equitable distribution of benefits, resources, status, and rights; however, the project does not address the root causes of inequality in their lives.

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

The project will contribute with the consolidation of 929,132 ha of biological corridors, which will provide connectivity of PAs to forest remnants I n production landscapes and contribute to the conservation of biologically-important areas. More specifically the project will implement multiple activities that will allow mainstreaming environmental sustainability including: a) support the implementation of sustainable and/or biodiversity-friendly economic activities such as cocoa and coffee under agroforestry, that promote biodiversity conservation, reduce deforestation, and enhance ecological connectivity within the PAs; b) the use of native species in the implementation of sustainable production practices, which will in turn promote the conservation of watersheds and soils; and c) contribute to the reduction of GHG emissions and will promote carbon sequestration through ecosystem conservation and forest management by means of sustainable management tools ( micro corridors, live fences, hedges, etc.).

### Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks?  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.	potential so	ocial and enviro	level of significance of the onmental risks? I and 5 below before proceeding to	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)?
Risk Description	Impact and Probability (1-5)	Significance (Low, Moderate, High)	Comments	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.
Risk 1: 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?	I = 1 P = 5	Low	The proposed project will implement several of its activities within the 15 PAs, which are part of its area of influence.	None of the project's activities are expected to result in deforestation, conversion or degradation of critical habitat or environmentally sensitive areas. On the contrary, the activities will contribute to the conservation of critical habitats along the dry-humid corridor in the southwest of Honduras. Furthermore, environmental authorities of Honduras, such as SINAPH and ICF, will implement the project.

Risk 2: Changes to the use of lands and resources.	I = 3 P = 3	Moderate	Project's implementation will lead to a change in the use of land from non-sustainable to sustainable practices. This includes the introduction of biodiversity friendly productive systems of cocoa and coffee under agroforestry products. It also involves the rehabilitation of forests using landscape management tools.	The management plan update for the PAs will be a highly participatory process. This will allow local communities to gradually transition from current land/natural resource use practices to more sustainable practices. In addition, the project will provide support to the local communities in various aspects such as: implementation of biodiversity-friendly economic activities, economic incentives, technical assistance, and capacity-building as a way to reduce negative impacts. This will include revenue generation and forest protection through carbon sequestration derived from the adoption of landscape management tools. To ensure that any negative impacts on the local communities are minimized, the project will implement monitoring and evaluation tools to be used periodically. This will allow the timely identification of negative impacts along with its corresponding corrective measures.  The project will collect information on land ownership in the prioritized Protected Areas (PAs) to help define strategies as means to aid processes of ownership recognition of indigenous lands, as part of PAs management plans.
Risk 3: Outcomes of the Project may be sensitive or vulnerable to potential impacts of climate change	I = 2 P = 2	Low	Although the project will enhance resilience to climate change through low-carbonemission and sequestration of carbon integrated management of the prioritized production landscapes, they could continue to be vulnerable to extreme climate variability.	The project will promote actions that will lead to better connectivity, which will then lead to more extended and solid forest covers, and therefore more resilient natural and agricultural systems. Similarly, there will be an increased protection of soils and a better regulation of the water cycle that will in turn, create stable micro-climatic conditions, thereby benefiting forest species as well as reducing the vulnerability of human populations to climate change.
Risk 4: Presence of Indigenous people in project area and limited consultation for achieving FPIC	I = 4 P = 4	High	Indigenous communities (Lenca and Maya Chortí groups) are key stakeholders of the project.	During the project formulation phase of the project indigenous groups were consulted and participated in the final design of the project; however, not all indigenous organizations present in the project target area were consulted. To ensure that all relevant indigenous groups and organizations are consulted and participate in the project, an Indigenous Peoples Participation Plan (IPPP) that will allow for extensive indigenous groups consultation for achieving FPIC and participation in the project.

In January 2020, at the Steering Committee (SC) meeting, the Lenca indigenous SC representative, requested the project to be more inclusive and ensure the participation of the youth and women in project activities related to micro-watershed, environmental and social and economic issues. The representative also argued that indigenous peoples are not receiving benefits from the project and requested more information on project activities.

The project responded that it currently supports 217 indigenous producers through IHCAFE.

In Q4 2019, the project with the support of IUCN also supported several events to present and share information about the project, focused exclusively on indigenous peoples. In Q1 2020, meetings were also held to address the requests of the indigenous people at the project board meeting.

It should be noted that the Steering Committee already includes indigenous representatives from the project's area to ensure they participate in decision-making, alerts the project about potential issues and guide the project regarding compliance with social and environmental safeguards.

Nonetheless, the project will meet with indigenous peoples to define to ensure a more inclusive participation.

In addition, the project will carry out the following measures to address the situation reported by the Steering Committee member:

- 1) The project has begun implementation of the Indigenous People Plan and the Stakeholders' Participation Plan to ensure that appropriate consultation procedures are conducted with indigenous groups during project implementation.
- 2) The project will collect information on land ownership in the prioritized Protected Areas (PAs) as part of the PA management plans. This information will be available to the competent national/local authorities for any process of ownership recognition of indigenous lands. The project will not participate in any process of ownership recognition of indigenous lands.
- 3) An expert on indigenous peoples and safeguards will be hired by the project to ensure compliance with the strategic

				lines of work regarding indigenous peoples as stated the PRODOC and SESP.  4) Some groups of indigenous peoples have conflicts in their internal governance structure, and this may affect their representation in the project. To manage this, the project will request from them, to ratify the designated representatives at least once a year, to maintain open communication with the groups, and keep them involved in project activities effectively.  5) The project has signed a letter of agreement with UICN to carry out consultations with indigenous peoples to establish biological corridors and protected areas management. IUCN has great expertise in the topic and has a very good and trustworthy relationship with indigenous groups in the country.  6) In early 2020, meetings have been carried out between the project's team and the representatives of indigenous groups to ensure requests and demands of the indigenous groups are adequately registered, especially during the second year of project activities.  7) UNDP is providing support through a specialist from the regional office to advise the project on issues of indigenous peoples and safeguards.
Risk 5: The Project could pose potential risks and vulnerabilities related to occupational health and safety due to the COVID-19 Pandemic.	I = 3 P = 3	Moderate	At present, the COVID-19 pandemic poses an infection risk to project staff and society at large. The project is addressing this situation through a biosafety protocol for office and field activities.	The project is monitoring the evolution of the pandemic and following all the instructions and recommendations from its biosafety protocol and the national government about how to engage with other people, travel and work during this period of lockdown and the reopening of the economy, which is taking place gradually in Honduras.  The UN Environmental Management Group (EMG) has provided a summary of existing guidance and a Checklist to be applied to Projects that enables to assess the impact of COVID on SES standards/risks1. UNDESA has provided a corporate level guidance/ minimum-standards to be observed specifically regarding indigenous peoples and FPIC

<sup>&</sup>lt;sup>1</sup> Model Approach and COVID-19 draft 30Apr2020

				that will serve as guidance to UNDP projects. Suggested assessments and protocols will be adapted to the context of each country and project given the different National Policies and restrictions to movement, the sanitary regulations that may be imposed in each context2. Attention should be given to the proposed protocols by indigenous peoples who may have developed such a protocol based on an agreed standard way of working that ensures their own participation and/or to ensuring participation by IP's when developing such protocols.
[add additional rows as needed]				
	QUESTION 4: What is t	he overall Project risk catego	orizatio	on?
	Select one	(see <u>SESP</u> for guidance)		Comments
		Low Risk		
		Moderate Risk		
		High Risk	Ø	Given that full consultation with indigenous groups was not achieved during project formulation and neither have consultation processes taken place yet in an adequate and extensive manner, the overall project risk categorization was changed from Moderate to High. During the project formulation phase, meetings and workshops were held with indigenous organizations to present and discuss the project and its objectives; feedback was received for the joint definition of project activities and the IPPP. However, further consultations are required and need to be conducted during project implementation.  The project's Steering Committee already includes an indigenous representative from the project site. project has begun implementation of the Indigenous People Plan and the Stakeholders' Participation Plan to ensure that appropriate

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<sup>&</sup>lt;sup>2</sup> https://undp-

		consultation procedures are conducted with indigenous groups during project implementation  The project also secured the services of IUCN to assist with consultations with the indigenous people, and a specialist will be hired by the project to oversee compliance with social and environmental safeguards and follow up on the grievance mechanism. The risk mitigation and risk evaluation measures will be updated and incorporated into the UNDP Risk Log, which will be presented in the second steering committee meeting of 2020. The Risk Log will be updated in the ATLAS system during the length of the project, as necessary.
QUESTION 5: Based on the identified risks and categorization, what requirements of the SES relevant?		
Check all that apply		Comments
Principle 1: Human Rights		
Principle 2: Gender Equality and Women's Empowerment		
Biodiversity Conservation and Natural Resource     Management	Ø	Sustainable use of biodiversity will be ensured through the project
2. Climate Change Mitigation and Adaptation		
3. Community Health, Safety and Working Conditions	Ø	The impacts of COVID-19 on the project's implementation will be addressed through a biosafety protocol and adaptive management. The evolution of the pandemic is continuously being monitored to ensure the project carries out activities safely and in compliance with a biosafety protocol.
		protocol.
4. Cultural Heritage		protocoi.

		economic incentives, technical assistance, and capacity-building as a way to reduce negative impacts. This will include revenue generation and forest protection through carbon sequestration derived from the adoption of landscape management tools. To ensure that any negative impacts on the local communities are minimized, the project will implement monitoring and evaluation tools to be used periodically. This will allow the timely identification of negative impacts along with its corresponding corrective measures.  The project will collect information on land ownership in the prioritized Protected Areas (PAs) to help define strategies as means to aid processes of ownership recognition of indigenous lands, as part of PAs management plans.
6. Indigenous Peoples	Ø	The project will ensure the rights and engagement of indigenous peoples in project activities. The project includes an IPPP developed jointly with representatives of an indigenous organization to ensure full participation of indigenous groups in project implementation. The project has will hire an indigenous people specialist to implement consultations, social and environmental safeguards and grievance mechanism during the implementation of the project.
7. Pollution Prevention and Resource Efficiency		

# **Final Sign Off**

Signature	Date	Description
QA Assessor  DocuSigned by:  Astrid Mejia  O9EA3FB6332E4F1  Especialista de Programa	31 <u>Au<del>g</del></u> ust 2020	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  Rose Diegues Representante Adjunto	31 August 2020	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.
Rose Diegues Representante Adjunto  Pocusigned by:  C9196E84C5A94A7. Residente	31 August 2020	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

Che	cklist Potential Social and Environmental <u>Risks</u>	
Princ	iples 1: Human Rights	Answer (Yes/No)
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? <sup>3</sup>	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
Princ	iple 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?	No
	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	
	iple 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by pecific Standard-related questions below	
Stanc	dard 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
	For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes	

<sup>&</sup>lt;sup>3</sup> 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.

1.2	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?	Yes
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)	Yes
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?	No
1.7	Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	No
1.8	Does the Project involve significant extraction, diversion or containment of surface or ground water?  For example, construction of dams, reservoirs, river basin developments, groundwater extraction	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?	No
	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.	
Stand	ard 2: Climate Change Mitigation and Adaptation	
2.1	Will the proposed Project result in significant <sup>4</sup> 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?	Yes
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)?	No
	For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding	
Stand	ard 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
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

<sup>&</sup>lt;sup>4</sup> In regards to CO<sub>2</sub>, '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.]

3.5	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)?	Yes
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
Stand	ard 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
Stand	ard 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)?	Yes
5.3	Is there a risk that the Project would lead to forced evictions? <sup>5</sup>	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
Stand	ard 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)?  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.	No
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?	Yes

<sup>&</sup>lt;sup>5</sup> 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.

6.5	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
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?	No
	For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol	
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