

Social and Environmental Screening Template (2021 SESP Template, Updated Version)

The completed template, which constitutes the Social and Environmental Screening Report, must be included as an annex to the Project Document at the implementation stage. Note: this template will be converted into an online tool. The online version will guide users through the process and will embed relevant guidance.

Project Information

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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 (i.e. Atlas project ID, PIMS+)	PIMS 4743
3. Location (Global/Region/Country)	BOLIVIA
4. Project stage (Design or Implementation)	Implementation
5. Date	28 th June 2021 (Updated version)

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

QUESTION 1: How Does the Project Integrate the Programming Principles in Order to Strengthen Social and Environmental Sustainability?
Briefly describe in the space below how the project mainstreams the human rights-based approach
Briefly describe in the space below how the project is likely to improve gender equality and women's empowerment
<i>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. As per recommendation of the mid-term review, a Gender Mainstreaming Strategy will be prepared during 2021.</i>
Briefly describe in the space below how the project mainstreams sustainability and resilience
<i>The target forests will be managed for the sustainable extraction of non-timber forest products. 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 will be defined by</i>

prior studies in which local communities will be involved, and corresponding governance structures will be established or strengthened by the project in order to ensure that these are respected.

Briefly describe in the space below how the project strengthens accountability to stakeholders

The project will strengthen the technical and operational capacities of the National Implementing Partner (The Plurinational Authority of Mother Earth). The APMT with the support of the project will maintain permanent communication with all stakeholders and holds meetings of the project's steering committee where the most strategic decisions and the project's management are made.

Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Complete SESP Attachment 1 before responding to Question 2.</i>	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 5</i>			QUESTION 6: Describe the assessment and management measures for each risk rated Moderate, Substantial or High
Risk Description (broken down by event, cause, impact)	Impact and Likelihood (1-5)	Significance (Low, Moderate, Substantial, High)	Comments (optional)	Description of assessment and management measures for risks rated as Moderate, Substantial or High
<p>Risk 1: Possible impacts on biodiversity and ecological functions due to harvesting in natural forests.</p> <p>Standard 1, q: 1.8</p>	<p>I = 3 L = 2</p>	<p>Moderate</p>	<p>The project will promote the sustainable extraction of non-timber forest products, by indigenous people in their territories.</p>	<p>General Forest Management Plans have been approved since the beginning of the project by the Forest and Lands Authority (ABT) in the target TIOCs and are under implementation. 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 support the sustainable 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. The studies and the establishment of governance structures will be carried out in the second semester of the 2021 management.</p>
<p>Risk 2: Possible impacts on the livelihoods and cultural values of</p>	<p>I = 3 L = 2</p>	<p>Moderate</p>	<p>The most important stakeholders are indigenous people who live in the project</p>	<p>The project will specifically focus on generating livelihood benefits for these actors through the sustainable management and utilization of the natural resources</p>

indigenous peoples present in the Project area Standard 6, q: 6.1			area. The project will promote the sustainable extraction and marketing of non-timber forest products, by these indigenous people in their territories.	located in their territories, with their full participation and subject to strengthened traditional governance frameworks, respecting their cultural values.
Risk 3: 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 Standard 6, q: 6.3 and 6.5	I = 3 L = 2	Moderate	The project will promote the sustainable extraction and marketing of non-timber forest products, by indigenous people in their territories.	With project support and in consultation with indigenous peoples, a model of sustainable use will be developed. The model will be carried out in the second semester of the 2021 management.
Risk 4: Government stakeholders have low capacities to meet their obligations in the project. OP – q: P2	I = 3 L = 3	Moderate	Key government partners have low capacities installed that affect project implementation	The project will strengthen the capacities of the National Authority of Mother Earth (APMT) to implement the project and also to find the better strategy to sustain the good results at the end of the project. The Plurinational Fund of Mother Earth and the administrative and financial management capacities of the APMT will be strengthened for the implementation of the project. At a technical level, the project will support the design and implementation of the biodiversity monitoring system that will be led by the APMT and implemented in a first version in the project's area of intervention. These activities will be implemented since 2021 and along 2022 as part of the recommendations from the MTR.
Risk 5: Complaints or objections from community stakeholders such as CIRABO and TIOCs lead to project suspension. OP – q: P14	I = 3 L = 2	Moderate	CIRABO and TIOCs have a misinterpretation of their roles in the project, generating conflicts in the project execution, especially in funds management	CIRABO's current relations with the APMT are very good and trust between both organizations has been restored since the start of the new Government in November 2020. The activities that were approved in early 2021 to implement Low Value Grants for the communities of the four TIOCs have substantially lowered the pressures and tensions between the communities and CIRABO, demanding agility of the project. In addition, CIRABO has welcomed the revision of the project's results framework (recommended by the MTR) to better refine the goals and expected results in favor of the communities and biodiversity of the four TIOCs. The project will continue to strengthen the capacities of CIRABO, the 4 TIOCs and the APMT so that the coordination and communication mechanisms are favorable and agile for the successful implementation of the project and the achievement of results. As per the MTR recommendation a new model of project governance and the decision-making process including the revision of roles and responsibilities and commitments of each stakeholder should be revised and duly approved by project Steering Committee in 2021.




<p>Risk 6: Project implementation could reproduce discriminations against women based on gender, especially regarding participation in decision making process and accessing to opportunities and benefits.</p> <p>OP – P10, P11</p>	<p>I = 3 L = 4</p>	<p>Moderate</p>	<p>Gender approach has not been properly worked during project planning and implementation.</p>	<p>Based on the MTR recommendations during 2021 the project will develop the gender analysis and action plan to address key factors that have differentiated impacts between men and women leading to inequal access to property and control of natural resources and the impact in women production</p>
<p>Risk 7: Project activities related to face-to-face activities (workshops, meetings) could increase the possibility of COVID-19 contagion</p> <p>Standard 3: q 3.4.</p>	<p>I = 2 P = 3</p>	<p>Low</p>	<p>The project has many fieldwork activities planned</p>	<p>Biosecurity protocols have been implemented for fieldwork activities, such as:</p> <p>Telework implementation.</p> <p>Virtual meetings.</p> <p>Implementation of biosecurity protocols.</p> <p>Provision of protective materials and equipment.</p>
<p>Risk 8: In the project, it is probable an increase in the levels of informality of the economic activity of non-timber products and with it the breach of labor standards of employment and current national regulations.</p> <p>Standard 7, q.7.1</p>	<p>I = 3 P = 2</p>	<p>Moderate</p>	<p>The economic activities of the collection of Brazil nuts and other non-timber forest products are carried out informally by the communities. This means that companies or community associations are not registered or formalized, they do not pay taxes and most of the products are commercialized in the informal market with local intermediaries and border countries. Therefore, the labor aspects are also informal and the international and national labor standards are not met.</p>	<p>The project will promote, on the one hand, the formalization of a part of the Brazil nut marketing market through the strengthening of communities and their relationship with formal marketing mechanisms. On the other hand, in the diversification of income from the use of other non-timber products, formal community organization schemes and their relationship with the market and formal financing will be implemented. This can contribute substantively to the improvement of the working conditions of the people (men and women) who are involved in these economic activities.</p>
QUESTION 4: What is the overall project risk categorization?				
<p>Low Risk <input type="checkbox"/></p>				
<p>Moderate Risk <input type="checkbox"/></p>				
<p>Substantial Risk <input checked="" type="checkbox"/></p> <p>A more in-depth analysis of the application of UNDP social and environmental safeguards will be carried out for this project. An external consultant will be hired to carry out this work to identify the need for specific complementary studies to respond to the risks identified in the SESP. From this analysis, specific plans for indigenous peoples, a gender approach, among others, can be defined. The social</p>				

			and environmental risks identified will be monitored at each Project Board every 6 months for updating.	
	High Risk	<input type="checkbox"/>		
QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are triggered? (check all that apply)				
Question only required for Moderate, Substantial and High Risk projects				
<u>Is assessment required? (check if "yes")</u>	YES			<i>Status? (completed, planned)</i>
<i>if yes, indicate overall type and status</i>	X		X	Targeted assessment(s)
			<input type="checkbox"/>	ESIA (Environmental and Social Impact Assessment)
			<input type="checkbox"/>	SESA (Strategic Environmental and Social Assessment)
<u>Are management plans required? (check if "yes")</u>	X			
<i>if yes, indicate overall type</i>			X	Targeted management plans (e.g. Gender Action Plan.
				Planned in 2021: Gender Action Plan, Indigenous peoples plan, among others that will be identified in the complementary analysis of how the project is aligned with UNDP's SES.

		<input type="checkbox"/>	ESMP (Environmental and Social Management Plan which may include range of targeted plans)	
		<input type="checkbox"/>	ESMF (Environmental and Social Management Framework)	
	Based on identified <u>risks</u>, which Principles/Project-level Standards triggered?		Comments (not required)	
	Overarching Principle: Leave No One Behind			
	Human Rights	X		
	Gender Equality and Women's Empowerment	X		
	Accountability	X		
	1. Biodiversity Conservation and Sustainable Natural Resource Management	X		
	2. Climate Change and Disaster Risks	<input type="checkbox"/>		
	3. Community Health, Safety and Security	X		
	4. Cultural Heritage	<input type="checkbox"/>		
	5. Displacement and Resettlement	<input type="checkbox"/>		
	6. Indigenous Peoples	X		
	7. Labour and Working Conditions	X		
	8. Pollution Prevention and Resource Efficiency	<input type="checkbox"/>		

Final Sign Off

Final Screening at the design-stage is not complete until the following signatures are included

Signature	Date	Description
<p>QA Assessor</p> <p></p> <p>Fernando Aramayo</p> <p>Especialista de Programas, Políticas Públicas y Gobernabilidad Democrática</p>	28-Jun-2021	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.
<p>QA Approver</p> <p></p> <p>Dennis Funes</p> <p>DRR</p>	28-jun.-2021	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.
<p>PAC Chair</p> <p></p> <p>Luciana Mermet</p> <p>Representante Residente</p>	28-jun.-2021	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		
INSTRUCTIONS: The risk screening checklist will assist in answering Questions 2-6 of the Screening Template. Answers to the checklist questions help to (1) identify potential risks, (2) determine the overall risk categorization of the project, and (3) determine required level of assessment and management measures. Refer to the SES toolkit for further guidance on addressing screening questions.		
Overarching Principle: Leave No One Behind		Answer (Yes/No)
Human Rights		
P.1	Have local communities or individuals raised human rights concerns regarding the project (e.g. during the stakeholder engagement process, grievance processes, public statements)?	NO
P.2	Is there a risk that duty-bearers (e.g. government agencies) do not have the capacity to meet their obligations in the project?	YES
P.3	Is there a risk that rights-holders (e.g. project-affected persons) do not have the capacity to claim their rights?	NO
<i>Would the project potentially involve or lead to:</i>		
P.4	adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	NO
P.5	inequitable or discriminatory impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups, including persons with disabilities? ¹	NO
P.6	restrictions in availability, quality of and/or access to resources or basic services, in particular to marginalized individuals or groups, including persons with disabilities?	NO
P.7	exacerbation of conflicts among and/or the risk of violence to project-affected communities and individuals?	NO
Gender Equality and Women's Empowerment		
P.8	Have women's groups/leaders raised gender equality concerns regarding the project, (e.g. during the stakeholder engagement process, grievance processes, public statements)?	NO
<i>Would the project potentially involve or lead to:</i>		
P.9	adverse impacts on gender equality and/or the situation of women and girls?	NO
P.10	reproducing discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	YES
P.11	limitations on 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>	YES
P.12	exacerbation of risks of gender-based violence? <i>For example, through the influx of workers to a community, changes in community and household power dynamics, increased exposure to unsafe public places and/or transport, etc.</i>	NO
Sustainability and Resilience: Screening questions regarding risks associated with sustainability and resilience are encompassed by the Standard-specific questions below		

¹ Prohibited grounds of discrimination include race, ethnicity, sex, age, language, disability, sexual orientation, gender identity, 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 and transsexual people.

Accountability		
<i>Would the project potentially involve or lead to:</i>		
P.13	exclusion of any potentially affected stakeholders, in particular marginalized groups and excluded individuals (including persons with disabilities), from fully participating in decisions that may affect them?	NO
P.14	grievances or objections from potentially affected stakeholders?	YES
P.15	risks of retaliation or reprisals against stakeholders who express concerns or grievances, or who seek to participate in or to obtain information on the project?	NO
Project-Level Standards		
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management		
<i>Would the project potentially involve or lead to:</i>		
1.1	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>	NO
1.2	activities within or adjacent to critical habitats and/or environmentally sensitive areas, including (but not limited to) 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	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	risks to endangered species (e.g. reduction, encroachment on habitat)?	NO
1.5	exacerbation of illegal wildlife trade?	NO
1.6	introduction of invasive alien species?	NO
1.7	adverse impacts on soils?	NO
1.8	harvesting of natural forests, plantation development, or reforestation?	YES
1.9	significant agricultural production?	NO
1.10	animal husbandry or harvesting of fish populations or other aquatic species?	NO
1.11	significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	NO
1.12	handling or utilization of genetically modified organisms/living modified organisms ²	NO
1.13	utilization of genetic resources? (e.g. collection and/or harvesting, commercial development) ³	NO
1.14	adverse transboundary or global environmental concerns?	NO
Standard 2: Climate Change and Disaster Risks		
<i>Would the project potentially involve or lead to:</i>		
2.1	areas subject to hazards such as earthquakes, floods, landslides, severe winds, storm surges, tsunamis or volcanic eruptions?	NO
2.2	outputs and outcomes sensitive or vulnerable to potential impacts of climate change or disasters?	NO

² See the [Convention on Biological Diversity](#) and its [Cartagena Protocol on Biosafety](#).

³ See the [Convention on Biological Diversity](#) and its [Nagoya Protocol](#) on access and benefit sharing from use of genetic resources.

	<i>For example, through increased precipitation, drought, temperature, salinity, extreme events, earthquakes</i>	
2.3	increases in vulnerability to climate change impacts or disaster risks now or in the future (also known as maladaptive or negative coping 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
2.4	increases of greenhouse gas emissions, black carbon emissions or other drivers of climate change?	NO
Standard 3: Community Health, Safety and Security		
<i>Would the project potentially involve or lead to:</i>		
3.1	construction and/or infrastructure development (e.g. roads, buildings, dams)? (Note: the GEF does not finance projects that would involve the construction or rehabilitation of large or complex dams)	NO
3.2	air pollution, noise, vibration, traffic, injuries, physical hazards, poor surface water quality due to runoff, erosion, sanitation?	NO
3.3	harm or losses due to failure of structural elements of the project (e.g. collapse of buildings or infrastructure)?	NO
3.4	risks of water-borne or other vector-borne diseases (e.g. temporary breeding habitats), communicable and noncommunicable diseases, nutritional disorders, mental health?	YES
3.5	transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	NO
3.6	adverse impacts on ecosystems and ecosystem services relevant to communities' health (e.g. food, surface water purification, natural buffers from flooding)?	NO
3.7	influx of project workers to project areas?	NO
3.8	engagement of security personnel to protect facilities and property or to support project activities?	NO
Standard 4: Cultural Heritage		
<i>Would the project potentially involve or lead to:</i>		
4.1	activities adjacent to or within a Cultural Heritage site?	NO
4.2	significant excavations, demolitions, movement of earth, flooding or other environmental changes?	NO
4.3	adverse impacts to 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
4.4	alterations to landscapes and natural features with cultural significance?	NO
4.5	utilization of tangible and/or intangible forms (e.g. practices, traditional knowledge) of Cultural Heritage for commercial or other purposes?	NO
Standard 5: Displacement and Resettlement		
<i>Would the project potentially involve or lead to:</i>		
5.1	temporary or permanent and full or partial physical displacement (including people without legally recognizable claims to land)?	NO
5.2	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	risk of forced evictions? ⁴	NO
5.4	impacts on or changes to land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	NO
Standard 6: Indigenous Peoples		
<i>Would the project potentially involve or lead to:</i>		
6.1	areas where indigenous peoples are present (including project area of influence)?	YES
6.2	activities located on lands and territories claimed by indigenous peoples?	NO
6.3	impacts (positive or negative) to 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 screening question 6.3 is "yes", then the potential risk impacts are considered significant and the project would be categorized as either Substantial Risk or High Risk</i>	YES
6.4	the 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	the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	YES
6.6	forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources? <i>Consider, and where appropriate ensure, consistency with the answers under Standard 5 above</i>	NO
6.7	adverse impacts on the development priorities of indigenous peoples as defined by them?	NO
6.8	risks to the physical and cultural survival of indigenous peoples?	NO
6.9	impacts on the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices? <i>Consider, and where appropriate ensure, consistency with the answers under Standard 4 above.</i>	NO
Standard 7: Labour and Working Conditions		
<i>Would the project potentially involve or lead to: (note: applies to project and contractor workers)</i>		
7.1	working conditions that do not meet national labour laws and international commitments?	YES
7.2	working conditions that may deny freedom of association and collective bargaining?	NO
7.3	use of child labour?	NO
7.4	use of forced labour?	NO
7.5	discriminatory working conditions and/or lack of equal opportunity?	NO
7.6	occupational health and safety risks due to physical, chemical, biological and psychosocial hazards (including violence and harassment) throughout the project life-cycle?	NO
Standard 8: Pollution Prevention and Resource Efficiency		
<i>Would the project potentially involve or lead to:</i>		

⁴ Forced eviction is defined here as the permanent or temporary removal against their will of individuals, families or communities from the homes and/or land which they occupy, without the provision of, and access to, appropriate forms of legal or other protection. Forced evictions constitute gross violations of a range of internationally recognized human rights.

8.1	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
8.2	the generation of waste (both hazardous and non-hazardous)?	NO
8.3	the manufacture, trade, release, and/or use of hazardous materials and/or chemicals?	NO
8.4	the 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 Montreal Protocol, Minamata Convention, Basel Convention, Rotterdam Convention, Stockholm Convention</i>	NO
8.5	the application of pesticides that may have a negative effect on the environment or human health?	NO
8.6	significant consumption of raw materials, energy, and/or water?	NO