# Annex F: Social and Environmental and Social Screening

**Project Information**

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| ***Project Information***  |  |
| 1. Project Title
 | Conserving biodiversity through sustainable management in production landscapes in Costa Rica |
| 1. Project Number
 | 00096514 |
| 1. Location (Global/Region/Country)
 | Costa Rica |

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

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| **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 human rights based approach aims to empower people to know and claim their rights and increase the ability and accountability of individuals and institutions who are responsible for respecting, protecting and fulfilling rights. The Costa Rican constitution protects the right to a clean and healthy environment and this project aims for state institutions, private sector and community organizations to manage environmental geographic information and take action to address the threats to biodiversity and promote sustainable forest and land management. All of the national, subnational, and local stakeholders associated with the project have the right to freely express their opinions and participate in decision making related to the project implementation and key stakeholders were consulted and participated in the design 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 help improve gender equality and women’s empowerment through targeted interventions in the Maria Aguilar Inter Urban Biological Corridor (MAIBC) and the La Amistad Pacifico Conservation Area (ACLA-P). In the urban landscape the project will engage women organizations and non-governmental organizations NGOs and community-based organizations (CBOs) lead by women to provide reforestation and local community actions pertaining the maintenance of ecosystem services and integrity of the MAIBC, these entities will be stimulated to appoint a representative to form part of the governance structure of the MAIBC. Within the ACLA-P area the project will strengthen the participation of women leaders in the local conservation area committee (COL-ACLA-P) and particular attention will be given to generating income and employment opportunities for women and young people in the application of biodiversity mainstreaming measures within agricultural production. The implementation of landscape management tools through socio-productive community initiatives, training for sustainable production, and access to incentives through a free of loss of forest cover verification mechanism with preferential purchasing and pricing of products from project participating farms, will entail a selection process that will favor the empowerment of female-headed farms. |
| ***Briefly describe in the space below how the Project mainstreams environmental sustainability*** |
| The project will mainstream biodiversity conservation into Costa Rica landscapes by reducing the most significant threat to biodiversity in the country: loss of natural habitat which is caused by land use change due to agricultural expansion and urban growth. Project investments will strengthen the National Environmental Information System (SINIA) by making available annual data on land cover/land use change that will inform public and private sectors to take action to combat loss of natural habitat and other threats to biodiversity. The strategy will be to establish a set of response to these specific threats every year and in different settings: a) in rural areas, a more effective response by the National System of Conservation Areas (SINAC) for processing of Forestry Law violations, response by responsible buyers and producers in terms of improved supply and demand of sustainable goods; and b) in urban areas, by catalyzing response and community action to help control habitat loss, reforest and restore protection zones (e.g., riverbanks and springs) while increasing carbon stocks, improve water quality of surface waters, and enhance forest connectivity.  |

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

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| **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.* | **QUESTION 3: What is the level of significance of the potential social and environmental risks?***Note: Respond to Questions 4 and 5 below before proceeding to Question 6* | **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: The Project activities proposed are within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park) and areas proposed for protection | I = 1P = 5 | **Low** | The project aims to work within the buffer zone of the several protected areas in ACLA-P, including the Chirripó National Park, La Amistad International Park, and the Macizo de la Muerte, with the explicit intention of improving connectivity and maintaining ecosystem services. In addition, some project activities will aim to forest and restore protection zones n the MAIBC, which according to the Forestry Law contribute to the protection of the country’s forests. | The work in environmentally sensitive areas entails choosing a project unit team with significant previous training on sustainable practices and also natural resource conflict management. In Costa Rica the communities living adjacent to projected areas have, in some places, tense relations with the Ministry of Environment staff, mostly because of their role enforcing biodiversity and forestry laws. The project team will make sure project interventions within ACLA-P and MAIBC are done in compliance with SESA standards and requirements. The specific provision to minimize risk will be to ensure that the Terms of Reference of these staff incorporate these competences and to keep the Project Board informed about of any potential conflicts. |
| Risk 2: Outcomes of the Project could be sensitive or vulnerable to potential impacts of climate change | I = 3P = 1 | **Low** | Despite the fact that the project will build resilience to climate change by enhancing connectivity and carbons stocks in the prioritized production and urban landscapes, these actions could be vulnerable to extreme climate vulnerability, particularly to tropical storms. | The project will increase ecosystem connectivity and strengthen ecosystem services in the prioritized landscapes through the use of tools that will promote sustainable forest and land use and conservation of biodiversity, thereby reducing the project outputs’ vulnerability to climate change. With the goal of increasing resilience to climate change, the project will strengthen the capacity of the public and private stakeholders at the local and regional levels to develop response measures through tools for planning, knowledge and information, monitoring, management and interinstitutional coordination.  |
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|  | **QUESTION 4: What is the overall Project risk categorization?**  |
| **Select one (see** [**SESP**](http://www.undp.org/content/undp/en/home/librarypage/operations1/undp-social-and-environmental-screening-procedure.html) **for guidance)** | **Comments** |
| ***Low Risk*** | **X** | **No significant social or environmental risks identified** |
| ***Moderate Risk*** | **☐** |  |
| ***High Risk*** | **☐** |  |
|  | **QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?** |  |
| Check all that apply | **Comments** |
| ***Principle 1: Human Rights*** | **☐** |  |
| ***Principle 2: Gender Equality and Women’s Empowerment*** | **☐** |  |
| ***1. Biodiversity Conservation and Natural Resource Management*** | **☐** |  |
| ***2. Climate Change Mitigation and Adaptation*** | **☐** |  |
| ***3. Community Health, Safety and Working Conditions*** | **☐** |  |
| ***4. Cultural Heritage*** | **☐** |  |
| ***5. Displacement and Resettlement*** | **☐** |  |
| ***6. Indigenous Peoples*** | **☐** |  |
| ***7. Pollution Prevention and Resource Efficiency*** | **☐** |  |

**Final Sign Off**

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| ***Signature*** | ***Date*** | ***Description*** |
| QA Assessor | 15 Feb 2016 | 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 | 16 Feb 2016 | 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 | 16 Feb 2016 | 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**

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| **Checklist Potential Social and Environmental Risks** |  |
| **Principles 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? | N |
| 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]](#footnote-1)  | N |
| 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. Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project? | N |
| 6. Is there a risk that rights-holders do not have the capacity to claim their rights?  | N |
| 7. Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process? | N |
| 8. 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? | N |
| 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? *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* | N |
| **Principle 3: Environmental Sustainability:** Screeningquestions regarding environmental risks are encompassed by the specific Standard-related questions below |  |
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| **Standard 1: Biodiversity Conservation and Sustainable** [**Natural**](#SustNatResManGlossary) **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?*For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes* | 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? | N |
| 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? *For example, construction of dams, reservoirs, river basin developments, groundwater extraction* | 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? *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.* | N |
| **Standard 2: Climate Change Mitigation and Adaptation** |  |
| 2.1 Will the proposed Project result in significant[[2]](#footnote-2) 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?  | Y |
| 2.3 Is the proposed Project likely to directly or indirectly increase social and environmental [vulnerability to climate change](#CCVulnerabilityGlossary) now or in the future (also known as maladaptive practices)?*For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population’s vulnerability to climate change, specifically flooding* | 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 |
| 3.2 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) | N |
| 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?[[3]](#footnote-3) | 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)? | N |
| 6.2 Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples? | N |
| 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.* | N |
| 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? | N |
| 6.5 Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples? | N |
| 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? | N |
| 6.7 Would the Project adversely affect the development priorities of indigenous peoples as defined by them? | N |
| 6.8 Would the Project potentially affect the physical and cultural survival of indigenous peoples? | N |
| 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? | N |
| **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](#TransboundaryImpactsGlossary)?  | 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?*For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol*  | 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 |

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. [↑](#footnote-ref-1)
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.] [↑](#footnote-ref-2)
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. [↑](#footnote-ref-3)