

UNDP Environmental and Social Screening Template (December 2012)

QUESTION 1:

Has a combined environmental and social assessment/review that covers the proposed project already been completed by implementing partners or donor(s)?

Select answer below and follow instructions:

- NO: Continue to Question 2 (do not fill out Table 1.1)
- YES: No further environmental and social review is required if the existing documentation meets UNDP's quality assurance standards, and environmental and social management recommendations are integrated into the project. Therefore, you should undertake the following steps to complete the screening process:
1. Use Table 1.1 below to assess existing documentation. (It is recommended that this assessment be undertaken jointly by the Project Developer and other relevant Focal Points in the office or Bureau).
 2. Ensure that the Project Document incorporates the recommendations made in the implementing partner's environmental and social review.
 3. Summarize the relevant information contained in the implementing partner's environmental and social review in Annex A.2 of this Screening Template, selecting Category 1.
 4. Submit Annex A to the PAC, along with other relevant documentation.

Note: Further guidance on the use of national systems for environmental and social assessment can be found in the UNDP ESSP Annex B.

TABLE 1.1: CHECKLIST FOR APPRAISING QUALITY ASSURANCE OF EXISTING ENVIRONMENTAL AND SOCIAL ASSESSMENT	Yes/No
1. Does the assessment/review meet its terms of reference, both procedurally and substantively?	
2. Does the assessment/review provide a satisfactory assessment of the proposed project?	
3. Does the assessment/review contain the information required for decision-making?	
4. Does the assessment/review describe specific environmental and social management measures (e.g. mitigation, monitoring, advocacy, and capacity development measures)?	
5. Does the assessment/review identify capacity needs of the institutions responsible for implementing environmental and social management issues?	
6. Was the assessment/review developed through a consultative process with strong stakeholder engagement, including the view of men and women?	
7. Does the assessment/review assess the adequacy of the cost of and financing arrangements for environmental and social management issues?	

Table 1.1 (continued) For any "no" answers, describe below how the issue has been or will be resolved (e.g. amendments made or supplemental review conducted).

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QUESTION 2:

Do all outputs and activities described in the Project Document fall within the following categories?

- Procurement (in which case UNDP's Procurement Ethics and Environmental Procurement Guide need to be complied with)
- Report preparation
- Training
- Event/workshop/meeting/conference (refer to Green Meeting Guide)
- Communication and dissemination of results

Select answer below and follow instructions:

- NO** → Continue to Question 3
- YES** → No further environmental and social review required. Complete Annex A.2, selecting Category 1, and submit the completed template (Annex A) to the PAC.

QUESTION 3:

Does the proposed project include activities and outputs that support *upstream* planning processes that potentially pose environmental and social impacts or are vulnerable to environmental and social change (refer to Table 3.1 for examples)? (Note that *upstream* planning processes can occur at global, regional, national, local and sectoral levels)

Select the appropriate answer and follow instructions:

- NO → Continue to Question 4.
- YES → Conduct the following steps to complete the screening process:
1. Adjust the project design as needed to incorporate UNDP support to the country(ies), to ensure that environmental and social issues are appropriately considered during the upstream planning process. Refer to Section 7 of this Guidance for elaboration of environmental and social mainstreaming services, tools, guidance and approaches that may be used.
 2. Summarize environmental and social mainstreaming support in Annex A.2, Section C of the Screening Template and select "Category 2".
 3. If the proposed project ONLY includes upstream planning processes then screening is complete, and you should submit the completed Environmental and Social Screening Template (Annex A) to the PAC. If downstream implementation activities are also included in the project then continue to Question 4.

TABLE 3.1: EXAMPLES OF UPSTREAM PLANNING PROCESSES WITH POTENTIAL DOWNSTREAM ENVIRONMENTAL AND SOCIAL IMPACTS	Check appropriate impact category
<p>1. Support for the elaboration or revision of global-level strategies, policies, plans, and programmes.</p> <p><i>For example, capacity development and support related to international negotiations and agreements. Other examples might include a global water governance project or a global MDG project.</i></p>	
<p>2. Support for the elaboration or revision of regional-level strategies, policies and plans, and programmes.</p> <p><i>For example, capacity development and support related to transboundary programmes and planning (river basin management, migration, international waters, energy development and access, climate change adaptation etc.).</i></p>	
<p>3. Support for the elaboration or revision of national-level strategies, policies, plans and programmes.</p> <p><i>For example, capacity development and support related to national development policies, plans, strategies and budgets, MDG-based plans and strategies (e.g. PRS/PRSPs, NAMAs), sector plans.</i></p>	x
<p>4. Support for the elaboration or revision of sub-national/local-level strategies, policies, plans and programmes.</p> <p><i>For example, capacity development and support for district and local level development plans and regulatory frameworks, urban plans, land use development plans, sector plans, provincial development plans, provision of services, investment funds, technical guidelines and methods, stakeholder engagement.</i></p>	

QUESTION 4:

Does the proposed project include the implementation of *downstream* activities that potentially pose environmental and social impacts or are vulnerable to environmental and social change?

To answer this question, you should first complete Table 4.1 by selecting appropriate answers. If you answer "No" or "Not Applicable" to all questions in Table 4.1 then the answer to Question 4 is "NO." If you answer "Yes" to any questions in Table 4.1 (even one "Yes" can indicate a significant issue that needs to be addressed through further review and management) then the answer to Question 4 is "YES":

NO → No further environmental and social review and management required for downstream activities. Complete Annex A.2 by selecting "Category 1", and submit the Environmental and Social Screening Template to the PAC.

YES → Conduct the following steps to complete the screening process:

1. Consult Section 8 of this Guidance, to determine the extent of further environmental and social review and management that might be required for the project.
2. Revise the Project Document to incorporate environmental and social management measures. Where further environmental and social review and management activity cannot be undertaken prior to the PAC, a plan for undertaking such review and management activity within an acceptable period of time, post-PAC approval (e.g. as the first phase of the project) should be outlined in Annex A.2.
3. Select "Category 3" in Annex A.2, and submit the completed Environmental and Social Screening Template (Annex A) and relevant documentation to the PAC.

TABLE 4.1: ADDITIONAL SCREENING QUESTIONS TO DETERMINE THE NEED AND POSSIBLE EXTENT OF FURTHER ENVIRONMENTAL AND SOCIAL REVIEW AND MANAGEMENT		Answer (Yes/No/Not Applicable)
1. Biodiversity and Natural Resources		
1.1	Would the proposed project result in the conversion or degradation of modified habitat, natural habitat or critical habitat?	No
1.2	Are any development activities proposed within a legally protected area (e.g. natural reserve, national park) for the protection or conservation of biodiversity?	No
1.3	Would the proposed project pose a risk of introducing invasive alien species?	No
1.4	Does the project involve natural forest harvesting or plantation development without an independent forest certification system for sustainable forest management (e.g. PEFC, the Forest Stewardship Council certification systems, or processes established or accepted by the relevant National Environmental Authority)?	No
1.5	Does the project involve the production and harvesting of fish populations or other aquatic species without an accepted system of independent certification to ensure sustainability (e.g. the Marine Stewardship Council certification system, or certifications, standards, or processes established or accepted by the relevant National Environmental Authority)?	No
1.6	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</i>	No

TABLE 4.1: ADDITIONAL SCREENING QUESTIONS TO DETERMINE THE NEED AND POSSIBLE EXTENT OF FURTHER ENVIRONMENTAL AND SOCIAL REVIEW AND MANAGEMENT		
<i>extraction.</i>		
1.7	Does the project pose a risk of degrading soils?	No
2.	Pollution	Answer (Yes/No/ Not Applicable)
2.1	Would the proposed project result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and transboundary impacts?	No
2.2	Would the proposed project result in the generation of waste that cannot be recovered, reused, or disposed of in an environmentally and socially sound manner?	No
2.3	Will the proposed project involve the manufacture, trade, release, and/or use of chemicals and hazardous materials subject to international action bans or phase-outs? <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Convention on Persistent Organic Pollutants, or the Montreal Protocol.</i>	No
2.4	Is there a potential for the release, in the environment, of hazardous materials resulting from their production, transportation, handling, storage and use for project activities?	No
2.5	Will the proposed project involve the application of pesticides that have a known negative effect on the environment or human health?	No
3.	Climate Change	
3.1	Will the proposed project result in significant ¹ greenhouse gas emissions? <i>Annex E provides additional guidance for answering this question.</i>	No
3.2	Is the proposed project likely to directly or indirectly increase environmental and social vulnerability to climate change now or in the future (also known as maladaptive practices)? You can refer to the additional guidance in Annex C to help you answer this question. <i>For example, a project that would involve indirectly removing mangroves from coastal zones or encouraging land use plans that would suggest building houses on floodplains could increase the surrounding population's vulnerability to climate change, specifically flooding.</i>	No
4.	Social Equity and Equality	Answer (Yes/No/ Not Applicable)
4.1	Would the proposed project have environmental and social impacts that could affect indigenous people or other vulnerable groups?	No
4.2	Is the project likely to significantly impact gender equality and women's empowerment ² ?	No

¹ Significant corresponds to CO₂ emissions greater than 100,000 tons per year (from both direct and indirect sources). Annex E provides additional guidance on calculating potential amounts of CO₂ emissions.

² Women are often more vulnerable than men to environmental degradation and resource scarcity. They typically have weaker and insecure rights to the resources they manage (especially land), and spend longer hours on collection of water, firewood, etc. (OECD, 2006). Women are also more often excluded from other social, economic, and political development processes.

TABLE 4.1: ADDITIONAL SCREENING QUESTIONS TO DETERMINE THE NEED AND POSSIBLE EXTENT OF FURTHER ENVIRONMENTAL AND SOCIAL REVIEW AND MANAGEMENT		
4.3	Is the proposed project likely to directly or indirectly increase social inequalities now or in the future?	No
4.4	Will the proposed project have variable impacts on women and men, different ethnic groups, social classes?	Yes
4.5	Have there been challenges in engaging women and other certain key groups of stakeholders in the project design process?	No
4.6	Will the project have specific human rights implications for vulnerable groups?	No
5. Demographics		
5.1	Is the project likely to result in a substantial influx of people into the affected community(ies)?	No
5.2	Would the proposed project result in substantial voluntary or involuntary resettlement of populations? <i>For example, projects with environmental and social benefits (e.g. protected areas, climate change adaptation) that impact human settlements, and certain disadvantaged groups within these settlements in particular.</i>	No
5.3	Would the proposed project lead to significant population density increase which could affect the environmental and social sustainability of the project? <i>For example, a project aiming at financing tourism infrastructure in a specific area (e.g. coastal zone, mountain) could lead to significant population density increase which could have serious environmental and social impacts (e.g. destruction of the area's ecology, noise pollution, waste management problems, greater work burden on women).</i>	No
1. Culture		
6.1	Is the project likely to significantly affect the cultural traditions of affected communities, including gender-based roles?	No
6.2	Will the proposed project result in physical interventions (during construction or implementation) that would affect areas that have known physical or cultural significance to indigenous groups and other communities with settled recognized cultural claims?	No
6.3	Would the proposed project produce a physical "splintering" of a community? <i>For example, through the construction of a road, powerline, or dam that divides a community.</i>	No
2. Health and Safety		
7.1	Would the proposed project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions? <i>For example, development projects located within a floodplain or landslide prone area.</i>	No
7.2	Will the project result in increased health risks as a result of a change in living and working conditions? In particular, will it have the potential to lead to an increase in HIV/AIDS infection?	No
7.3	Will the proposed project require additional health services including testing?	No
3. Socio-Economics		
8.1	Is the proposed project likely to have impacts that could affect women's and men's ability to use, develop and protect natural resources and other natural capital assets? <i>For example, activities that could lead to natural resources degradation or depletion in</i>	No

TABLE A.1 ADDITIONAL SCREENING QUESTIONS TO DETERMINE THE NEED AND POSSIBLE EXTENT OF FURTHER ENVIRONMENTAL AND SOCIAL REVIEW AND MANAGEMENT	
	<i>communities who depend on these resources for their development, livelihoods, and well-being?</i>
8.2	Is the proposed project likely to significantly affect land tenure arrangements and/or traditional cultural ownership patterns? No
8.3	Is the proposed project likely to negatively affect the income levels or employment opportunities of vulnerable groups? No
9.	Cumulative and/or Secondary Impacts Answer (Yes/No/ Not Applicable)
9.1	Is the proposed project location subject to currently approved land use plans (e.g. roads, settlements) which could affect the environmental and social sustainability of the project? <i>For example, future plans for urban growth, industrial development, transportation infrastructure, etc.</i> No
9.2	Would the proposed project result in secondary or consequential development which could lead to environmental and social effects, or would it have potential to generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested land will generate direct environmental and social impacts through the cutting of forest and earthworks associated with construction and potential relocation of inhabitants. These are direct impacts. In addition, however, the new road would likely also bring new commercial and domestic development (houses, shops, businesses). In turn, these will generate indirect impacts. (Sometimes these are termed "secondary" or "consequential" impacts). Or if there are similar developments planned in the same forested area then cumulative impacts need to be considered.</i> No

ANNEX A.2: ENVIRONMENTAL AND SOCIAL SCREENING SUMMARY

(to be filled in after Annex A.1 has been completed)

Name of Proposed Project: Development and production of natural dyes in the Chocó Region of Colombia for the food, cosmetics and personal care industries under the provisions of the Nagoya Protocol

A. Environmental and Social Screening Outcome

Select from the following:

- Category 1. No further action is needed
- Category 2. Further review and management is needed. There are possible environmental and social benefits, impacts, and/or risks associated with the project (or specific project component), but these are predominantly indirect or very long-term and so extremely difficult or impossible to directly identify and assess.
- Category 3. Further review and management is needed, and it is possible to identify these with a reasonable degree of certainty. If Category 3, select one or more of the following sub-categories:
- Category 3a: Impacts and risks are limited in scale and can be identified with a reasonable degree of certainty and can often be handled through application of standard best practice, but require some minimal or targeted further review and assessment to identify and evaluate whether there is a need for a full environmental and social assessment (in which case the project would move to Category 3b).
- Category 3b: Impacts and risks may well be significant, and so full environmental and social assessment is required. In these cases, a scoping exercise will need to be conducted to identify the level and approach of assessment that is most appropriate.

B. Environmental and Social Issues (for projects requiring further environmental and social review and management)

In this section, you should list the key potential environmental and social issues raised by this project. This might include both environmental and social opportunities that could be seized on to strengthen the project, as well as risks that need to be managed. You should use the answers you provided in Table 4.1 as the basis for this summary, as well as any further review and management that is conducted.

The objective of the project is to put into practice the provisions of the Nagoya Protocol; this instrument aims for the fair and equitable benefit-sharing arising from the utilization of genetic resources, through appropriate access to genetic resources and appropriate transfer of relevant technologies, taking into account all rights over those resources and technologies, and through appropriate funding, thereby contributing to the conservation of biological diversity and the sustainable use of its components. Thus, the project is expected –and designed– to generate positive environmental and social impacts.

The project takes advantage of an abundant biological resource (Genipa americana fruit) in an area with high-biodiversity (Chocó), to add value to the resource and generate income for the local afro-Colombian communities. The fruits harvested are not extracted directly from the forest, but from agroforestry plots managed by peasants. The overall project contributes to the sustainable management of the Chocó bioregion and the improvement of the locals. It will have positive direct impacts on biodiversity and natural resources, social equity and equality, and socioeconomic issues. If any, it might also deliver positive indirect impacts on climate change (avoided deforestation) and demographics (avoided

displacement/resettlement). Lastly, there are no identified impacts on pollution, cultural factors, health and safety.

Particular outputs/activities that represent opportunities to achieve these positive environmental and social impacts are:

- Updated management plan for *G. americana*
- Producers educated and certified by the SENA in School of Forestry
- Development of a color, derived from *G. americana*
- Just and equitable distribution of the benefits and the compensations generated through the commercialization of the color
- Review and improvement of the case study in light of the provisions of the Nagoya Protocol
- Tracking system to monitor and report advances on agreements with communities and results of the project.
- A policy on ABS that defines in a transparent way the distribution of benefits generated from the access to the genetic resource in Colombia

Regarding question 4.4.4. in particular, the project will have variable impacts on ethnic groups, as most of the population in the implementation area is afro-Colombian, and has a strong traditional, ethnic identity. As explained in section 1.6 of the Project Document, these communities are organized in Local Community Councils and in turn the local councils make up a larger organization, COCOMACIA. Both local individuals and COCOMACIA as an organization have been involved in the development of the *G. americana* value chain, and are active parts in the implementation of the project. Resistance to the project in local communities is indeed identified as a potential risk; however, the level has been determined as low. To mitigate this risk, project partners will reiterate the commitments undertaken in the prior consultation process with the communities and socialization of agreements, and will permanently communicate project objectives and advances to the community to foster understanding of the community's role and the potential benefits of the project.

C. Next Steps (for projects requiring further environmental and social review and management):

In this section, you should summarize actions that will be taken to deal with the above-listed issues. If your project has Category 2 or 3 components, then appropriate next steps will likely involve further environmental and social review and management,

and the outcomes of this work should also be summarized here. Relevant guidance should be obtained from Section 7 for Category 2, and Section 8 for Category 3.

From 3.1.1. SUMMARY OF UPSTREAM PLANNING PROCESSES

The final component of the project (Component 4, Increase in national and regional capacity in ABS through negotiating and monitoring benefit-sharing agreements) aims to build greater capacities within the Colombian government and its environmental authorities and institutions to work on access to genetic resources and distribute associated benefits. The activities of the component include creating a standard for the distribution of benefits from use of genetic resources, through a policy that can be delivered as a resolution or decree. Because of its nature, the policy is expected to generate positive environmental and social impacts. Specifically, the project will fund the drafting of the policy, its consultation and validation.

From 4.4.4. VARIABLE IMPACTS ON ETHNIC GROUPS

As explained above, the population in the intervention area has a strong ethnic identity as afro-Colombians. In order to guarantee the achievement of the project goals, all of which have positive social effects, the communities have been involved in the development of this project.

The project also involves organizations that have a long history of work in the area, with the same communities that will be intervened by the project. The presence and the ongoing work of Espavé Foundation for almost 20 years in the region of Middle Atrato has created ties of trust with the locals. A significant result of this work is the joint creation of a forest products trading company, Bosque Humedo Biodiverso (BHB); as per the statutes of the company and the informal agreements already in place amongst stakeholders, BHB stock structure aims for the final owners to be COCOMACIA, Espavé Foundation, regional investors and local producers, in equal proportions per group. However, the equity ratio is not equal to the distribution of profits, and goes in favor of local producers of non-timber forest products. This profit distribution enhances the long-term impact of the project, once the operation of BHB becomes profitable.

Previous consultation minutes and Ecoflora-COCOMACIA agreement have been annexed to the Project Document.

D. Sign Off

Project Manager

Date

PAC

Date

Programme Manager

f. Hemen O.

Date

Sep 27.