

Annex [#]. Social and Environmental Screening Template

The completed template, which constitutes the Social and Environmental Screening Report, must be included as an annex to the Project Document. Please refer to the [Social and Environmental Screening Procedure](#) for guidance on how to answer the 6 questions.]

Project Information

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1. Project Title	Strengthening the resilience of multiple-use protected areas to deliver multiple global environmental benefits
2. Project Number	PIMS # 5125
3. Location (Global/Region/Country)	Nicaragua

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
<p>The project will result in socioeconomic benefits will consist of the following: a) social empowerment of men and women through participation in the development and implementation of multiple-use protected areas (MUPA) management plans and collaborative agreements for shared management; b) raising awareness and environmental education about the value of biodiversity and ecosystem services and training of local communities in the conservation and sustainable use of biodiversity and natural resources; c) improved food security and income for local communities through the implementation of sustainable production practices (e.g., agroforestry and silvopastoral systems) in MUPA buffer zones and production landscapes outside MUPAs; and d) improved ecological services that will result in improved soil productivity, stable water flows, and sustainable forest resources for household needs, among other services. The project’s monitoring activities will include indicators for monitoring the environmental and social benefits.</p> <p>Many of the local communities that will participate in the project are considered poor and practice small-scale production activities (mainly subsistence agriculture and cattle ranching); the project’s benefits will contribute to improving their livelihoods equally.</p>
Briefly describe in the space below how the Project is likely to improve gender equality and women’s empowerment
<p>Women will be an essential part of the development and implementation of MUPA management plans. Additionally, women will be the beneficiaries of training activities for the conservation and sustainable use of biodiversity and forest resources. Women who are small landowners will benefit from the implementation of sustainable production practices and will be beneficiaries of capacity-building and technical assistance to be provided by the project for SFM and SLM. Additionally, women will be among the local beneficiaries of performance-based compensations as part of the GEF-funded ENDE-REDD+ pilot project, including production inputs or plant material, technical assistance and training, and the cost of monitoring and follow-up, among other non-monetary benefits. The safeguards that will be applied to ensure the empowerment of women include annual project monitoring and evaluation activities with the participation of gender specialists and social scientists from the UNDP country office, as well as mid-term and final</p>

project evaluations. Due to the independent nature of these evaluations, they will be the key moments during the project's life when women can freely express their views and concerns regarding their participation in the project.

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


- The project will support sustainable production practices to prevent deforestation in the buffer zones of 12 MUPAs. These actions will promote ecological connectivity between these forested areas, core conservation zones of MUPAs, and forest patches outside of the MUPAs. All project activities in buffer zones will be carried out in accordance with the provisions of the management plan of each MUPA and Nicaraguan regulations regarding sustainable production activities in PA buffer zones.
- The project will result in the rehabilitation of already modified habitats, degraded and deforested areas of tropical dry forests, and humid forest through natural regeneration, sustainable forest management (SFM), and sustainable agroforestry and silvopastoral systems.
- The project will reduce GHG emissions and promote carbon (C) sequestration through a GEF-funded National Strategy for Avoided Deforestation (ENDE)-REDD+ pilot project for the protection, conservation, and sustainable use of 30,000 hectares of humid forest in north-central Nicaragua. After 5 years, the project will result in avoided emissions from deforestation on the order of 203,046 tCO₂-e.
- The project's activities for the mitigation of climate change, as well as SFM and sustainable land management (SLM), will lead to an increase in forest cover and healthier forests (e.g., diversity of age groups and increased strength for regeneration) that will make them more resistant to climate change. In addition, there will be increased protection of the soil and water regulation that will generate stable microclimatic conditions with benefits for their associated species and forests, as well as a reduction of vulnerability of the human populations to climate change, drought, and desertification. The project will restore C stocks of dry forest and humid forest on the order of 50,701.5 tCO₂-e and 297,206 tCO₂-e, respectively, over a 5-year period.

Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “Yes” responses).</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 6</i>			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: Project activities are proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas	I = 1 P = 1	Low		The project will support sustainable production practices to prevent deforestation in the buffer zones of 12 MUPAs. These actions will promote ecological connectivity between these forested areas, core conservation zones of MUPAs, and forest patches outside of the MUPAs. All project activities in buffer zones will be carried out in accordance with the provisions of the management plan of each MUPA and Nicaraguan regulations regarding sustainable production activities in PA buffer zones.
Risk 2:				

Risk 3:			
Risk 4:	I = P =		
[add additional rows as needed]			
QUESTION 4: What is the overall Project risk categorization?			
Select one (see SESP for guidance)			Comments
<i>Low Risk</i>	<input checked="" type="checkbox"/>	The projects will include activities with minimal or no risks of adverse social or environmental impacts.	
<i>Moderate Risk</i>	<input type="checkbox"/>		
<i>High Risk</i>	<input type="checkbox"/>		
QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?			
Check all that apply			Comments
<i>Principle 1: Human Rights</i>	<input type="checkbox"/>		
<i>Principle 2: Gender Equality and Women's Empowerment</i>	<input type="checkbox"/>		
1. Biodiversity Conservation and Natural Resource Management	<input checked="" type="checkbox"/>	The project will support sustainable production practices to prevent deforestation in the buffer zones of 12 MUPAs with minimal or no risks of adverse environmental impacts	
2. Climate Change Mitigation and Adaptation	<input type="checkbox"/>		
3. Community Health, Safety and Working Conditions	<input type="checkbox"/>		
4. Cultural Heritage	<input type="checkbox"/>		
5. Displacement and Resettlement	<input type="checkbox"/>		
6. Indigenous Peoples	<input type="checkbox"/>		
7. Pollution Prevention and Resource Efficiency	<input type="checkbox"/>		

Final Sign Off

Signature	Date	Description
QA Assessor  María Fernanda Sánchez	10-Feb-2015	UNDP staff member responsible for the Project, typically a UNDP Programme Officer. Final signature confirms they have "checked" to ensure that the SESP is adequately conducted.

QA Approver		UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have “cleared” the SESP prior to submittal to the PAC.
PAC Chair		UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.

SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks		
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?	NO
2.	Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? ¹	NO
3.	Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	NO
4.	Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	NO
5.	Are there measures or mechanisms in place to respond to local community grievances?	NO
6.	Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	NO
7.	Is there a risk that rights-holders do not have the capacity to claim their rights?	NO
8.	Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	NO
9.	Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	NO
Principle 2: Gender Equality and Women's Empowerment		
1.	Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	NO
2.	Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	NO
3.	Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?	NO
3.	Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? <i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</i>	NO
Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below		
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management		
1.1	Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical	NO

¹ Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

	habitats) and/or ecosystems and ecosystem services? <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	
1.2	Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	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)	NO
1.4	Would Project activities pose risks to endangered species?	NO
1.5	Would the Project pose a risk of introducing invasive alien species?	NO
1.6	Does the Project involve harvesting of natural forests, plantation development, or reforestation?	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? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	NO
1.9	Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	NO
1.10	Would the Project generate potential adverse transboundary or global environmental concerns?	NO
1.11	Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i>	NO
Standard 2: Climate Change Mitigation and Adaptation		
2.1	Will the proposed Project result in significant ² greenhouse gas emissions or may exacerbate climate change?	NO
2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	NO
2.3	Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)? <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	NO
Standard 3: Community Health, Safety and Working Conditions		
3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	NO
3.2	Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during	NO

² In regards to CO₂, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

	construction and operation)?	
3.3	Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	NO
3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	NO
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	NO
3.6	Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	NO
3.7	Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	NO
3.8	Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?	NO
3.9	Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	NO
Standard 4: Cultural Heritage		
4.1	Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	NO
4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	NO
Standard 5: Displacement and Resettlement		
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	NO
5.2	Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	NO
5.3	Is there a risk that the Project would lead to forced evictions? ³	NO
5.4	Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	NO
Standard 6: Indigenous Peoples		
6.1	Are indigenous peoples present in the Project area (including Project area of influence)?	NO
6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	NO
6.3	Would the proposed Project potentially affect the rights, lands and territories of indigenous peoples (regardless of whether Indigenous Peoples possess the legal titles to such areas)?	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?	NO

³ Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

6.4	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	NO
6.5	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
6.6	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	NO
6.7	Would the Project potentially affect the traditional livelihoods, physical and cultural survival of indigenous peoples?	NO
6.8	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	NO
Standard 7: Pollution Prevention and Resource Efficiency		
7.1	Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	NO
7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	NO
7.3	Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs? <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i>	NO
7.4	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	NO
7.5	Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	NO