

UNDP Social and Environmental Screening (SESP) for Costa Rica RBPs Project

Project Information

Project Information	
1. Project Title	Costa Rica REDD+ Result-Based Payments
2. Project Number	6447
3. Location (Global/Region/Country)	National- Costa Rica

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

QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?

Briefly describe in the space below how the Project mainstreams the human-rights based approach

The project is being conducted in the context of a substantial legal and policy framework that strives to protect, promote and respect human rights constitutionally, via numerous international agreements and instruments to which Costa Rica's a party, and a host of national laws relevant to resource management, conservation, sustainable economic development, and the enjoyment of fundamental rights and freedoms. Costa Rica has led and been involved in the creation of international rights standards. It is signatory to, and has ratified, many international treaties regarding rights, including the 1948 United Nations Declaration on Human Rights. According to international comparative analysis¹, Costa Rica scored above the world mean for human rights, achieving top global rankings. Its poverty levels sit at 18.6%, one of the lowest in the Latin American region.

The RBP Project proposes activities that seek not just to conserve the environment by strengthening and expanding a proven system to provide incentives to conserve forests, Payment for Environmental Services (PES), but also the well-being of those who live in and depend on the nation's forests and other critical habitats for their livelihoods and/or their cultural identity. Because the proposed RBP activities envision activities in indigenous lands (via expansion of the PES system with a special program for indigenous peoples designed responding to IP demands and in full consultation with them), the overall project risk has been rated as Moderate. The project design and intended implementation, however, is fundamentally based on partnerships and previous agreements with all stakeholders (public and private (including these indigenous peoples and local communities)), as well as meaningful, effective, inclusive and *voluntary* participation of these stakeholders (and where required, the free prior and informed consent of these collectives). The voluntary nature of the RBP Project activities and the PES, the multi-stakeholder participation in the PES and national REDD+ strategy design, the project's applicable legal and policy framework,

¹ [Human rights and Confrontation in Central America 2010-2011](#); Regional Human Rights Monitoring and Analysis Team in Central America.

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and the mitigation measures already in place and those to be added in accordance with the ESMF – all will work together to ensure not only that risks of human rights impacts are minimal, but also that opportunities to advance the enjoyment of these rights will be seized.

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

The project builds on the existing Gender analysis and aims to implement the [Gender Action plan](#) that was developed for the National REDD+ Strategy through the activities that will be implemented by FONAFIFO. The gender plan's scope is Costa Rica's National REDD+ Strategy, which is broader and includes all the activities of this project.

Between 2017 and 2019, FONAFIFO's REDD + Secretariat carried out the first analysis of the country's situation in terms of forests, gender and climate change mitigation, which included field visits, case studies, analysis of inequalities, opportunities, challenges and lessons learned, as well as the analysis of regulatory, institutional, academic and social framework related to gender relevant to REDD +. The Gender Action Plan was built upon this information. To elaborate these actions, the gender considerations relevant to each of the REDD+ strategy policies and measures and their implementation plan were analyzed, in order to ensure that the expected results are not only concrete and realizable, but that they recognize gender roles and address the gaps they face Costa Rican women and how they contribute to the conservation and sustainable management of forests.

Since 2015, Costa Rica leads the gender negotiations within the UNFCCC and is one of the managers of the Gender Action Plan for this Convention. This commitment translates into national policies, where the NDC of Costa Rica recognizes that the country is in favor of a transformational gender approach in public climate management and supports the participation of women in the definition of policies and the implementation of actions climatic The Gender Action Plan for EN-REDD + is the first gender action plan that the country develops in climate matters and is an important step that contributes to the commitment made by the country in its NDC. Likewise, this action plan reaffirms Costa Rica's commitment to human rights and gender equality, and shows how a country can implement its gender sensitive climate policies through a gender responsive climate strategy. Finally, the EN-REDD's Gender Action Plan is not just an instrument of compliance, it is a proposal of concrete and novel social and environmental transformation, based on the reality, needs and priorities of women and men who day by day as they contribute to the true conservation and sustainable management of Costa Rican forests.

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

Costa Rica is a country with a stable democracy, strong public institutions, and considerable own resources; its UNDAF (2018-2022) has been framed in the context of the 2030 Sustainable Development Agenda, and is more ambitious, holistic and focused on human rights, as well as the transition to a high-income country. This project fully aligns with the principles and UNDAF's approach, and directly contributes to its strategic priorities 2 and 3 (Strengthen capacities of institutions for innovation, efficiency and effectiveness of public management, in order to accelerate compliance SDGs in the framework of national priorities for sustainable development, and Strengthen capacities of the population to participate and enforce rights in order to accelerate compliance with the SDGs).

The project intends to result in improved access and coverage of a proven and successful system for providing Payments for Environmental Services, that has two innovative modalities: a special program for indigenous peoples designed responding to their demand and in full consultation with their Assemblies (IP PES), and a program to promote agroforestry systems (SAF PES), that is focus on improving livelihoods of rural inhabitants, and breaching gender gaps; as well as in strengthened environmental management capacities of country partners in relation to control forest fires and illegal logging activities in protected areas.

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The expansion of the PES system in particular under the IP and SAF modalities will allow to improve livelihoods and reduce poverty in vulnerable populations, and contribute to reducing gender existing gender gaps. By strengthening capacities and actions to reduce threats to protected areas, and by expanding incentives to promote forest conservation, and reforestation via agroforestry systems, the project will directly contribute to enhance natural resource conservation in Costa Rica.

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). 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.</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: Human rights. Personnel involved in the implementation of the project and beneficiaries (duty-bearers and right holders) lack full capacity and updated training on national legislation and best-practices under international legislation related to Human Rights which can limit meeting their obligations in the implementation of the project activities.	I = 2 P = 2	Low	Costa Rica has a strong legal and institutional framework for upholding human rights as stated in its constitution. These include the right of access to justice. In addition, Costa Rica, when proclaiming the Rule of Law, submits the authority and its citizens to the supremacy of the Constitution, guaranteeing the subjection of public powers to the legal order and guaranteeing the effectiveness of all human rights. To ensure, precisely this obedience to the Constitution, bodies and laws have been	Existing capacity building and information mechanisms for personnel and beneficiaries of the PES schemes, as well as SINAC’s personnel involved in forest prevention activities will be reviewed and reinforced including a chapter on human-rights related issues. Training and capacity building will be included and budgeted for in the project document. A stakeholder engagement plan will be developed, building on the existing one that was prepared in the context of the implementation of the REDD+ National Strategy. The ESMF will outline how the existing Stakeholder Engagement plan will be used and elaborated and

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			<p>created, such as the Constitutional Jurisdiction Law and the Constitutional Chamber whose objective is “to guarantee the supremacy of the constitutional norms and principles and of the International or Community Law in force in the Republic ...”(Art. 1, LIC).</p> <p>The project will build on existing mechanisms by FONAFIFO regarding the PES schemes, which has already capacity building programs to ensure that both duty bearers and rights-holders have the capacities and understanding of the PES, their rights and obligations in relation to human-rights.</p> <p>On the other hand, low capacities of stakeholders and knowledge regarding how the activities aimed to strengthen monitoring and control of forest fires and illegal logging in protected areas, work, could potentially affect human-right related matters.</p>	<p>applied in the context of this project, in line with UNDP’s SES.</p> <p>FONAFIFO has an Grievance mechanism already in place called the Information, Feedback and inconformities Mechanism “MIRI” (Acronym in Spanish) this addresses and responds to grievances related to the implementation of the PES scheme.</p>
<p>Risk 2: Adverse impacts on gender equality and/or the situation of women and girls.</p> <p>The PES scheme under its three modalities to be strengthened and expanded by the project could potentially reproduce existing discrimination against women. The project could 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 benefits.</p>	<p>I = 3 P = 4</p>	<p>Moderate</p>	<p>Access to the traditional PES scheme in Costa Rica is granted based on land-tenure rights. Given that 84.3% of land is owned by men, 15% of farms are owned by women, and most of them are small farmers (under 10ha), where only 8% receives technical assistance and training. The project could reproduce existing discrimination against women, especially regarding participation in design and implementation or</p>	<p>The first mitigation measure will be to implement the Gender Action Plan (2018) for the implementation of Costa Rica’s National REDD+ Strategy, which encompasses the implementation of all the project activities (3 out of 5 of the REDD+ policies and measures). The Gender Action Plan includes carrying out a review the PES modalities and requirements to address the barriers related to land-tenure rights that limit the participation of women.</p> <p>In addition, and given that from the three PES modalities, the PES for agroforestry system (SAF PES) is</p>

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			access to opportunities and benefits of the project. Similarly, PES in indigenous territories, would risk to generate unequal distribution of benefits, negatively affecting women.	<p>the most conducive to empower women participation, expansion this modality will be prioritized.</p> <p>The project will elaborate a targeted gender assessment for its activities following the provisions of the gender action plan Gender Action Plan that will identify additional Gender-responsive Actions and indicators to ensure that the PES addresses the GAP's proposed measures in the updated operations manual to ensure that conditions to access PES scheme are diversified and include gender-sensitive elements to ensure that women can benefit from PES benefits without the requirement of land titles.</p>
<p>Risk 3: Biodiversity Conservation and Sustainable Natural Resource Management.</p> <p>Small scale and limited habitat degradation and fragmentation could potentially occur during the establishment of firebreaks in forested areas around legally protected areas, and maintenance of roads to access the areas.</p>	<p>I = 2 P = 2</p>	Low	<p>Outcome 2 of the project focuses on strengthening forest-fires prevention and control of illegal logging activities around protected areas. Activities focus mainly in strengthening capacities for monitoring and implementing an early warning system, but also include activities on the ground, in particular the establishment of firebreaks in forested areas around protected areas, that are previously identified as high-risk for forest fires. These activities could potentially have limited impacts on habitat degradation and fragmentation. However, is important to note that the potential benefits to biodiversity conservation inside protected areas were fires are prevented, would largely outgrow the negative impact of the mitigation measures itself.</p>	<p>During project implementation, the forest fires early-warning system (currently under development) will be implemented to support timely decision making on specific sites where firebreaks should be established as well as trails to access remote areas to control potential fires. The system will also facilitate response at the national level during the dry season. This will allow to limit to the minimum possible the negative impacts of establishing the firebreaks.</p> <p>Statistics regarding areas more prone to forest fires, on recurrent fires and that recently presented forest fires will be used to plan adequate responses: different type of firebreaks and others seeking for cost-efficient measures that require low-maintenance as well as the adequate amount. Natural regeneration of forest areas affected by fires is the main activity that should lead to forest recovery in the mid & long term.</p>

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			<p>When establishing fire breaks in Costa Rica, two main actions are implemented; i) permanent prevention fire breaks; establishment of new fire breaks, and maintenance of previously established (trails, river banks, breaks, depressions in mountains etc.) ii) defense lines that are established during the fire as control measures, they are opened depending on each fire, its strength, winds, geography of affected area, etc. they remove all vegetation in an area (except large trees) to stop the fire. Once fires are controlled, there is room for mitigation actions and forest recovery actions in the areas affected by the fire and where forest was cut to prevent it from spreading. The main restoration activity is natural regeneration of the affected areas.</p>	
<p>Risk 4: Biodiversity Conservation and Sustainable Natural Resource Management.</p> <p>Potential negative impacts to biodiversity due to planting of exotic species (<i>Melina</i> and <i>Teca</i>) in non-forest areas for timber production under the PES modality for agroforestry systems (SAF PES).</p>	<p>I: 2 P:2</p>	<p>Low</p>	<p>The PES modality focused in agroforestry systems, is open for including planting of both native and some selected exotic species (<i>Melina</i> and <i>Teca</i> that are well adapted to Costa Rica's Ecosystems, climate & soils) for timber production (only in areas classified as non-forested areas). Timber species can be harvested for additional income generation. Exotic timber species could be affected by disease that could potentially negatively affect biodiversity in surrounding areas.</p>	<p>Existing monitoring protocols for the PES system (including SAF PES) include verification of: planting of trees only in designated, suitable areas, species planted in accordance to the implementation plan of the PES, and the status of the plantations. SAF PES participants also receive training and capacity-building on best-practices and regulations for establishing the agroforestry systems.</p> <p>The project document will include strengthening and expanding capacity building activities to producers and forest officers in charge of monitoring, as well as direct technical support to producers, in a gender-responsive manner, to ensure that the Agroforestry Systems are</p>

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				implemented following best-practices and do not result in negative impacts to biodiversity and natural habitats. Training will include specific references of consequences of breaking regulations specified in the PES's implementation plans.
Risk 5: Risk of economic displacement of farmers and communities associated with commitments under PES agreements could potentially restrict the use of forests and their livelihoods, as well as customary rights to land in indigenous lands.	I: 3 P: 2	Low	Voluntary PES agreements consist on a commitment to either conserve existing forests with individually or community-owned private lands (Conservation PES) or to establish an agroforestry system in non-forested individually or community-owned private lands. Despite the voluntary nature of the PES scheme, some farmers or community members may be restricted in their use of forests as a consequence of the agreement.	<p>In Costa Rica land-use change is forbidden by law, therefore individual and communal land-owners can't change use of lands even without PES agreements.</p> <p>In all PES agreements FONAFIFO and landowners need to agree on what actions and uses are allowed under the PES contracts. New contracts need to be clear on which activities are allowed in their lands and that will be evaluated to condition payments. Under PES contracts, 2% of the areas under contract can be used for subsistence agricultural production.</p> <p>During project implementation capacity building to PES participants on the conditions and limitations with potential implications on land and resource use would be included. In addition, the revised operation manual of the PES will include provisions to ensure full disclosure of limitations and process for reaching agreements on the activities that are allowed in areas under PES.</p>
Risk 6: Climate change mitigation and adaptation. Climate change is expected to increase the frequency and severity of droughts and floods in the project area, potentially impacting the project's activities before they are completed.	I: 2 P: 2	Low	The whole Central American region is considered highly vulnerable to Climate Change (increased duration and intensity of droughts floods, and hurricanes). However, it is unlikely that catastrophic events that will directly affect the project's activities would take place during implementation time-frame.	<p>Due to its high forest coverage, and institutional capacities, Costa Rica is prepared to respond to potential increasing climate change negative impacts. By strengthening and expanding forest coverage the project's outcomes directly contribute to enhance Costa Rica's resilience ('green infrastructure').</p> <p>During the development of the project, up to date vulnerability assessments performed by the National Meteorological Institute (IMN in Spanish) will be reviewed and the most vulnerable areas will be identified. Mitigation measures (I.e. strengthening early warning systems and capacities to deal with climate related emergencies) will be defined, budgeted for and included as part of the project activities.</p>

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<p>Risk 7: Community health, safety and working conditions.</p> <p>The establishment of firebreaks in previously identified fire-risk areas around protected areas to be established by the project could pose potential safety risks to local communities in the project area, some of whom are indigenous.</p> <p>Monitoring and control activities of illegal logging could pose potential safety risks to Personnel in SINAC in charge of carrying out the activities associated to the operation of vehicles in the field and their transportation.</p>	<p>I:3 P:2</p>	<p>Moderate</p>	<p>One of the project's activities related to prevention measures to control forest fires includes opening of firebreaks around previously identified fire risk around protected areas. This activity has potential safety risks to the volunteer and institutional forest firefighter brigades, that may include local community members some of whom are indigenous peoples.</p> <p>Costa Rican Roads in comparison to others in the region are generally good conditions. Nonetheless it is possible that accidents occur while travelling. Roads in the country and personnel of all government offices are trained in security protocol and the government provides life and accidents insurance for all personnel.</p>	<p>Voluntary and institutional forest-firefighter brigades participate on mandatory training and capacity building activities on security protocols that are part of the existing certification process for fire-fighters. Fire-fighters from the National Protected Area System (SINAC) and voluntary fire brigades are provided with a special insurance policy that can be used in case there are any safety-related incidents while they are operating in the ground.</p> <p>Additional training and capacity building activities on best-practices on prevention, and best safety-related practices for the forest-firefighter brigades will be designed, included, and budgeted for in the project document. Additional safety equipment will be procured by the project.</p> <p>The government will continue to provide insurance, maintenance of vehicles for the mobilization of personnel.</p> <p>The project should include an activity to provide training in best practices and updated security protocols to all personnel involved in control of illegal logging.</p>
<p>Risk 8: Cultural heritage.</p> <p>By including activities in indigenous lands, inherently the project activities could have adverse impacts on sites, structures or objects with historical, cultural, artistic, traditional or religious values.</p>	<p>I: 2 P: 2</p>	<p>Low</p>	<p>The PES for indigenous lands has been designed in full consultation with indigenous peoples and participation on it is voluntary. IP PES includes the following activities: Forest conservation, natural regeneration, and agroforestry Systems. The National Biodiversity Law, includes a chapter focused on protection of IPs traditional knowledge. A national level IPs policy is being developed in the</p>	<p>Costa Rica has a robust legal framework that allows the protection of IP rights as well as an Indigenous Peoples plan that has been developed for the national REDD+ Strategy. The plan details key risks and mitigation measures associated with cultural heritage and the implementation of each of the PAMs in the strategy, including the activities that will be supported by the Project. The plan includes provisions for IPs engagement and consultations.</p> <p>The ESMF and updated Indigenous people plan (that includes actions on cultural heritage), will incorporate the proposed risk mitigation measures to ensure they are mainstreamed in the revised operations manual for</p>

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			<p>country and will be discussed during 2019-2020.</p> <p>Nevertheless, there is a risk that payments made directly to indigenous and traditional communities will trigger a shift to a more market-integrated economy, which could lead to the loss of some traditional livelihood practices (especially those related to the sustainable extraction of forest products and fishing).</p>	<p>the PES in Indigenous territories. This includes actions carried out regarding strengthening decision making processes, capacity building on activities that the PES scheme supports and independent decisions made by IPs and stakeholders regarding how they spend resources from the PES scheme.</p>
<p>Risk 9: Indigenous peoples.</p> <p>The project could affect negatively indigenous peoples' traditional land use practices and land management by applying standard PES schemes, that include conservation agreements between the government and land owner/s. Despite the fact that such agreements are voluntary, once signed they may lead to a series of actions that limit their cosmovision and traditional use of forests. In addition, IPs have reported low capacity of the state to work on environmental and social issues that have been prioritized in their life-plans.</p>	<p>I=3 P=2</p>	<p>Moderate</p>	<p>The project will be developed in areas where there is presence of indigenous peoples with important cultural heritage, ancestral land and resource rights. Costa Rica has laws in place that guarantee IPs participation and the recognition of their rights.</p> <p>Despite the fact that IPs territories account for 7% of the country's area, Costa Rica's forest Policy does not include a chapter on IPs. The National Biodiversity Law, includes a chapter focused on protection of IPs traditional knowledge. A national level IPs policy is being developed in the country and will be discussed during 2019-2020.</p> <p>The executive Decree No. 40932 establishes the general</p>	<p>Costa Rica has a robust legal framework that allows the protection of the rights of IPs. During 2015 a full review² of the PES scheme was carried out including consultations with IPs to identify key improvements for the mechanism to ensure their interests were included in the improved PES scheme. Decree N°39871 MINAE was approved providing guidelines that led to include provisions a chapter has been developed for the operations manual for the PES scheme that establishes the agreed guidelines that resulted from the consultation process that respect IPs cosmovision. The project will build on these existing agreements and support its implementation in IPs Territories. Local indigenous counterparts responsible for articulation with the government in each IPs territory during the consultation process with IPs. These arrangements will be chosen internally of each IP community in alignment with their customary law and representation mechanisms. The project aims to support implementation of the recently designed tool the PES+ for IPs.</p>

² Results from the consultation process to fulfill FPIC for REDD+ in Costa Rica, 2019, by the REDD+ Secretariat in Costa Rica Link <http://ceniga.go.cr/wp-content/uploads/2020/02/Sistematization-of-Consultations-IPs-Costa-Rica-ENG.pdf>

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			<p>mechanism/Protocol to address consultations. The Ministry of justice and Peace and Ministry of Interior are establishing technical committees at the territorial level (CT acronym in Spanish) as the first step to implement territorial governance.</p> <p>Furthermore, the consultation mechanism requires that local consultation platforms with indigenous peoples are established as the specialized focal points pilot the Consultation protocols.</p>	<p>The updated IPs Plan developed for the whole National REDD+ Strategy, will include these considerations and will be applied during the project's implementation. To ensure this in the revision, the proposed activities in the plan will be included and budgeted for as part of the RBPs project.</p> <p>The existing IP plan will be reviewed against UNDP's SES to identify and address any gaps.</p> <p>The IP plan will be elaborated to focus on this project's scope.</p> <p>Further targeted assessment of impacts on IPs will be undertaken to inform the design of the IP component of the PES.</p> <p>A stakeholder engagement plan will be developed and will include specific procedures for engaging with IPs in the design and implementation of the new PES modality.</p> <p>The ESMF will elaborate the existing IP plan and steps for applying it in the context of this project.</p>
	QUESTION 4: What is the overall Project risk categorization?			
	Select one (see SESP for guidance)			Comments
	Low Risk	<input type="checkbox"/>		
	Moderate Risk	<input checked="" type="checkbox"/>		
	High Risk	<input type="checkbox"/>		
	QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?			

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	Check all that apply		Comments
	<i>Principle 1: Human Rights</i>	<input type="checkbox"/>	
	<i>Principle 2: Gender Equality and Women's Empowerment</i>	X	
	<i>1. Biodiversity Conservation and Natural Resource Management</i>	<input type="checkbox"/>	
	<i>2. Climate Change Mitigation and Adaptation</i>	<input type="checkbox"/>	
	<i>3. Community Health, Safety and Working Conditions</i>	X	
	<i>4. Cultural Heritage</i>	<input type="checkbox"/>	
	<i>5. Displacement and Resettlement</i>	<input type="checkbox"/>	
	<i>6. Indigenous Peoples</i>	<input type="checkbox"/>	
	<i>7. Pollution Prevention and Resource Efficiency</i>	<input type="checkbox"/>	

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Final Sign Off

<i>Signature</i>	<i>Date</i>	<i>Description</i>
QA Assessor		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? ³	Yes
3. Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	Yes
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?	Yes
5. Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	Yes
6. Is there a risk that rights-holders do not have the capacity to claim their rights?	Yes
7. Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project <u>during</u> the stakeholder engagement process?	No
8. Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	No
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?	Yes
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?	Yes
3. Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?	No
4. Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services?	No
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	

³ 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.



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1.1	Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services?	Yes
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?	yes
1.4	Would Project activities pose risks to endangered species?	No
1.5	Would the Project pose a risk of introducing invasive alien species?	No
1.6	Does the Project involve harvesting of natural forests, plantation development, or reforestation?	Yes
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?	No
1.9	Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	No
1.10	Would the Project generate potential adverse transboundary or global environmental concerns?	No
1.11	Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area?	No
Standard 2: Climate Change Mitigation and Adaptation		
2.1	Will the proposed Project result in significant ⁴ greenhouse gas emissions or may exacerbate climate change?	No
2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	Yes
2.3	Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)?	No
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?	Yes
3.2	Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	No
3.3	Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	No
3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	No

⁴ In regards to CO₂, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources).



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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)?	Yes
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)?	Yes
5.3	Is there a risk that the Project would lead to forced evictions? ⁵	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)?	Yes
6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	Yes
6.3	Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)?	Yes

⁵ 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.



Annex VII(a) Social and Environmental Screening (SESP) for Costa Rica RBPs Project

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
6.5	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.6	Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	No
6.7	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	No
6.8	Would the Project potentially affect the physical and cultural survival of indigenous peoples?	No
6.9	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	No
Standard 7: Pollution Prevention and Resource Efficiency		
7.1	Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	No
7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	No
7.3	Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs?	No
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

While it's considered that Cancun safeguards (f) and (g) are implicitly captured in the UNDP Social and Environmental Standards and Policies (See [Demonstrating Consistency: UNDP Social and Environmental Standards and Policies and UNFCCC Cancun Safeguards](#), 1 June 2016), it is important to consider these Cancun safeguards separately in the SESP and ESMP because they: 1) are not explicitly referenced in the UNDP standards; 2) are unique, assumed risks for forest and land use; and 3) should be reflected separately in the national reporting of the SIS/SOI.

Cancun safeguard (f) – Address the risk of reversals	
Does the scope of the project include conservation, sustainable management of forests, and/or enhancement activities?	Yes
Are C stocks conserved, enhanced, managed through the project activities likely to be vulnerable to: climate change (e.g., more frequent drought, flooding, Wildfire? Institutional failure?	Yes
Cancun safeguard (g) – Reduce displacement of emissions	
Is the scale of the project subnational?	No
Does the scope of the project include less than all 5 REDD+ activities?	No
Are any project activities likely to result in displacement of land-use change at the local level? Within national borders?	No