

SOCIAL AND ENVIRONMENTAL PRE-SCREENING FOR PIF STAGE

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

Project Information

- | | |
|-------------------------------------|--|
| 1. Project Title | Ridge to Reef: Integrated Protected Area Land and Seascape Management in Tanintharyi |
| 2. Project Number | PIMS 5427 |
| 3. Location (Global/Region/Country) | Myanmar |

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 will be implemented in line with the UNDP Country Programme Action Plan between the Government of Myanmar and UNDP under UNDP's Direct Implementation Modality (i.e. PMU staff will be contracted by and report to the UNDP Country Office. As such, implementation will follow UNDP standards with respect to human rights and all aspects of implementation will be subject to UNDP oversight. Implementation will also abide by the new national Constitution that was adopted in May 2008, which is more specific in providing for basic principles of democracy and the rule of law and human rights although some of the principles laid out in this Constitution have yet to be fully reflected in the laws, regulations and policies currently in place. The President has set out a reform agenda focusing on good governance and ensuring fundamental rights.

The project design seeks to uphold human rights and implement a human rights based approach in its delivery of goods and services. During the design of the project interventions, UNDP as the IA for the project ensured participatory process focusing on strengthening capacity of the duty bearers to meet their obligations and the right holders to claim their rights. The project stakeholders at the national, regional, district and community levels were fully consulted to design interventions that are inclusive, promote ownership and are environmentally sustainable. The project gives special attention to vulnerable and marginalized groups, including the ethnic minorities living within the targeted landscapes. This has included consultation with a wide range of stakeholders at all levels during project preparation, including representatives of communities in the project landscapes as documented in **Annex 13**.

At a broad level, participation and representation of stakeholders will be conducted through the governance structures put in place by the project as outlined and depicted in the organogram in the Governance and Management Arrangements section, and through the existing governance structures at national, regional and local levels (e.g. national government ministries and departments, regional government agencies (eg forestry, fisheries), PA management authorities, and district and township administrations. Stakeholders will be consulted and engaged throughout the project implementation phase to: (i) promote understanding of the project's outcomes; (ii) promote stakeholder ownership of the project through engagement in planning, implementation and monitoring of the project interventions; (iii) communication to the public in a consistent, supportive and effective manner; and (iv) maximisation of linkage and synergy with other ongoing projects. Specific means of engagement with communities are described in the stakeholder engagement section for each project component. These include small grants disbursed for sustainable livelihoods in component 2, and the operation of a Stakeholder Forum to provide a mechanism for sharing views and experiences in component 3. By focusing on both practical and strategic gender needs and priorities, the project addresses the needs of both men and women consistent with non-discrimination and equal human-rights principle. To promote the legality and accountability of any adverse project impacts, existing formal and informal grievance redress mechanisms will be adopted at the local and regional levels and brought to the attention of the Project Board.

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

In order to achieve gender mainstreaming in this project, consultations and assessments during project preparation obtained gender disaggregated information on resource use and conservation, and social and economic background information on women's perspectives and the realities of life in their communities, for example where Female Headed Households (due to bereavement, drug and alcohol abuse, etc) are significantly more vulnerable than Male Headed Households. This is described in detail in **Annex 14**.

The project aims to ensure equal participation of men and women so as to fully take into account the different perspectives, priorities and socio-economic realities that women and men face. Project implementation will proactively seek equal participation of women for planning and decision making among the key stakeholders, including regional and local government agencies and local communities. Project design pertaining to institutional strengthening and capacity building will ensure target trainees will include both sexes and institutional development will mainstream gender in the institutional system and decision making mechanisms. Gender disaggregated targets and baselines have been included as part of the project monitoring plan. See **Table 5** for proposed actions to mainstream gender into the projects outputs and activities. Overall, the project will integrate gender equality and a social inclusion perspective in programme/project planning and implementation. This is to ensure equal participation of both women and men and people from different economic and social backgrounds in project planning and decision making, in order to make certain that neither of the groups is disadvantaged by the project activities and will derive equal benefits from the project activities.

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

This objective of this project is to secure the long-term protection of Key Biodiversity Areas through integrated planning and management of the protected area land/seascape in *Tanintharyi*. As such, its impacts on biodiversity and environmental sustainability are expected to be overwhelmingly positive, through measures including capacity development of the regional government and local communities, development of CBRNM and community conserved areas, and participation in protected area management. The project will also work with sectoral agencies and resource users to develop sustainable land use plans and resource management within the project landscapes, with an emphasis on integrated landscape and seascape management supported by enhanced information on biodiversity status and landuse / land cover maps. Overall, the project will assist Myanmar to meet its commitments under the CBD and Ramsar Convention on Wetlands (including mangroves, coral reefs and shallow coastal waters).

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.
<p>Risk 1: Adverse impacts on human rights of local communities, including marginalized groups.</p>	<p>I = 3 P = 3</p>	<p>Moderate</p>	<p>The main concern expressed by the Karen National Union (KNU) is that the development of new protected areas by the project could displace people currently living in these areas, as well as inhibit the return of IDPs and settlement of refugees in such areas.</p>	<p>During the project design, specific efforts were made to meet with the KNU to discuss this issue and to find a way of working together through the project. Consequently, the KNU has been allotted a position on the Project Board, and the project has agreed not to intervene in the Tanintharyi proposed National Park area in view of KNU concerns. The project will make available a grievance mechanism, the use of which would be reported to the UNDP CO and Project Board. The overall project approach will involve consultations and engagement of all villages in the project target areas in order to obtain support and agreement for proposed project activities.</p>
<p>Risk 2: Restricted access to natural resources due to enhanced enforcement for local communities, including marginalized groups.</p>	<p>I = 3 P = 3</p>	<p>Moderate</p>	<p>Enhanced enforcement by Myanmar government agencies could restrict access to natural resources for some local people, especially for any involved in illegal activities such as poaching, illegal fishing and wildlife trade.</p>	<p>The project will support the establishment or upgrading of PAs. There will be no changes in land use rights or other new restrictions. The original dwellers/ local people who traditionally earn their living on long term plantations continue to work on them. In the past, some villages were released from PAs since they have been residing inside PA. However, the project will aim restrict/control newcomers who are looking for new land in order to clearing new plots that could destroy to forest land in order to claim ownership.</p> <p>Overall, the project will adopt a participatory and consultative approach towards the management of natural resources. It will actively promote and support through small grants the involvement of communities and local organizations in various types of CBNRM, including community forestry, community fisheries, community based tourism and participation in park management. Thus the emphasis is on strengthening the sustainability of local livelihoods rather than strict nature protection. The project aims to ensure that its activities do not restrict legal access of local people to natural resources. In addition, appropriate mitigation measures will be considered and incorporated if it is judged that project activities will curtail illegal activities which form a</p>

Risk 3. Duty-bearers do not have the capacity to meet their obligations in the Project	I = 2 P = 3	Low	The project will engage a wide range of people in various roles to implement the project activities. In some cases, it is quite possible that the responsible person has not been exposed to such project implementation procedures, reporting, accountability etc.	significant portion of local peoples' livelihoods. Capacity needs assessment of the Responsible Parties will be conducted by UNDP CO prior to submission of the proposal to GEF. Capacity development for individuals at community level will be supported through implementation processes, including training and facilitation of CBOs and Local NGOs to conduct project activities.
Risk 4. Rights-holders do not have the capacity to claim their rights	I = 3 P = 3	Moderate	Illiteracy is high among some communities (see socio-economic assessment in Annex 14) and most if not all are emerging from a long period of civil war and conflict. The political situation is changing rapidly as are national laws. There are few sources of information about current rights except for NGO networks.	Community participation processes will need to engage and train local NGO networks and CBOs that can successfully interact and educate local communities in project landscapes regarding their land tenure rights and other human rights. The Karen Development Network is one such organization that is actively engaged in human rights education work, as well as womens rights.
Risk 5. human rights concerns raised by local people regarding the Project during the stakeholder engagement process	I = 2 P = 5	Moderate	See Risk 1 above.	See Risk 1 above
Risk 6: Project activities are within or adjacent to environmentally sensitive areas including PAs.	I = 1 P = 5	Low	Most project activities will occur in KBAs, proposed protected areas and existing protected areas, but the intention is to benefit biodiversity.	The project is pro-conservation and pro-sustainability. No significant infrastructure development or other activities with high environmental impact are envisaged.
Risk 7. Harvesting of natural forests, plantation development, and reforestation	I = 1 P = 5	Low	The project will support CBNRM including community forestry and sustainable village livelihoods which involve management and rehabilitation of unprotected forest lands	The project will incentivize and create capacity for sustainable forest management at the community level through community forestry and promoting and supporting sustainable livelihood options. The aim is to secure biodiversity and ecosystem services within living and working landscapes as far as possible.
Risk 8. Production and/or harvesting of fish populations and or other aquatic species	I = 1 P = 5	Low	The project will support the management of Locally Managed Marine Areas – community based fishery resource management	Tanintharyi's fishery resources have been decimated by commercial fishing practices. The LMMA approach aims to bring resource control back to local communities with enforcement support and TA from the government. At the same time, the community gain their power and confidence about conserving their own handful of territory. This needs to be supported by a proper documentation registration process that is accepted by government (4 LMMAs have been certified by DoF). The aim is to recover stocks of locally important species for local exploitation, and to incentivize locally based protection of valuable coastal

Risk 9. Possibility of 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)	I = 3 P = 2	Low	See Risk 1 above. In addition, the project will support regional land use planning by government, informed by geospatial datasets. Both the government and the project will not seek to move any households or communities. However, certain commercial interests such as plantation companies may be affected by decisions taken by the regional government.	habitats including mangroves, seagrass beds and coral reefs. The approach to regional planning will be consultative, and in the case of local communities, participatory, handled through official local government mechanisms with TA from the project. The situation is very dynamic at present, with IDPs returning to ancestral lands sometimes to find them occupied by oil palm plantations given out by the previous government. The companies have taken some individuals to court after they felled palm trees in such areas. The government is reviewing the situation carefully. The project's role will be to ensure that best available information is provided to the regional government to assist in well informed decision making.
Risk 10. Possible effect on land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources	I = 3 P = 2	Low	See risks 1 and 9 above.	As mentioned above, the project will take a consultative and participatory approach to regional planning, conservation area development and resource management. Customary land use / rights / tenure will be fully respected by the project, and in fact the project will help to map out such claims as part of its participatory land use planning approach, in line with WCS's model Southern Forest Complex CBNRM programme in Dawei District.
Risk 11. The Project or portions of the Project will be located on lands and territories claimed by ethnic minorities	I = 1 P = 5	Low	The Moken people are an ethnic minority entirely dependent on fishing practices on the islands of the Myeik Archipelago. Also some Karen and Mon communities are forest-dwellers in the Tanintharyi Range. The project landscapes encompass some such communities.	The project will take a positive engagement strategy towards ethnic minorities / indigenous peoples within the project landscapes, and will seek to assist them in developing sustainable marine / forest resource use within the context of their own traditions and customs. Small grants schemes will be provided to such communities along with technical assistance and awareness raising. In the case of the Moken, the project will also try to facilitate action by competent parties to reduce the occupation-related drug use that is destroying families and communities.
Risk 12. The proposed Project may potentially affect the rights, lands and territories of ethnic minorities regardless of whether they possess the legal titles to such areas	I = 3 P = 2	Low	See Risk 11	See Risk 11. The project will respect the legal, traditional and customary rights of ethnic minorities / indigenous peoples within the project landscapes, and seek to be positive assistance towards them.

QUESTION 4: What is the overall Project risk categorization?

Select one (see [SESP](#) for guidance)

Comments

- Low Risk
- 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

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

Final Sign Off

<i>Signature</i>	<i>Date</i>	<i>Description</i>
QA Assessor 	1 Dec. 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.
Lat Lat Aye Team Leader (Environmental Governance & Disaster Resilience)		
QA Approver 	1 Dec. 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.
Peter Batchelor Country Director		
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?	Yes
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? ⁴	No
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?	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?	Yes
7.	Is there a risk that rights-holders do not have the capacity to claim their rights?	Yes
8.	Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	Yes
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		

⁴ 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.

1.1	Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	No
1.2	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?	Yes
1.7	Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	Yes
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 ⁵ 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

⁵ 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.]

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
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)?	Yes
5.3	Is there a risk that the Project would lead to forced evictions? ⁶	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?	Yes
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 rights, lands and territories of indigenous peoples (regardless of whether Indigenous Peoples possess the legal titles to such areas)?	Yes

⁶ 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	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
6.4	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