

**INTEGRATED SAFEGUARDS DATA SHEET  
APPRAISAL STAGE**

**Report No.: ISDSA17890**

**Date ISDS Prepared/Updated:** 06-May-2016

**I. BASIC INFORMATION**

**1. Basic Project Data**

<b>Country:</b>	Latin America	<b>Project ID:</b>	P155976
<b>Project Name:</b>	FCPF Capacity Building Program IPs (LCR) (P155976)		
<b>Task Team Leader(s):</b>	Kimberly Vilar		
<b>Estimated Appraisal Date:</b>		<b>Estimated Board Date:</b>	06-May-2016
<b>Managing Unit:</b>	GSU04	<b>Lending Instrument:</b>	Investment Project Financing
<b>Sector(s):</b>	Forestry (100%)		
<b>Theme(s):</b>	Participation and civic engagement (20%), Indigenous peoples (20%), Social Inclusion (60%)		
<b>Is this project processed under OP 8.50 (Emergency Recovery) or OP 8.00 (Rapid Response to Crises and Emergencies)?</b>			No
<b>Financing (In USD Million)</b>			
<b>Total Project Cost:</b>	0.73	<b>Total Bank Financing:</b>	0.00
<b>Financing Gap:</b>	0.00		
<b>Financing Source</b>		<b>Amount</b>	
Borrower		0.00	
Readiness Fund of the Forest Carbon Partnership Facility		0.73	
Total		0.73	
<b>Environmental Category:</b>	C - Not Required		

**2. Project Development Objective(s)**

The Project Development Objective of the Project is to strengthen: (a) targeted forest-dependent indigenous peoples' knowledge of REDD+ Readiness at the national level, and (b) related knowledge exchange at the regional level in Central and South America.

**3. Project Description**

The project will finance the following three components:  
Component 1: Capacity Building Activities (US\$314,000). Preliminary proposals for project activities have been submitted to the Bank. These were validated through a participatory process led by the grant recipient organization, Asociación Sotz'bil with regional indigenous networks. The activities are divided into the following three programs that will make up the following three

subcomponents.

- a. Sub-component 1.1. Design and implement a regional training program for indigenous leaders and negotiators on issues of REDD+ safeguards and the rights of indigenous peoples. This program would include (i) Designing a module for graduate studies on REDD+ and indigenous peoples to be developed and validated with indigenous networks; (ii) Developing a university-level diploma program on REDD+ and indigenous peoples; (iii) Developing face-to-face training materials on REDD+. All three capacity building activities will be developed and further validated with indigenous networks during preparation and implementation of the project.
- b. Sub-Component 1.2. Facilitate the construction of culturally appropriate indicators, techniques and methodologies relating to forest management by indigenous peoples. This program would develop and publish a study on culturally appropriate indicators, forest management techniques and methodologies. The study would provide qualitative and quantitative data to enhance indigenous proposals related to REDD+ in different countries.
- c. Sub-Component 1.3. Support the full and effective participation of indigenous leaders in negotiations and dialogues on REDD+ at the national and regional levels by supporting national indigenous peoples-government dialogues on REDD+ and knowledge exchange events amongst indigenous communities and organizations participating in REDD+ processes in Central and South America.

Component 2: Regional-Level Communication and Dissemination of Project Results (US\$303,400): This component will finance regional-level activities and the design and implementation of a communication strategy (at the country and regional level) to disseminate the results of the key activities carried out by the project, including the preparation of good practices and lessons learned, aimed at addressing capacity building needs of indigenous peoples at all levels so as to foster their effective engagement in REDD+. Activities under this component will finance dissemination of information, regional level network forums on REDD+, and the publication of materials (to be produced in appropriate indigenous languages, where necessary). Data on women and youth participation will be highlighted. Regional organizations and networks participating in the FCPF will be targeted. Thus, the communication strategies to be employed will draw upon existing resources, relationships, and networks, including regional learning and exchange forum to the maximum extent possible.

Component 3: Management and Administration (US\$110,209): This component will finance reasonable incremental costs incurred by Sotzꝑ( il during project implementation. Project management includes procurement, financial management, social safeguard compliance assurance, monitoring and evaluation (M&E) and reporting, and preparation of annual work plans and budgets acceptable to the World Bank. This component will also finance a single audit of the project financial statements by an external auditor and any costs related to the execution of a feedback (including grievance redress) mechanisms. M&E will take place at the project and national levels in accordance with the project results framework using information which AsociaciÃ³n Sotzꝑ( il will collect from all Component 1 recipient organizations, and self-generated data under Component 2. AsociaciÃ³n Sotzꝑ( il will synthesize the information into quarterly progress reports which it will submit to the World Bank. Sotzꝑ( il will also prepare a completion report and submit it to the Bank no later than six months after project closing.

#### **4. Project location and salient physical characteristics relevant to the safeguard analysis (if known)**

The beneficiaries of the project will be forest-dependent indigenous peoples and their representative

organizations and networks in the 16 FCPF eligible countries in the LAC Region, Argentina, Belize, ►( Chile, ►( Colombia, Costa Rica, El ►( Salvador, Guatemala, ►( Guyana, Honduras, ►( Mexico, Nicaragua, ►( Panama, Paraguay, ►( Peru, Suriname and ►( Uruguay, which will be eligible to participate in regional learning and exchange activities (under Component 2). Of the 16 countries, indigenous peoples organizations/networks from ten countries will also be eligible to participate in national or sub-regional-level activities (under Component 1), ►( Chile, ►( Colombia, Costa Rica, El ►( Salvador, Guatemala, ►( Guyana, Honduras, ►( Nicaragua, Suriname and Uruguay. These countries have been prioritized to participate in Component 1 activities for the following reasons: (i) Their respective governments have signed Readiness Grant Agreements with the FCPF, thereby allowing the project to reinforce their REDD+ Readiness efforts; (ii) They are not beneficiaries of the Global Dedicated Grant Mechanism (DGM) for Indigenous Peoples and Local Communities project of the FIP ; and (iii) most of them are countries at advanced stages to REDD+ phases, piloting Emission Reduction projects/programs.

## 5. Environmental and Social Safeguards Specialists

Kimberly Vilar (GSU04)

6. Safeguard Policies	Triggered?	Explanation (Optional)
Environmental Assessment OP/BP 4.01	No	The operational manual for the Project will not require screening and follow-up procedures for the management of potential environmental and social impacts for activities to be implemented under the Project.
Natural Habitats OP/BP 4.04	No	The fundamental purpose of the activities financed by the Project is to strengthen forest dependent indigenous peoples' organizations to contribute to their national REDD+ Readiness processes. No screening or follow up procedures will be required.
Forests OP/BP 4.36	No	Activities financed under the Project are expected to have eventual positive impacts on forest management by strengthening the capacity of forest-dependent indigenous peoples' organizations to contribute to their national REDD+ Readiness processes. Since there are no direct and/or physical impacts on forests, no screening and follow up procedures are required.
Pest Management OP 4.09	No	None of the activities supported by the Project will involve the procurement or a substantial increase in the use of pesticides or other agricultural chemicals
Physical Cultural Resources OP/BP 4.11	No	This policy is not triggered because the Project is not expected to support any activities having an adverse impact on physical cultural resources. This will further be specified in an exclusion list included in the operational manual of the project.
Indigenous Peoples OP/ BP 4.10	Yes	OP/BP 4.10 is triggered as the project directly targets indigenous peoples. Therefore this will be treated as an indigenous peoples' project and no separate Indigenous Peoples Plan will be required, as per OP 4.10. The capacity building activities to be supported were defined

		through an iterative and participatory process of dialogue that Sotz'il has led with indigenous networks. They have also mapped the project stakeholders, led the discussion on culturally appropriate indicators and methodologies and determined priority activities, over the course of the last two years, through six indigenous peoples dialogue events within the FCPF framework, as well as through self-financed internal meetings and consultations. Moreover, a planning workshop took place in November 2015 with indigenous representatives from the 17 FCPF member countries with the objective of selecting beneficiary organizations and validating activities. These mechanisms will be documented in the Project's operational manual as well as measures such as: (i) mechanisms that were used to ensure broad community support; (ii) the active participation of key stakeholders during project implementation; and (iii) access to culturally appropriate feedback (including grievance redress) mechanisms.
Involuntary Resettlement OP/BP 4.12	No	None of the activities that will be supported by the Project will involve physical displacement or resettlement. Nor will they involve the involuntary restriction of community access to natural resources in legally designated parks or protected areas.
Safety of Dams OP/BP 4.37	No	None of the activities that would be supported by the Project are expected to involve the construction or operation of new or existing dams.
Projects on International Waterways OP/BP 7.50	No	The project will not support any activity that would have adverse impacts on the efficient utilization and protection of international waterways.
Projects in Disputed Areas OP/BP 7.60	No	The project will not support activities in disputed areas.

## II. Key Safeguard Policy Issues and Their Management

### A. Summary of Key Safeguard Issues

**1. Describe any safeguard issues and impacts associated with the proposed project. Identify and describe any potential large scale, significant and/or irreversible impacts:**

The project will not have a physical footprint, as its activities will consist of training services, events and online courses. However, given that its target audience is specifically and exclusively the region's indigenous peoples, OP/BP 4.10 will be triggered. The project's operational manual and project paper will spell out (i) mechanisms to provide evidence of broad community support; (ii) the active participation of key stakeholders; and (iii) access to grievance redress mechanisms, in order for the entire grant to abide by the principles of the policy.

This classification and the approach to be followed is consistent with the Interim Guidelines on the

<p>Application of Safeguard Policies to Technical Assistance (TA) Activities in Bank-Financed Projects and Trust Funds Administered by the Bank. The project classifies as Type 1 TA: Strengthening Client Capacity, for which no safeguards instruments need to be prepared prior to Appraisal as the activities financed do not have potential adverse environmental or social implications or risks. However, during project implementation, any social and environmental impacts will be managed by: (i) ensuring that capacity building and awareness raising programs under Component 1 are consistent with the World Bank's safeguards policies and incorporate appropriate environmental and social objectives; (ii) ensuring that activities are widely consulted with the key stakeholders and have the broad support of their main beneficiaries; and (iii) promoting transparency and public information disclosure. In addition, the TA to be provided under the project provides an opportunity to build counterpart capacity for integrating environmental and social concerns into their work. In the broader context of the FCPF, activities affecting indigenous peoples are governed by the Common Approach (Revised August 9, 2012), which was designed to provide the World Bank and other FCPF Delivery Partners with a common platform for risk management and quality assurance in the REDD+ Readiness Preparation process, using the safeguards policies of the World Bank as a minimum acceptable standard. The Common Approach is available at <a href="http://forestcarbonpartnership.org/social-inclusion">http://forestcarbonpartnership.org/social-inclusion</a>.</p>
<p><b>2. Describe any potential indirect and/or long term impacts due to anticipated future activities in the project area:</b></p>
<p>N/A</p>
<p><b>3. Describe any project alternatives (if relevant) considered to help avoid or minimize adverse impacts.</b></p>
<p>N/A</p>
<p><b>4. Describe measures taken by the borrower to address safeguard policy issues. Provide an assessment of borrower capacity to plan and implement the measures described.</b></p>
<p>Sotz'il has developed a process for participatory monitoring and technical assessment in order to ensure that the rights of indigenous peoples be respected and implemented, particularly as related to free, prior and informed consent, full and effective participation, strengthening forms of self-organization, implementation and recognition of traditional knowledge that allows for responsible use, management and conservation of forests on indigenous territories and the implementation of the United Nations Declaration on the Rights of Indigenous Peoples, International Labor Organization (ILO) Convention 169 on Indigenous Peoples, and the Convention on Biological Diversity, Article 8J.</p> <p>Sotz'il has generated biocultural monitoring baselines to establish the current state of forests and biodiversity, in order to implement the systems and traditional knowledge of indigenous peoples for the restoration and conservation of ecosystems as well as sustainable management. The baselines focus on the verification of the states' compliance with commitments towards collective rights of indigenous peoples, such as the Special Rapporteur of the United Nations on the Rights of Indigenous Peoples' Committee Recommendations on the Elimination of Racial Discrimination. In this process, Sotz'il has formulated and presented alternative reports to the UN bodies, ILO, and CERD Commission.</p> <p>Specifically on conflict resolution, Sotz'il has experience developing grievance redress mechanisms at local, national and international levels based on the principles of prior, free and informed dialogue, consultation, and consent. A detailed feedback mechanism (including a grievance redress mechanism) will be detailed in the project's Operational Manual to be</p>

prepared by Sotz (il and approved by the Bank as a condition of effectiveness.

**5. Identify the key stakeholders and describe the mechanisms for consultation and disclosure on safeguard policies, with an emphasis on potentially affected people.**

As stated above, the beneficiaries of the project will be forest-dependent indigenous peoples and their representative organizations and networks in the 16 FCPF eligible countries in the LAC region: Argentina, Belize, ( Chile, ( Colombia, Costa Rica, ( El ( Salvador, Guatemala, ( Guyana, Honduras, ( Mexico, Nicaragua, ( Panama, Paraguay, ( Peru, Suriname and ( Uruguay, which will be eligible to participate in regional learning and exchange activities (under Component 2). Of the 16 countries, indigenous peoples organizations/networks from ten countries will also be eligible to participate in national or sub-regional-level activities (under Component 1): ( Chile, ( Colombia, Costa Rica, El ( Salvador, Guatemala, ( Guyana, Honduras, ( Nicaragua, Suriname and Uruguay. These countries have been prioritized to participate in Component 1 activities for the following reasons:

- i. Their respective governments have signed Readiness Grant Agreements with the FCPF, thereby allowing the project to reinforce their REDD+ Readiness efforts;
- ii. They are not beneficiaries of the Global Dedicated Grant Mechanism (DGM) for Indigenous Peoples and Local Communities project of the FIP ; and
- iii. Most of them are countries at advanced stages to REDD phases, and which are piloting Emission Reduction projects/programs.

Beyond the project beneficiaries described above, other potential project beneficiaries are national and regional stakeholders from the REDD+ community that will benefit from project-funded studies and reports on good practices in REDD+ capacity building. Said potential beneficiaries include FCPF REDD+ Country Participants from Asia and Africa; FCPF Readiness and Carbon Fund Participants; Readiness Fund Delivery Partners (the UN Development Program ( UNDP and the Inter-American Development Bank), and other multilateral, bilateral and private sector entities and fora. The government entities implementing REDD+ Readiness or Carbon Fund activities will be engaged from time to time and consulted with in order to enhance coordination at the national level.

**B. Disclosure Requirements**

<b>Indigenous Peoples Development Plan/Framework</b>	
Date of receipt by the Bank	06-May-2016
Date of submission to InfoShop	06-May-2016
<b>"In country" Disclosure</b>	
United States	06-May-2016
<i>Comments:</i> OP/BP 4.10 is triggered as the project directly targets indigenous peoples. Furthermore, this will be treated as an indigenous peoples' project and no separate Indigenous Peoples Plan will be required, as per OP 4.10. These dates have been inserted as "dummy dates", referring only to disclosure of the ISDS on the Bank website, because the Portal requires them.	
<b>If the project triggers the Pest Management and/or Physical Cultural Resources policies, the respective issues are to be addressed and disclosed as part of the Environmental Assessment/</b>	

<b>Audit/or EMP.</b>
<b>If in-country disclosure of any of the above documents is not expected, please explain why:</b>

### ***C. Compliance Monitoring Indicators at the Corporate Level***

<b>OP/BP 4.10 - Indigenous Peoples</b>		
Has a separate Indigenous Peoples Plan/Planning Framework (as appropriate) been prepared in consultation with affected Indigenous Peoples?	Yes [ <input type="checkbox"/> ]	No [ <input type="checkbox"/> ] NA [ <input checked="" type="checkbox"/> ]
<b>The World Bank Policy on Disclosure of Information</b>		
Have relevant safeguard policies documents been sent to the World Bank's Infoshop?	Yes [ <input type="checkbox"/> ]	No [ <input type="checkbox"/> ] NA [ <input checked="" type="checkbox"/> ]
Have relevant documents been disclosed in-country in a public place in a form and language that are understandable and accessible to project-affected groups and local NGOs?	Yes [ <input type="checkbox"/> ]	No [ <input type="checkbox"/> ] NA [ <input checked="" type="checkbox"/> ]
<b>All Safeguard Policies</b>		
Have satisfactory calendar, budget and clear institutional responsibilities been prepared for the implementation of measures related to safeguard policies?	Yes [ <input type="checkbox"/> ]	No [ <input type="checkbox"/> ] NA [ <input checked="" type="checkbox"/> ]
Have costs related to safeguard policy measures been included in the project cost?	Yes [ <input type="checkbox"/> ]	No [ <input type="checkbox"/> ] NA [ <input checked="" type="checkbox"/> ]
Does the Monitoring and Evaluation system of the project include the monitoring of safeguard impacts and measures related to safeguard policies?	Yes [ <input type="checkbox"/> ]	No [ <input type="checkbox"/> ] NA [ <input checked="" type="checkbox"/> ]
Have satisfactory implementation arrangements been agreed with the borrower and the same been adequately reflected in the project legal documents?	Yes [ <input type="checkbox"/> ]	No [ <input type="checkbox"/> ] NA [ <input checked="" type="checkbox"/> ]

### **III. APPROVALS**

Task Team Leader(s):	Name: Kimberly Vilar	
<b><i>Approved By</i></b>		
Safeguards Advisor:	Name:	Date:
Practice Manager/ Manager:	Name: Markus Kostner (PMGR)	Date: 14-May-2016