



Safeguard Risk Identification Form (SRIF)

Section 1: Project Overview

Identification	<i>Insert Project ID# from Programme Framework Table</i> AF-2021000049 (CTCN 2021000009)
Project Title	<i>Insert title (adding words 'project preparation proposal for' before title)</i> Support for the use of nature-based solutions with an ethnic and gender-equity approach, to increase the resilience of rural mountain communities in protected natural areas affected by extreme weather events
Managing Division	UNEP – Economic Division – CTCN
Type/Location	<i>[Global/Normative; Regional; National]</i> National Honduras, Celaque Mountain National Park
Region	<i>(Africa/ Europe/ North America/ Asia Pacific/ Latin America Caribbean/ West Asia)</i> Latin America Caribbean
List Countries	<i>Enter country name(s)</i> Honduras
Project Description	<i>Provide the project summary and description in 2-3 paragraphs</i> The objective of the assistance is to strengthen the resilience to the impact of climate change of rural mountain communities located in the Montaña de Celaque National Park in Honduras, by means of a risk assessment, co-design of an adaptation plan built around Nature-Based Solutions (NBS), and capacity building in the communities, national institutions and local government. The request for technical assistance arises from the need to improve the resilience of populations that are highly vulnerable to climate change, in addition to improving their quality of life, taking into account their specific context, including gender considerations and in harmony with the ancestral knowledge of indigenous peoples. The outcome is expected to be a model of co-governance for the design and implementation of an adaptation plan with an ethnic and gender-equity approach in rural communities, which is capable of replication and scaling in other similar areas. The technical assistance will be conducted in the west of the country, in the Montaña de Celaque National Park, within the Cacique Lempira, Señor de las Montañas Man and Biosphere Reserve, specifically in the communities of Rio Negro, Chimis Montaña and Malsincales, in the Municipality of San Manuel Colohete (Departamento of Lempira), which are severely affected by landslides and other impacts attributable to climate change. The communities are of native indigenous people (the Lenca People) and peasant communities.



Relevant Subprogrammes	
Estimated duration of project	<i>Provide the estimate in months from project kickoff to completion. Do not include time spent on concept or design.</i> 12 months
Estimated cost of the project	<i>Provide the estimated cost for entire project in USD.</i> 228,479 USD
Name of the UNEP project manager responsible	Rajiv Garg
Funding Source(s)	AFCIA
Executing/Implementing partner(s)	CTCN
SRIF submission version	<i>If it is not the first time, mark the time of your previous submission</i> <i>Concept Review [] During Project development [] PRC []</i> <i>Other _____</i> Version 1
Safeguard-related reports prepared so far <i>(Please attach the documents or provide the hyperlinks)</i>	<ul style="list-style-type: none"> • <i>Feasibility report []</i> • <i>Gender Action Plan []</i> • <i>Stakeholder Engagement Plan []</i> • <i>Safeguard risk assessment or impact assessment []</i> • <i>ES Management Plan or Framework []</i> • <i>Indigenous Peoples Plan []</i> • <i>Cultural Heritage Plan []</i> • <i>Others _____</i>

Section 2: Safeguards Risk Summary

A. Summary of the Safeguards Risk Triggered

Safeguard Standards Triggered by the Project	Impact of Risk ¹ (1-5)	Probability of Risk (1-5)	Significance of Risk (L, M, H) <i>Please refer to the matrix below</i>
SS 1: Biodiversity, Ecosystems and Sustainable Natural Resource Management	1	1	L
SS 2: Climate Change and Disaster Risks	2	2	L
SS 3: Pollution Prevention and Resource Efficiency	1	1	L
SS 4: Community Health, Safety and Security	1	1	L
SS 5: Cultural Heritage	1	1	L
SS 6: Displacement and Involuntary Resettlement	1	1	L
SS7: Indigenous Peoples	2	2	L

¹ Refer to UNEP Environmental and Social Sustainability Framework (ESSF): Implementation Guidance Note to assign values to the Impact of Risk and the Probability of Risk to determine the overall significance of Risk (Low, Moderate or High).



SS 8: Labor and working conditions	1	1	L
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B. ESS Risk Level² -

Refer to the UNEP ESSF (Chapter IV) and the UNEP's ESSF Guidelines.

Low risk



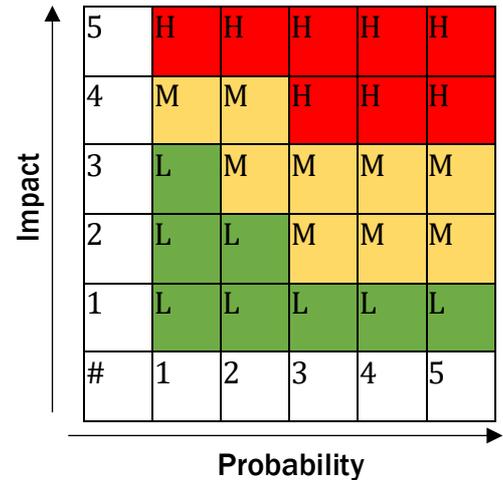
Moderate risk



High risk



Additional information required



C. Development of SRIF and Screening Decision

Prepared by

Name: Rajiv Garg Date: 06 June 2022

Screening review by

Name: Alexandra Mutungi Date: 21/06/2023

Cleared³

Signature

D. Safeguard Review Summary (by the safeguard team)

This is a low-risk project. However, UNEP ESSF guiding principles - resilience and sustainability; human rights, gender equality and women empowerment, accountability and leave no one behind - are still applicable for low-risk projects. Apply FPIC for engagement with Indigenous Peoples and encourage fair access and benefits sharing. The project proposes to develop an adaptation and disaster risk reduction plan to mitigation climate change risks.

² Low risk: Negative impacts minimal or negligible: no further study or impact management required.
 Moderate risk: Potential negative impacts, but limited in scale, not unprecedented or irreversible and generally limited to programme/project area; impacts amenable to management using standard mitigation measures; limited environmental or social analysis may be required to develop a Environmental and Social Management Plan (ESMP). Straightforward application of good practice may be sufficient without additional study.
 High risk: Potential for significant negative impacts (e.g. irreversible, unprecedented, cumulative, significant stakeholder concerns); Environmental and Social Impact Assessment (ESIA) (or Strategic Environmental and Social Assessment (SESA)) including a full impact assessment may be required, followed by an effective comprehensive safeguard management plan.



This is signed only for the full projects latest by the PRC time.





E. Safeguard Recommendations (by the safeguard team)

- No specific safeguard action required
- Take Good Practice approach⁴
- Carry out further assessments (e.g., site visits, experts' inputs, consult affected communities, etc.)
- Carry out impact assessments (by relevant experts) in the risk areas and develop management framework/plan
- Consult Safeguards Advisor early during the full project development phase
- Other _____

Section 3: Safeguard Risk Checklist

Screening checklist	Y/N/ Maybe	Justification for the response (please provide answers to each question)
Guiding Principles (these questions should be considered during the project development phase)		
GP1 Has the project analyzed and stated those who are interested and may be affected positively or negatively around the project activities, approaches or results?	Y	<p>The project development was undertaken in close consultation with national stakeholders, the NDE at the Ministry of Natural Resources and Environment, and proposed by the National Institute for Forestry conservation and Development, Protected Areas and Wildlife of Honduras. The project has analyzed and identified stakeholders who would be positively or negatively impacted by the project implementation.</p> <p>The participation of women and youth will be proactively ensured throughout the implementation as per UN/CTCN rules. Representative of the pilot sites have been involved through the ICF team in situ.</p>

⁴ Good practice approach: For most low-moderate risk projects, good practice approach may be sufficient. In that case, no separate management plan is necessary. Instead, the project document demonstrates safeguard management approach in the project activities, budget, risks management, stakeholder engagement or/and monitoring segments of the project document to avoid or minimize the identified potential risks without preparing a separate safeguard management plan.



<p>GP2 Has the project identified and engaged vulnerable, marginalized people, including disabled people, through the informed, inclusive, transparent and equal manner on potential positive or negative implication of the proposed approach and their roles in the project implementation?</p>		<p>The project has identified areas and vulnerable groups most susceptible to El Niño y la Niña recurrent effects. Moreover, due to topography, landslides have affected communities, including smallholder farmers and the tourism sector, and will ensure gender and youth participation during the implementation phase through trainings and stakeholder’s consultation process. Moreover, specific local communities have been identified given their level of impact from the Hurricanes.</p> <p>The mapping of the stakeholders will be revised at the very beginning of the project and an inception meeting will be planned to inform the stakeholders of the start of the initiative one month after the signature of the contract between UNEP and the implementer.</p>
<p>GP3 Have local communities or individuals raised human rights or gender equality concerns regarding the project (e.g. during the stakeholder engagement process, grievance processes, public statements)?</p>		<p>No. During the formulation of the proposal no concerns were raised about local communities or human rights. Quite the contrary, the stakeholders are keen to define adaptation measures targeting the most vulnerable communities of Celaque Mountain National Park.</p>
<p>GP4 Does the proposed project consider gender-balanced representation in the design and implementation?</p>		<p>Yes. Gender balanced representation has been considered in the design and implementation. The CTCN has developed a gender policy and an action plan that was approved by the AB. The gender policy applies a two-pronged approach to promote gender equality including (i) gender-specific initiatives meaning “addressing gender inequitable issues” and (ii) gender mainstreaming in the sense “mainstreaming gender as a way of implementing interventions in a human rights-based approach”, so both men and women can enjoy the benefits equally. In other words, the first part would address the fact that women are underserved when it comes to technologies and capacity development, so historical imbalances need to be corrected, and the second part would provide equal/equitable opportunity to men and women.</p> <p>The AB of the CTCN includes a gender constituency and all CTCN Technical Assistances are implemented in the presence of at least one gender expert as a mandatory requirement.</p>



GP5 Did the proposed project analyze relevant gender issues and develop a gender responsive project approach?		Yes, gender has been considered in the design of all the activities of the project proposal. The project team consists of one gender expert out of a team of 7 experts. The stakeholders will be mapped at the very beginning of the project with gender representative participation. An inception meeting will be organized one month after the signature of the contract between UNEP and the implementer. This inception meeting will be the opportunity to identify the needs, concerns, ideas, opportunities, roles in the implementation of all stakeholders.
GP6 Does the project include a project-specific grievance redress mechanism? If yes, state the specific location of such information.		Yes. Specific grievance redress mechanism as per UNEP rules.
GP7 Will or did the project disclose project information, including the safeguard documents? If yes, please list all the webpages where the information is (or will be) disclosed.		CTCN webpage and www.open.unep.org Safeguards documents will be uploaded after approval.



<p>GP8 Were the stakeholders (including affected communities) informed of the projects and grievance redress mechanism? If yes, describe how they were informed.</p>		<p>Yes, the stakeholders were informed about the project and the grievance redress mechanism through the Ministry of Natural Resources and Environment. Stakeholders will be engaged during the implementation of the project through stakeholder consultations and capacity building that have been planned at all stages of the implementation.</p>
<p>GP9 Does the project consider potential negative impacts from short-term net gain to the local communities or countries at the risk of generating long-term social or economic burden?⁵</p>		<p>No, the project has been designed to increase the resilience of local communities in Celaque Mountain National Park. Vulnerability to climate risk will be further evaluated and assess. This will benefit local community is keen to work together with the implementing partner in the co/design of an adaptation and a disaster risk reduction plan.</p>
<p>GP10 Does the project consider potential partial economic benefits while excluding marginalized or vulnerable groups, including women in poverty?</p>		<p>The project is expected to have direct impact on reduced vulnerability of local communities, with a strong focus on Nature Based Solutions and Gender approach. The technical assistance is expected to enhance local capacities for effective response to climate extreme events. Please, refer to section 12, SDG Contributions of the Response Plan.</p>
<p>Safeguard Standard 1: Biodiversity, Ecosystems and Sustainable Natural Resource Management</p>		
<p><i>Would the project potentially involve or lead to:</i></p>		
<p>1.1 conversion or degradation of habitats (including modified habitat, natural habitat and critical natural habitat), or losses and threats to biodiversity and/or ecosystems and ecosystem services?</p>		<p>No. There are no conversion or degradation of habitats, neither are losses or threats to biodiversity and/or ecosystems and ecosystems services. At the opposite, the technical assistance is expected to protect land during dry spells and drought conditions through a nature-based solutions approach. It is sought, in this way, to promote agro-environmental models, sustainable management of biodiversity and the use of water-management technologies suitable for the orography and topography, reincorporating the traditional practices of indigenous communities. Thus, the use and exploitation of ancestral socio-ecological models becomes a great opportunity to improve livelihoods and the resilience of mountain communities affected by extreme weather events such as droughts and landslides.</p>



<p>1.2 adverse impacts specifically to habitats that are legally protected, officially proposed for protection, or recognized as protected by traditional local communities and/or authoritative sources (e.g. National Park, Nature Conservancy, Indigenous Community Conserved Area, (ICCA); etc.)?</p>		<p>The rating of the safeguards has been scored as a risk - level 2 as the project will be implemented in a Protected National Park, with habitats that are legally protected. The activities are expected to have a positive effect in the protected area of Celaque Mountain National Park. It is foreseen that potential nature-based solutions will enhance the environmental services of the area, as well as improve rural livelihoods. This Technical Assistance is also considering the participation of Lenca People, the indigenous group present in the area. The technical assistance is planned to be conducted in the indigenous Lenca People community and the peasant communities in the Montaña de Celaque National Park, within the Cacique Lempira, Señor de las Montañas Man and Biosphere Reserve, specifically in the communities of Río Negro, Chimis Montaña and Malsincales, in the Municipality of San Manuel Colohete (in the Departamento de Lempira), which are severely affected by landslides.</p>
<p>1.3 conversion or degradation of habitats that are identified by authoritative sources for their high conservation and biodiversity value?</p>		<p>The project will be implemented in a protected area. Nonetheless, the technical assistance has been requested by the communities through a country driven process. the technical assistance co-design of an Adaptation Plan built around Nature-Based Solutions (NBS), and capacity building in the communities, national institutions and local government. Such approach is expected to have a positive impact in areas with high conservation and biodiversity value, with the intention on having a positive impact in the conservation of ecosystem services in the area.</p>

⁵For example, a project may consider investing in a commercial shrimp farm by clearing the nearby mangrove forest to improve the livelihood of the coastal community. However, long term economic benefit from the shrimp farm may be significantly lower than the mangroves if we consider full costs factoring safety from storms, soil protection, water quality, biodiversity and so on.

<p>1.4 activities that are not legally permitted or are inconsistent with any officially recognized management plans for the area?</p>		<p>No, the project will have a national focal point supervising the implementation and will be developed as per UN rules and regulations.</p>
<p>1.5 risks to endangered species (e.g. reduction, encroachment on habitat)?</p>		<p>No, the project is expected to protect lands, promote nature-based solutions to increase the resilience of the ecosystem to extreme events..</p>
<p>1.6 activities that may result in soil erosion, deterioration and/or land degradation?</p>		<p>No, the project is expected to protect lands.</p>
<p>1.7 reduced quality or quantity of ground water or water in rivers, ponds, lakes, other wetlands?</p>		<p>No, quite the contrary, it will raise the water levels.</p>
<p>1.8 reforestation, plantation development and/or forest harvesting?</p>		<p>No. The project includes a co-design of an Adaptation Plan built around Nature-Based</p>



		Solutions (NBS), and capacity building in the communities, national institutions and local government. It will not directly include reforestation/plantations/sustainable forest management activities, but this kind of approach will potentially include some recommendations in this regard.
1.9 support for agricultural production, animal/fish production and harvesting		Yes, the project is expected to support better use of water resources in agricultural production by providing better access to water in Celaque Mountain National Park
1.10 introduction or utilization of any invasive alien species of flora and fauna, whether accidental or intentional?		No.
1.11 handling or utilization of genetically modified organisms?		No.
1.12 collection and utilization of genetic resources?		No.
Safeguard Standard 2: Climate Change and Disaster Risks		
<i>Would the project potentially involve or lead to:</i>		
2.1 improving resilience against potential climate change impact beyond the project intervention period?		Yes, the project should help the rural communities in Celaque National Park to increase their resilience through the formulation of an adaptation plan and a disaster risk reduction plan.
2.2 areas that are now or are projected to be subject to natural hazards such as extreme temperatures, earthquakes, extreme precipitation and flooding, landslides, droughts, severe winds, sea level rise, storm surges, tsunami or volcanic eruptions in the next 30 years?		Yes, the selected area has been affected by Hurricanes and other climate extreme events already. The frequency of floods and drought are expected to increase due to climate change. This technical assistance, is found feasible, would lead to building resilience of the local communities. Hurricanes Eta and Iota hit the country between 4 and 16 November 2020, leaving a bleak panorama with over a hundred people dead, 3.5 million people affected and displaced, thousands of hectares of crops destroyed and heavy structural damage, especially due to landslides. Although there has been no official count of the losses to date, it is estimated that these two natural events did damage valued at some 10 billion dollars, equal to the current amount of the national budget. The indigenous community (Lenca People) and the peasant communities in the west of the country located in the Montaña de Celaque National Park (PNMC) were among the victims of these extreme weather events, with the aggravating circumstance of being located in an area with poor communications infrastructure for taking assistance to the affected populations. There are 7232 people living in PNMC, in an area of 263.6 km ² . 100% of the population lives in rural areas, under the territorial jurisdiction of the municipalities of Gracias,



		Las Flores and San Manuel de Colohete in the departamento of Lempira, Corquín in the departamento of Copán, and Belén Gualcho in the departamento of Ocotepeque..
2.3	outputs and outcomes sensitive or vulnerable to potential impacts of climate change (e.g. changes in precipitation, temperature, salinity, extreme events)?	No.
2.4	local communities vulnerable to the impacts of climate change and disaster risks (e.g. considering level of exposure and adaptive capacity)?	Yes, local communities will benefit from an improved assessment on climate and vulnerability risks and will receive as a results of this technical assistance a co-designed adaptation and disaster risk reduction plans.
2.5	increases of greenhouse gas emissions, black carbon emissions or other drivers of climate change?	No.
2.6	Carbon sequestration and reduction of greenhouse emissions, resource-efficient and low carbon development, other measures for mitigating climate change	No, this is an adaptation project and will not have impact in emissions.
Safeguard Standard 3: Pollution Prevention and Resource Efficiency		
<i>Would the project potentially involve or lead to:</i>		
3.1	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.
3.2	the generation of waste (both hazardous and non-hazardous)?	No.
3.3	the manufacture, trade, release, and/or use of hazardous materials and/or chemicals?	No.
3.4	the use of chemicals or materials subject to international bans or phase-outs? (e.g. DDT, PCBs and other chemicals listed in international conventions such as the Montreal Protocol , Minamata Convention , Basel Convention , Rotterdam Convention , Stockholm Convention)	No.
3.5	the application of pesticides or fertilizers that may have a negative effect on the environment (including non-target species) or human health?	No.
3.6	significant consumption of energy, water, or other material inputs?	No.
Safeguard Standard 4: Community Health, Safety and Security		
<i>Would the project potentially involve or lead to:</i>		
4.1	the design, construction, operation and/or decommissioning of structural elements such as new buildings or structures (including those accessed by the public)?	No.



4.2	air pollution, noise, vibration, traffic, physical hazards, water runoff?	No.
4.3	exposure to water-borne or other vector-borne diseases (e.g. temporary breeding habitats), communicable or noncommunicable diseases?	No.
4.4	adverse impacts on natural resources and/or ecosystem services relevant to the communities' health and safety (e.g. food, surface water purification, natural buffers from flooding)?	No negative impacts on the contrary, positive impacts are foreseen.
4.5	transport, storage use and/or disposal of hazardous or dangerous materials (e.g. fuel, explosives, other chemicals that may cause an emergency event)?	No.
4.6	engagement of security personnel to support project activities (e.g. protection of property or personnel, patrolling of protected areas)?	No.
4.7	an influx of workers to the project area or security personnel (e.g. police, military, other)?	No.
Safeguard Standard 5: Cultural Heritage		
<i>Would the project potentially involve or lead to:</i>		
5.1	activities adjacent to or within a Cultural Heritage site?	The project is situated in the Celaque Mountain National Park. There is a pressing need to build capacities in these populations, to improve their resilience to extreme events such as those experienced and also to obtain the benefits of nature-based solutions to improve their quality of life. It is important to mention that according to the land-use regulations for protected areas, the PNMC cannot be used for intensive economic activities. This means that the NBS, in addition to being aligned with the Lenca People's vision of symbiosis with nature, is the only way to undertake measures to increase resilience. A model of co-governance for the design and implementation of an adaptation plan with an ethnic and gender-equity approach in three rural communities in the Montaña de Celaque National Park, which is capable of replication and scaling in other similar areas.
5.2	adverse impacts to sites, structures or objects with historical, cultural, artistic, traditional or religious values or to intangible forms of cultural heritage (e.g. knowledge, innovations, practices)?	No.
5.3	utilization of Cultural Heritage for commercial or other purposes (e.g. use of objects, practices, traditional knowledge, tourism)?	No.
5.4	alterations to landscapes and natural features with cultural significance?	No.
5.5	significant land clearing, demolitions, excavations, flooding?	No.
5.6	identification and protection of cultural heritage sites or intangible forms of cultural heritage?	No.
Safeguard Standard 6: Displacement and Involuntary Resettlement		



<i>Would the project potentially involve or lead to:</i>		
6.1	full or partial physical displacement or relocation of people (whether temporary or permanent)?	No.
6.2	economic displacement (e.g. loss of assets or access to assets affecting for example crops, businesses, income generation sources)?	No.
6.2	involuntary restrictions on land/water use that deny a community the use of resources to which they have traditional or recognizable use rights?	No.
6.3	risk of forced evictions?	No.
6.4	changes in land tenure arrangements, including communal and/or customary/traditional land tenure patterns (including temporary/permanent loss of land)?	No.
Safeguard Standard 7: Indigenous Peoples		
<i>Would the project potentially involve or lead to:</i>		
7.1	areas where indigenous peoples are present, or uncontacted or isolated indigenous peoples inhabit or where it is believed these peoples may inhabit?	Yes. Lenca People. The indigenous community (Lenca People) and the peasant communities in the west of the country located in the Montaña de Celaque National Park (PNMC) were among the victims of these extreme weather events, with the aggravating circumstance of being located in an area with poor communications infrastructure for taking assistance to the affected populations. These communities had to temporarily relocate by their own means and, when they returned to their lands, they found their homes, crops and community spaces seriously damaged. As this is not one of the most densely populated areas of the country, it has not been prioritized for reconstruction aid. The objective of the assistance is to strengthen the resilience to the impact of climate change of rural mountain communities located in the Montaña de Celaque National Park in Honduras, by means of risk assessment, co-design of an Adaptation Plan built around Nature-Based Solutions (NBS), and capacity building in the communities, national institutions and local government
7.2	activities located on lands and territories claimed by indigenous peoples?	Yes. The national authorities recognize that the Lenca Indigenous group is part of the pleasant population living in the Celaque Mountain National Park, in the Department of Lempira.
7.3	impacts to the human rights of indigenous peoples or to the lands, territories and resources claimed by them?	No. As a co-design approach, a work group will be established, as will workshops for dialogue between the communities living in the area and international and national experts. Parallel activities for capacity building and rescuing the cultural heritage of the native communities will provide elements for dialogue on adaptation measures and will strengthen these communities' capacities for governance, will empower women and indigenous



		communities and will rescue ancestral practices for the care of the territory
7.4	the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No. This project entails the realization of workshops for building capacities in the implementation of adaptation and disaster-prevention measures. These workshops shall include resilience measures in the agro-environmental sector, promotion of circular agriculture and the bioeconomy and the strengthening of value chains.
7.5	adverse effects on the development priorities, decision making mechanisms, and forms of self-government of indigenous peoples as defined by them?	No. As a co-design strategy, a work group will be established, as will workshops for dialogue between the communities living in the area and international and national experts. Parallel activities for capacity building and rescuing the cultural heritage of the native communities will provide elements for dialogue on adaptation measures and will strengthen these communities' capacities for governance, will empower women and indigenous communities and will rescue ancestral practices for the care of the territory
7.6	risks to the traditional livelihoods, physical and cultural survival of indigenous peoples?	No.
7.7	impacts on the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	No. As a co-design strategy, a work group will be established, as will workshops for dialogue between the communities living in the area and international and national experts. Parallel activities for capacity building and rescuing the cultural heritage of the native communities will provide elements for dialogue on adaptation measures and will strengthen these communities' capacities for governance, will empower women and indigenous communities and will rescue ancestral practices for the care of the territory.
Safeguard Standard 8: Labor and working conditions		
8.1	Will the proposed project involve hiring or contracting project staff ?	Yes. The implementer will be a CTCN network member and will be mandated to respect the UN code of conduct rules and will meet all the requisites.
	<i>If the answer to 8.1 is yes, would the project potentially involve or lead to:</i>	
8.2	working conditions that do not meet national labor laws or international commitments (e.g. ILO conventions)?	No.
8.3	the use of forced labor and child labor?	No.
8.4	occupational health and safety risks (including violence and harassment)?	No.
8.5	the increase of local or regional unemployment?	No.
8.6	suppliers of goods and services who may have high risk of significant safety issues related to their own workers?	No.
8.7	unequal working opportunities and conditions for women and men	No.

