



Integrated Safeguards Data Sheet Restructuring Stage

Restructuring Stage | Date ISDS Prepared/Updated: 03-Jun-2018 | Report No: ISDSR24993

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I. BASIC INFORMATION

1. BASIC PROJECT DATA

Project ID P155976	Project Name FCPF Capacity Building Program IPs (LCR)
Task Team Leader(s) Kennan W. Rapp	Country Latin America
Approval Date 17-May-2016	Environmental Category Not Required (C)
Managing Unit GSU04	Is this a Repeater project?

PROJECT FINANCING DATA (IN USD MILLION)

Total Project Cost 727,609.00	Total Financing 727,609.00
Financing Gap 0.00	
Financing Source	Amount
Trust Funds	727,609.00
Total	727,609.00

2. PROJECT INFORMATION

Current Project Development Objective

The Project Development Objective (PDO) 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 eligible FCPF countries in Central and South America.



3. PROJECT DESCRIPTION

The development objective of the FCPF Capacity Building Program on REDD+ for Indigenous Peoples in Latin America project (P155976, TFOA2446) is to strengthen: (i) the knowledge of targeted forest-dependent indigenous peoples of REDD+ Readiness at the national level, and (ii) related knowledge exchange at the regional level in Central and South America. It is financed under the Forest Carbon Partnership Facility (FCPF) Capacity Building Program (CBP) in its 2nd phase, which was set up to ensure the active engagement and participation of REDD+ relevant stakeholders, including indigenous peoples (IPs), civil society organizations and local communities from FCPF participating countries in the Latin America and the Caribbean (LAC), sub-Saharan Africa and Asia-Pacific regions. The two-year (2016-2018) project is financed by a Small Recipient Executed Trust Fund (SRETF) grant of **US\$727,609**. The beneficiaries of this project are indigenous peoples’ organizations and networks in 16 FCPF countries in LAC (**Argentina, Belize, Chile, Colombia, Costa Rica, El Salvador, Guatemala, Guyana, Honduras, Mexico, Nicaragua, Panama, Paraguay, Peru, Suriname and Uruguay**), which are eligible to participate in REDD+ related regional learning and exchange activities under Component 2.¹ Of the 16 countries, IP organizations from 10 countries (**Chile, Colombia, Costa Rica, El Salvador, Guatemala, Guyana, Honduras, Nicaragua, Suriname and Uruguay**) have also been eligible to participate in national-level REDD+ capacity building activities through a competitive sub-project mechanism under Component 1. The project is being implemented by Asociación Sotz’il, which is located in Guatemala City, Guatemala.

This SRETF project is on track to meet its PDO. As a result, a scale-up of activities will be sought by extending the Closing Date to end-June 2020, adding a handful of newly eligible countries, and modifying the Results Framework slightly. Additional Financing in the amount of US\$1,041,860 is also being sought. Up to now, safeguards performance in the project has been fully satisfactory. Like the current project, the restructured project triggers OP 4.10 as it is directed specifically at indigenous beneficiaries, but it is not expected to have any on-the-ground impacts resulting from physical investments.

4. PROJECT LOCATION AND SALIENT PHYSICAL CHARACTERISTICS RELEVANT TO THE SAFEGUARD ANALYSIS (IF KNOWN)

Capacity building activities under the project are being carried out in specific FCPF member countries throughout Latin America where forest-dependent indigenous peoples and their representative organizations and networks are present. They are also being carried out at the regional level.

5. ENVIRONMENTAL AND SOCIAL SAFEGUARDS SPECIALISTS ON THE TEAM

Kimberly Vilar, Social Safeguards Specialist
Tuuli Johanna Bernardini, Environmental Safeguards Specialist

6. SAFEGUARD POLICIES TRIGGERED

Safeguard Policies	Triggered	Explanation
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¹ REDD+ stands for countries’ efforts to reduce emissions from deforestation and forest degradation, while promoting conservation, sustainable management of forests, and enhancement of forest carbon stocks.



Environmental Assessment (OP) (BP 4.01)	No	Given that no physical footprint is associated with the project, no environmental impacts are expected, hence the explanation that is usually provided about the application of screening and follow-up procedures for the management of potential environmental impacts is not required in this case.
Natural Habitats (OP) (BP 4.04)	No	Since there are no activities that will directly impact natural habitats, screening and follow up procedures are not 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 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 that would be supported by the project are expected to involve the procurement or a substantial increase in the use of pesticides. This would be specified in an exclusion list.
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.
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 Development Plan is required, as per the policy. The capacity building activities to be supported were defined through an iterative and participatory process of dialogue that Sotz'il led with indigenous networks in the two years leading up to the approval of the current project in May 2016. For the restructured project Sotz'il re-mapped the project stakeholders and determined priority activities via a series of consultations, starting with the solicitation of feedback during the region-wide meeting of the Foro Indígena de Abya Yala (FIAY) in Lima, Peru in November 2017. These mechanisms and actions will be reconfirmed in an updated version of the project's Operational Manual, which already provides details on (i) actions that have been used to ensure broad community support; (ii) the expected continuous participation of key



		stakeholders during project implementation; and (iii) access to culturally appropriate feedback and grievance redress mechanisms.
Involuntary Resettlement (OP) (BP 4.12)	No	None of the activities that would be supported by the project are expected to involve physical displacement and resettlement. They are also not expected to involve the involuntary restriction of community access to natural resources in legally designated parks or protected areas. This would be specified in an exclusion list.
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	This policy is not triggered because the project is not expected to support any activities having adverse impacts on the efficient utilization and protection of international waterways.
Projects in Disputed Areas (OP) (BP 7.60)	No	This policy is not triggered because 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 Restructured project. Identify and describe any potential large scale, significant and/or irreversible impacts.

This project provides for the delivery of the simplest and most benign form of TA imaginable (training workshops, dialogues/ meetings, learning-oriented studies, educational materials), and does not have any physical footprint. Given that its target audience is specifically and exclusively the region's indigenous peoples, OP/BP 4.10 is triggered in the current project, and will remain triggered in the restructured project. The project's Restructuring/AF Paper will spell out (i) evidence of continued broad community support for the project and its objectives; (ii) mechanisms to ensure 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 OP 4.10.

This classification and the approach to be followed is consistent with the "Interim Guidelines on the 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 safeguard 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 <http://forestcarbonpartnership.org/social-inclusion>.

2. Describe any potential indirect and/or long term impacts due to anticipated future activities in the project area.

None.

3. Describe any potential alternatives (if relevant) considered to help avoid or minimize adverse impacts.

None.

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.

As the project involves on-granting at a very modest level to in-country IP organizations, Sotz'il as the Recipient Organization applies an exclusion or "negative" list to all sub-project proposals received, to ensure that they do not run afoul of any of the WB safeguard policies dealing with negative impacts. Members of the project secretariat in Sotz'il have received basic training in WB safeguard policies and procedures.

Beyond this, Sotz'il has an increasingly distinguished track record of working in a visible and credible way on the nexus between natural resources management and the rights of indigenous peoples in Guatemala and throughout Latin America, particularly as it relates to free, prior and informed consent; full and effective participation; strengthening forms of indigenous self-organization; and recognition of traditional knowledge. For several years now the organization has been promoting the responsible use, management, and conservation of forests on indigenous territories and the implementation of the United Nations Declaration on the Rights of Indigenous Peoples; the International Labor Organization (ILO) Convention 169 on Indigenous Peoples; and the Convention on Biological Diversity, Article 8J.

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) has been outlined in the Operational Manual for the project, and has been maintained by Sotz'il in web-based form.

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

As stated above, the beneficiaries of this project are indigenous peoples' organizations in 16 FCPF member countries in Latin America that are eligible to participate in REDD+-related regional learning and exchange activities under the project's Component 2. Of these 16 countries, IPs from 10 countries have also been eligible to participate in national-level REDD+ capacity building activities through a competitive sub-project mechanism under the project's Component 1. As part of the restructured project, organizations from four additional countries--Argentina, Belize, Panama and Paraguay--will also be eligible for support under Component 1.



While preparing its proposal for the restructured project, Sotz'il engaged in various consultations with key stakeholders throughout the region, kicking off the process during the region-wide meeting of the Foro Indígena de Abya Yala (FIAY) in Lima, Peru in late November 2017. Since then, Sotz'il has received feedback on the proposal from technical specialists in the individual IPOs making up FIAY (which covers both Central and South America), the FIAY Women's Network, the FIAY Steering Council, IP Observers before the FCPF PC, the members of the TAC, and technical specialists in the sub-recipient organizations for Component 1.

B. DISCLOSURE REQUIREMENTS

Indigenous Peoples Development Plan/Framework

Date of receipt by the Bank	Date of submission for disclosure
06-May-2016	06-May-2016
"In country" Disclosure	
Country	Date of Disclosure
United States	06-May-2016
Comments	
The IPDP in this case is equivalent to the original Project Paper.	

C. COMPLIANCE MONITORING INDICATORS AT THE CORPORATE LEVEL

OP/BP 4.10 - Indigenous Peoples

Has a separate Indigenous Peoples Plan/Planning Framework (as appropriate) been prepared in consultation with affected Indigenous Peoples?	No
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The World Bank Policy on Disclosure of Information

Have relevant safeguard policies documents been sent to the World Bank for disclosure?	Yes
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



All Safeguard Policies

Have satisfactory calendar, budget and clear institutional responsibilities been prepared for the implementation of measures related to safeguard policies?	Yes
Have costs related to safeguard policy measures been included in the project cost?	Yes
Does the Monitoring and Evaluation system of the project include the monitoring of safeguard impacts and measures related to safeguard policies?	Yes
Have satisfactory implementation arrangements been agreed with the borrower and the same been adequately reflected in the project legal documents?	Yes

III. APPROVALS

Task Team Leader(s)	Kennan W. Rapp	
Approved By		
Safeguards Advisor		
Practice Manager/Manager		