

## CI-GEF PROJECT AGENCY SCREENING RESULTS AND SAFEGUARD ANALYSIS

(To be completed by CI-GEF Coordination Team)

Date Prepared/Updated: 3/3/2016

### I. BASIC INFORMATION

A. Basic Project Data	
Country: Myanmar	GEF Project ID: 5784
Project Title: Conservation and sustainable use of freshwater ecosystems in Myanmar ( <i>sub-project under Mainstreaming Biodiversity Conservation and Sustainable Management in Priority Socio-ecological Production Landscapes and Seascapes</i> )	
Executing Entity: Fauna & Flora International	
GEF Focal Area: Biodiversity	
GEF Project Amount: (Grant Amount for Sub-project) US\$ 85,000	
Other financing amounts by source: US\$ 87,299 Helmsley Charitable Fund, Foundation Segre and European Union	
Reviewer(s): Danielle Lien, Orissa Samaroo, Ian Kissoon	
Date of Review: 03/10/2016	
<p><b>Comments:</b> Please elaborate on socio-economic context of the area and roles of men and women within these communities. (Screening Form, Section 8: Additional information. Number 4.) More information regarding the role of men and women within fishing activities and expected roles within community-managed fisheries is needed along with a detailed explanation of how restricted access to resources will be managed.</p> <p>Will accommodations need to be made to allow for women to participate in stakeholder consultations due to cultural or time restrictions? If so, please elaborate on how this will be managed.</p> <p>Please expand upon the defined roles of men and women within these communities. (Section 7: Gender Mainstreaming, Number 4.)</p> <p>Please complete Table 3.1, Number 2, a-d to address the Involuntary Resettlement safeguard. Table 4.1, Number 1 should be "Yes".</p>	

- B. Project Objective:** The objectives of this project are: 1) to complete the assessment of freshwater KBAs in the Upper Irrawaddy and Tanintharyi/Lenya watersheds, 2) to pilot locally managed fisheries areas for the sustainable management of freshwater KBAs, 3) to integrate community-managed fisheries areas/community-based fish conservation zones into protected area zonation and management plans and facilitate legal recognition of community fishing rights.
- C. Project Description:** The project integrates traditional ecological knowledge and modern science for the identification of key fish biodiversity areas and replaces open access with recognized locally managed fisheries areas. In Myanmar this constitutes a major shift in the conservation paradigm from 'fence and fine' policies to a community based conservation approach.

**D. Project location and biophysical characteristics relevant to the safeguard analysis:** Upper Irrawaddy Basin (Upper Mali Hka River, Indawgyi Lake), Kachin State; Lenya-Tanintharyi Rivers, Tanintharyi Region. Indawgyi Lake has just been announced as Ramsar site on February 2, 2016. Indawgyi, the northern forest complex (upper irrawaddy watershed) and the Lenya Tanintharyi Forest Corridor are included in the tentative list for UNESCO World Heritage Sites.

**E. Executing Entity's Institutional Capacity for Safeguard Policies:** *Not assessed*

## II. SAFEGUARD AND POLICIES

### Environmental and Social Safeguards:

Safeguard Triggered	Yes	No	TBD	Date Completed
<b>1. Environmental &amp; Social Impact Assessment (ESIA)</b>		X		
<i>Justification:</i>				
<b>2. Natural Habitats</b>		X		
<i>Justification:</i>				
<b>3. Involuntary Resettlement</b>	X			
<i>Justification:</i> This project plans to integrate community-managed fisheries/fish conservation zones into protected area zonation and management plans, thereby requiring indirect restrictions of access to and use of natural resources.				
<b>4. Indigenous Peoples</b>	X			
<i>Justification:</i> This project involves three communities with a majority population of indigenous peoples: 100 Rawang households in villages (Ziadam & Wassadam) on the upper Mali Hka (Upper Irrawaddy basin), 1000 Shan households in the 12 villages surrounding Indawgyi lake, and 300 Karen households in the Tanintharyi/Lenya river area.				
<b>5. Pest Management</b>		X		
<i>Justification:</i>				
<b>6. Physical &amp; Cultural Resources</b>		X		
<i>Justification:</i>				
<b>7. Stakeholder Engagement</b>	X			
<i>Justification:</i> In all target villages indigenous people are the majority ethnic group. The project will need to ensure that not only the indigenous communities, but also residents with other ethnic backgrounds are included in the FPIC process. Local languages include Karen, Kachin/Rawang and Shan. Consultations may need to be performed in both Burmese and local languages. Will accommodations need to be made to allow for women to participate in consultations due to cultural or time restrictions? If so, please elaborate on how this will be managed.				
<b>8. Gender Mainstreaming</b>	X			
<i>Justification:</i> Both men and women are involved in fishing activities. Women should be provided with equitable access to training and capacity building for sustainable fisheries management as well as to securing access rights to local fisheries.				

<b>9. Accountability and Grievance Mechanisms</b>	<b>X</b>			
<i>Justification:</i> As a publicly funded GEF project, participants need to be able submit complaints or raise grievances with the Executing Agency and the Project Agency.				

### III. KEY SAFEGUARD POLICY ISSUES AND THEIR MANAGEMENT

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

*From information provided in the Safeguard Screening Form, this project has triggered five safeguard policies. These are:*

- I. Restriction of Access to and Use of Natural Resources (Involuntary Resettlement policy),*
- II. Indigenous Peoples,*
- III. Stakeholder Engagement,*
- IV. Gender, and*
- V. Grievance Mechanism.*

*And given the small size of the proposed project, no large scale, significant and/or irreversible impacts is foreseen at this time.*

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

*No indirect and/or long term impacts due to anticipated future activities are foreseen at this time.*

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

*The proposed approach of the project is expected to avoid or minimize adverse impacts. As such, no better alternative can be conceived at this time.*

4. Describe measures to be taken by the Executing Entity to address safeguard policy issues.

- I. Restriction of Access to/Use of Natural Resources (Involuntary Resettlement policy)  
This project will trigger restriction of access to and use of natural resources. This is can be a sensitive issue, particularly for people whose survival and livelihood depend on such resources. Stakeholder engagement will be key here and should be among the very first set of activities. The resource users need to be aware upfront of the project and how it will affect them, and the project in turn will need to address their concerns. Following initial consultations, the project is **required** to prepare a simplified Process Framework document describing the following:*
  - (a) conservation actions to be undertaken by the resource users,*
  - (b) benefits the project will provide to offset the opportunity cost of conservation incurred by the resource user, and*
  - (c) penalties for non-compliance.*

*The simplified Process Framework document must be approved by the Executing Entity before*

*signing and implementation.*

II. Indigenous Peoples

*Given the small size of the project grant, an Indigenous Peoples Plan (IPP) is not being requested. However, while the project has been initiated by the village councils, the project is **required** to follow and document the Free Prior and Informed Consent (FPIC) Process when interacting with indigenous people and villages.*

III. Stakeholder Engagement

*Given the small size of the project grant, a Stakeholder Engagement Plan (SEP) is not being requested. However, the project is **required** ensure active stakeholder participation and to reflect stakeholder engagement activities in the annual workplan. Please document the date, location and participants (gender disaggregated) along with meeting notes of all stakeholder engagement activities. The documentation of these activities can be supported (not required) with photographs, video and audio recordings.*

*Also agree with stakeholders on where, when and how information will be disseminated back to them following a meeting/consultation.*

IV. Gender

*Given the small size of the project grant, a Gender Mainstreaming Plan (GMP) is not being requested. However, the project is **required** to reflect gender disaggregated activities in the annual workplan. The design of activities and consultations should consider the needs and schedules of both men and women. Please document how many men and women were consulted, participated in project activities, and benefitted/affected by the project. Also ensure that men and women are not adversely impacted and receive equal opportunities in planning, decision-making and implementation in a way that is culturally appropriate and acceptable.*

V. Grievance Mechanism

*An Accountability and Grievance Mechanism is **required** to ensure people affected by the project are able to bring their grievances to the Executing Entity for consideration and redress. The mechanism must be in place before the start of project activities, and also disclosed to all stakeholders in a manner/means that best suits the local context.*

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

*The key stakeholders are the local people/indigenous people/men and women, vulnerable groups, the communities and the government.*

*Local community members as well as other local stakeholders should be included in a bottom-up planning process to identify locally managed fisheries areas. The FPIC principles must be applied throughout the entire process, starting with awareness for sustainable fisheries, identification and mapping of local fisheries areas, identification of spawning grounds/ potential fish conservation areas, election and establishment of community fisheries committees, liaison with government to seek recognition of locally managed fisheries areas. The project must ensure the full participation of women*

and other vulnerable groups in the consultation process. Consultations can be done in both Burmese and local languages since FFI have staff that speaks the local languages Karen, Kachin/Rawang and Shan.

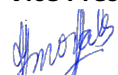
## V. PROJECT CATEGORIZATION



PROJECT CATEGORY	Category A	Category B	Category C
			X
<i>Justification:</i> The proposed activities will not have any negative environmental impacts. However, since the project triggered the Indigenous Peoples Safeguard, Involuntary Resettlement, Accountability and Grievance, Stakeholder Engagement and Gender Mainstreaming, activities showing compliance with these policies will need to be incorporated into the project work plan.			

## V. EXPECTED DISCLOSURE DATES

Safeguard Plan	CI Disclosure Date	In-Country Disclosure Date
Environmental & Social Impact Assessment (ESIA)	NA	NA
Environmental Management Plan (EMP)	NA	NA
Voluntary Resettlement Action Plan (V- RAP)	NA	NA
Process Framework for Restriction of Access to Natural Resources	Within 15 days of CI-GEF approval	Within 15 days of CI-GEF approval
Indigenous Peoples Plan (IPP)	IPP not required. FPIC process to be documented	IPP not required. FPIC process to be documented
Pest Management Plan (PMP)	NA	NA
Stakeholder Engagement Plan (SEP)	SEP not required. SE activities to be included in the annual workplan	SEP not required. SE activities to be included in the annual workplan
Gender Mainstreaming Plan (GMP)	GMP not required. GM activities to be included in the annual workplan	GMP not required. GM activities to be included in the annual workplan
Accountability and Grievance Mechanism	Within 15 days of CI-GEF approval	No later than inception workshop/kick-off meeting

## VI. APPROVALS

Signed and submitted by:		
Vice President: 	Name: Miguel Morales	Date: 3/10/2017

<b>Approved by:</b>		
<b>Safeguard Manager:</b> 	<b>Name:</b> Ian Kissoon	<b>Date:</b> 2016-03-07
<b>Comments:</b>		
<b>Project Manager:</b> 	<b>Name:</b> Orissa Samaroo	<b>Date:</b> 3/07/2017
<b>Comments:</b>		