

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: Thailand	GEF Project ID: 5784
Project Title: Promoting and Enhancing the Karen Indigenous Sustainable Socio-ecological Production System in Northern Thailand (<i>sub-project under Mainstreaming Biodiversity Conservation and Sustainable Management in Priority Socio-ecological Production Landscapes and Seascapes</i>)	
Executing Entity: Inter Mountain Peoples Education and Culture in Thailand Association (IMPECT)	
GEF Focal Area: Biodiversity	
GEF Project Amount: (Grant amount for sub-project) US\$93,168.59	
Other financing amounts by source: IFAD US\$50,000, Swedbio US\$30,000, Communities' contribution US\$20,000	
Reviewer(s): Orissa Samaroo	
Date of Review: 03/10/2016	
<p>Comments: The project will need to ensure that FPIC is clearly documented. As outlined in the Screening Form completed by IMPECT, the communities themselves will define the concrete activities that will be carried out to achieve the objectives of this project. This process of defining activities and obtaining consent will need to be documented.</p> <p>Please confirm that the project is not proposing activities related to the use of pesticides, prevention of pests, vector management or invasive alien species.</p> <p>Please provide a list of all stakeholders involved in the project, including reasons for participating in project and if they have already been consulted. In addition, stakeholder consultations will need to be clearly documented, including notes from the meetings, list of participants. During initial stakeholder activities/consultations, IMPECT will need to explain the Accountability and Grievance Mechanisms.</p> <p>Please ensure that consultations are designed to incorporate the needs and schedules of both men and women. Please document how many men and women were consulted with/ attended consultations. Ensure that FPIC process includes men and women.</p>	

B. Project Objective:

- Strengthen and promote culturally-based agriculture and natural resource management of Karen people in target area and for them to become a good model recognized by government agencies and replicable by other communities.
- Empower community leaders, organizations and networks to become effective in expressing their cultural and traditional knowledge and practices, in using modern mapping and land use planning technology, and in negotiating on the use of natural resources with policy-makers and others (e.g. private sector).
- Mainstream customary sustainable practices into local and national sustainable development and biodiversity policy (e.g. NBSAP) and practice through recognition by government agencies and in relevant policies and laws.

C. Project Description:

The landscape and ecosystems in which the three communities are located provide essential direct and indirect benefit to the villagers, including fresh air, water, food (e.g. both cultivated and wild crops, hunting and gathering), income from non-timber forest products (NTFPs) and materials to build houses and for craft.

The communities also place a major importance on the cultural aspects of the landscape as people believe that it is the space of the spirits that take care of forests, nature and water; this belief generates a deep responsibility to take proper care of the environment and some areas are declared as sacred sites.

The Mae Yod and Mae Um Pai communities are still strongly based on the practice of rotational farming, while the Khun Tae community is mostly based on paddy fields and other smaller crops but almost no more on rotational farming practice because the National Park policies and bilateral development project have forced people to abandon the traditional agricultural practice. The 3 villages have a strong community cohesion that has served as the basis for them to manage their resources in spite of many external pressures. The centuries-old sustainable practice of rotational farming is now threatened by the expansion of commercial monoculture farming projects. This proposed project is vital to strengthen the Karen sustainable socio-ecological production system so that it does not become displaced by the commercial farming projects in Mae Yod and Mae Um Pai and so that it gets revitalized in Khun Tae.

D. Project location and biophysical characteristics relevant to the safeguard analysis:

The project is located in the following districts:

- Mae Tae Khee (Khun Tae), Thailand, Chiang Mai Province, Chomthong District, Doi Kaew Sub district, Moo 5
- Mae Yod Khee, Thailand, Chiang Mai Province, Mae Chaem District, Mae Suk Sub district, Moo 9
- Mae Um Pai, Thailand, Mae Hongson Province, Mae La Noi District, Mae Tho Subdistrict, Moo 5

According a Forestry Department map, most of the forested areas still left in the country are located in Northern Thailand and most of the remaining forests are located in Chiang Mai and Mae Hongson provinces. The targeted communities for this project are located in a biodiversity hotspot.

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
1. Environmental & Social Impact Assessment (ESIA)		X		
<i>Justification:</i> Not applicable				
2. Natural Habitats		X		
<i>Justification:</i> The project is not proposing to alter natural habitats				
3. Involuntary Resettlement		X		
<i>Justification:</i> The project is not proposing any resettlement nor restrictions of access to natural resources				
4. Indigenous Peoples	X			
<i>Justification:</i> The project includes several activities that specifically mention Indigenous Peoples: 1. Strengthen or enhance indigenous leaders (including men, women, youth) organizations and networking through training and exposure trip. 2. Activities on community based GIS mapping. 3. Activities on cultural revival and transmission of indigenous knowledge to new generation. 4. Community self-reliant economy through forums, economic activities based on biodiversity-friendly activities and non-timber forest products.				
5. Pest Management		X		
<i>Justification:</i> Project activities are related to sustainability and biodiversity-friendly agriculture.				
6. Physical & Cultural Resources		X		
<i>Justification:</i> The project is not proposing any activities related to Physical and Cultural Resources				
7. Stakeholder Engagement	X			
<i>Justification:</i> The project plans to engage with communities, groups outside of the communities, including the Tambol (local) administration office (TAO), District governor, the Prime Minister Office, the Ministry of Culture and Princess Sirinthorn Anthropology Centre. In addition, the project will also collaborate with different NGO agencies to form a team to actively support the villagers to implement activities at the local level.				
8. Gender mainstreaming	X			
<i>Justification:</i> According to the project, Karen society is matriarchal, women already have a strong structure to support women's role and power, while men also play a major role in the society. However, in this project, the balance of men and women power relationships, particularly on decision making will be given particular attention. All committees will need to have balance between men and women, capacity building process (e.g leadership training, exposure trip, youth training) will also always ensure gender balance and secure space for women and youth.				
9. Accountability and Grievance Mechanisms	X			
<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 four safeguard polices. These are:

- I. Indigenous Peoples,*
- II. Stakeholder Engagement,*
- III. Gender, and*
- IV. 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. 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.*

II. 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.

III. 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.*

IV. 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 communities (including Indigenous Peoples), groups outside of the communities, including the Tambol (local) administration office (TAO), District governor, the Prime Minister Office, the Ministry of Culture and Princess Sirinthorn Anthropology Centre. In addition, the project will also collaborate with different NGO agencies to form a team work to actively support the villagers to implement activities at the local level.

The mechanisms for consultation and disclosure should be culturally appropriate, gender sensitive, effective, and in keeping with local customs. Engagement can take the form of village meetings, group meetings, workshops, interviews/surveys, etc. and done using local languages and methods. The Executing Entity should take these contexts into consideration when designing engagement activities.

The project indicated that an effort will be made to ensure that all social groups in each village (women, men, youth) have the opportunity to fully participate in the project, and that the project objectives and activities will be reviewed and monitored regularly with the villagers and revised when needed.


IV. PROJECT CATEGORIZATION



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

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	NA	NA
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

<i>Signed and submitted by:</i>		
Vice President: 	Name: Miguel Morales	Date: 3/10/2017
Approved by:		
Safeguard Manager:	Name:	Date:

	Ian Kisson	2016-03-07
Comments:		
Project Manager: 	Name: Orissa Samaroo	Date: 3/07/2017
Comments:		