CI-GEF Project Screening Form
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1. The CI-GEF Project Agency undertakes environmental and social safeguard screening of each proposed project to determine whether an ESIA is required and if so, the appropriate extent and type of ESIA (see Policy #1 and Appendix I for more details). The CI-GEF Project Agency classifies the proposed project into one of three categories, depending on the type, location, sensitivity and scale of the project and the nature and magnitude of its potential environmental and social impacts. The descriptions of the categories and lists of types of projects identified in Appendix I are meant to serve as guidance to proposal reviewers and are not meant to be exhaustive.
2. All proposed activities will undergo safeguard screening to determine eligibility under CI-GEF ESMF policies, the type of ESIA that they are subject to and if proposed project activities trigger any of the safeguards policies.
3. **The Executing Entity** is responsible for providing responses to each of the questions outlined in this form when submitting a PIF to the Project Agency for consideration.
4. **The Project Agency is responsible for conducting** all aspects of the safeguard screening process, from initiation to making the final decision on whether or not an ESIA is necessary and, if so, at what level along with whether a project-level plan is required if a safeguard is triggered.

I. PROJECT DATA SUMMARY		
Country: Timor-Leste	**GEF Project ID**: 9434	
Project Title: Securing the long-term conservation of Timor-Leste biodiversity and ecosystem services through the establishment of a functioning National Protected Area Network and the improvement of natural resource management in priority catchment corridor		
Name of the Executing Entity(ies): Conservation International Timor-Leste, Ministry of Agriculture & Fisheries, Ministry of Commerce, Industry & Environment		
Length of Project: 48 *months*	**Start date**: September 1 2016	**End date**: September 30 2020
Introduction: (location, main issues to be addressed by project) Irabere river and Comoro river catchments in Timor-Leste. Main issues to be addressed by this project include: • Assessment of the Environmental problems such as over exploitation of natural resources; habitat degradation; pollution, erosion and soil degradation, invasive species and climate changes and their main causes. • Barriers that have contributed to the environmental problems above such as knowledge gaps; poor or limited institutional coordination; financial limitation resulting from lack of alternative livelihoods; legal gaps and weak enforcement from the authorities, and capacity limitation due to language barrier. All the above issues are aimed at a broader goal of ensuring that there is an establishment of a Timor-Leste's National Protected Area Network and improve the management of the forest ecosystem in the priority catchment corridors.		
Project Background: (description of physical, biological and socioeconomic context, including Indigenous Peoples and reference to how gender may play a role) Timor-Leste (8°127 S – 9.643 S and 124°052 E – 127.345 E) formerly known as East Timor, covers the eastern half of the Timor Island, sharing its border with Indonesia and the north-west boundary of Australia. Timor-Leste also includes the islands of Atauro and Jaco, and covers an area of 15,007 km2, with a coastline of 706 km. The lowest points are the Savu, Timor, and Banda Sea's, and the highest is Foho Tatamailau (2,986 masl). The capital of Timor-Leste is Dili. The country is divided into 13 municipalities of which one, Oecusse, is a coastal enclave sitting within the western part of the Timor island, in Nusa Tenggara Timur, Indonesia. After declaring independence from Portugal in November 1975, Timor-Leste was invaded and occupied by Indonesian forces nine days later. Over the next two decades an ultimately unsuccessful campaign of pacification followed during which an estimated 100,000 to 250,000 individuals (approximately 20% of the population of		

Timor-Leste) lost their lives. Both the military action as well as substantial commercial exploitation by Indonesian interest during this period contributed to the significant destruction of local ecosystems and natural capital.
In August 1999, in a popular referendum supervised by the United Nations (UN), an overwhelming majority of the people of Timor-Leste voted for independence from Indonesia. In the three weeks that followed anti-independence militias, organised and supported by the Indonesian military, commenced a large-scale, scorched-earth campaign of retribution. The militia killed approximately 1,400 Timorese and created hundreds of thousands refugees. In September 1999, Australian-led peacekeeping troops were deployed to the country and brought the violence to an end. However, most of the country's infrastructure - homes, irrigation systems, water supply systems, schools and the country's electrical grid – were already destroyed. Unfortunately, in addition to this, any government records, socio-economic information and scientific data that had not been destroyed was now held in Jakarta and so it remained virtually inaccessible to those tasked with the responsibility of rebuilding the new country.
In May 2002, Timor-Leste was internationally recognized as an independent state. While the last decade has seen continued internal tensions (most notably at the time of the 2006 elections, which saw the instalment of an International Stabilization Force and UN Security Council Mission). Security forces were withdrawn in 2012. Timor-Leste now has its 6th government in place in 12 years.
Timor-Leste has a relatively small population of 1.2 million but with a staggering 65% of the population under 25 years of age Timor-Leste is one of the youngest countries in the world. Life expectancy is around 68 years, but infant mortality is still just under 40 deaths/1,000 live births, and 45% of children under the age of five are underweight. Population growth rate remains high at 2.44%. The majority of children attend school for 12 years, but only half (48%) the population can read and write. Over 70% of the population resides in rural areas, and over half the urban population resides in Dili. Despite strong economic growth over the last decade, the World Bank estimates the poverty level has increased from 36% in 2001 to almost 50% in 2015. This dichotomy is mainly attributed to the oil and gas extraction off shore that has impacted the country's macro-economic figures but has had very little impact on the economic situation for the Timorese people and their living standards. The increase in poverty underscores a very strong need for the nation to address the pressing issue of a growing and predominantly young population placing more pressure on ecosystems as they look for employment opportunities and to support their families.
Of the total population, 80% are rearing livestock and 63 % are directly engaged with agricultural production, mainly subsistence farming. Agriculture provides livelihoods for more than 80% of the Timorese population, and accounts for 30% of the GDP . Main crops are rice, maize and coffee. The industry/manufacturing sector is underdeveloped and the non-oil and gas sector contributes little to the GDP.
The development of oil and gas resources in offshore waters has greatly supplemented government revenues. This technology-intensive industry, however, has done little to create jobs for the unemployed, in part because there are no production facilities in Timor-Leste. Gas is piped to Australia. In June 2005, the National Parliament unanimously approved the creation of a Petroleum Fund to serve as a repository for all petroleum revenues and to preserve the value of Timor-Leste's petroleum wealth for future generations. The Fund held assets of US$9.3 billion as of December 2011. Benefitting from high global oil prices, Timor-Leste achieved lower middle-income status in 2011, but this growth has not been accompanied by a reduction in poverty which remains persistently high, particularly in rural areas, where the majority of the population lives. With the drop in oil prices in 2015, Timor-Leste came to the realization that overnight the Fund lost around US$15 million in value, seriously reducing the life span of the fund.
The Wallacea Biodiversity Hotspot, to which Timor-Leste belongs, is situated between the Sunda and Sahul continental shelves and includes a large part of the Indonesian archipelago. The land area is therefore fragmented into thousands of islands covering an area of 33.8 million hectares and separated by deep oceanic trenches. Wallacea is comprised of three biogeographic sub-regions: Maluku, Sulawesi and Lesser Sundas (of which Timor-Leste is a part). This Biodiversity Hotspot has a total 560 species classified as threatened with extinction by IUCN in the critically endangered, endangered, or vulnerable categories, and of these threatened species 308 are terrestrial or freshwater while 252 are marine. As of 2011, forests covered 17.7 million hectares (only approximately 50%) of the Wallacea land surface: Sulawesi contributes the largest forest cover with 56%, while Maluku has 24%, and the Lesser Sundas 19% (of which Timor-Leste contributes 4%).

Timor is a mountainous island surrounded by a narrow band of coastal plain, reef and seagrass. Timor-Leste covers the entire eastern half of the island of Timor and the rest belongs to Indonesia except for the Timor-Leste enclave of Oecussi. The country's closest neighbours are Indonesia to the west, north, and east; Australia to the south; and Papua New Guinea to the far-east. The climate is tropical with a great deal of local variations as is common in small islands with steep topography.

The majority of Timor-Leste is steeply sloped (gradients greater than 40%). The country extends East to West and is very narrow from North to South. Three sides are surrounded by sea with a mountainous central ridge where the elevation rises to almost 3,000 meters above sea level at Tatamailau (Mount Ramelau).

Limestone and metamorphosed marine clay are the basis from which Timor-Leste's thin soils are derived which means that they tend to have low to medium fertility and are typically fragile and highly susceptible to erosion (especially with the heavy rainfalls experienced during the rainy season). The country's significant altitudinal range plays an important role in modifying soil formation through temperature and rainfall variation leaving four major soil units and creating five distinct forest areas:

a. The Eastern region contains the majority of primary forest within the Nino Konis Santana National Park.
b. The Northern area contains mainly drought-resistant tree species and is also where the widest stretches of mangrove are located.
c. The Central area is dominated by coffee plantations, sparse, dry forest and mosaic land-use (remaining mountain forests here are located in steep gullies or rocky locations).
d. The Western region contains smaller areas of primary forest.
e. The Southern area contains mostly coastal forest including swamp and mangrove.

Timor-Leste holds a large number of globally significant ecosystems including tropical rainforests, mangroves, wetlands as well as agricultural areas and remarkably rich marine ecosystems. The Lesser Sundas, in particular, also offer large areas of seagrass beds (covering more than 700,000 hectares) concentrated in shallow coastal waters free from intense wave action and sedimentation. Seagrass areas function as a nursery for many invertebrate and fish species and provide rich feeding grounds for fish, molluscs, green turtles and dugongs. In addition they stabilize offshore sand reservoirs, act as sediment collectors and prevent coastal erosion.

Timor-Leste as part of the Coral Triangle offers the richest marine biodiversity on earth. The Coral Triangle holds some 76% of the world's coral species, six of the world's seven marine turtle species, more than 3,000 species of reef fish and a wide diversity of marine mammals (including whales and 22 species of dolphin). The marine basins between the island arcs may be several thousand meters deep and are swept by powerful currents forming a barrier to the dispersal of terrestrial species and an obstacle to the dispersal of marine species.

Timor-Leste's mostly mountainous environments have experienced significant destruction of natural capital and ecosystem services caused variously by deforestation, poor farming practices, wildfires and overgrazing. Most worryingly the country now experiences extended periods during which water is not available to rural communities. In total only three of the 29 main river catchments in Timor-Leste are now considered to be perennial. This lack of water flow, over already shallow soil, is directly influenced by the reduced vegetative cover which would otherwise allow for deeper permeation of water into the shallow soils.

Project Objectives: To establish Timor-Leste's National Protected Area Network to improve the management of forest ecosystems in priority catchment corridors

Project Components and Main Proposed Activities:

1. Establishment of a National Protected Area Network ;
   - Review legislation and complete a Gap Analysis
   - Develop a PAN strategy and associated legislation
   - Develop a long term business and financial plan for the PAN
   - Design and implement PA management plans in 2 PA's as well as developing HCV plans for forests
2. Improvement of community-based natural resource management systems in priority catchments corridors;
   - Develop Suco level NRM plans
   - Improve Suco regulations
   - Improve household level income
   - Training and education programs for Youth, Adult and communities

3. Improvement of forest management and reforestation of degraded lands in priority catchment corridors
   - Mapp remaining forest for HCV
   - Develop community based forest plans
   - Establish community tree nurseries for reforestation and restoration purposes
   - Develop and implement restoration and reforestation plans

Compliance with Environmental Conventions:
Explain how your project's objectives, outcomes and outcomes align with the main conventions that CI adheres to. These include UNCBD*,* UNFCCC*,* RAMSAR Convention*,* CITES*, and* UNCCD.

Timor-Leste is currently in the process of ratifying CITES, but as yet has not begun any process for the RAMSAR Convention. As a signatory to the UN Convention on Biological Diversity (2007), UN Framework on Convention on Climate Change (2007), Kyoto protocol to the UNFCC (2009) the government of Timor-Leste is aspiring to fulfil its commitments to address the environmental challenges facing the nation. The importance to protection of the environment is also highlighted in the constitution and as such these aspirations are also highlighted in the National and Sectoral Plans and Programmes of Timor-Leste (2011-2030) where economic growth is achieved in tandem with an environmentally sustainable society. The responsibility for the governance of biodiversity and natural resource management sits with three Ministries: the Ministry of Economy and Development; the Ministry of Agriculture, Forestry and Fisheries; and the Ministry of Commerce, Industry, and Environment, and their respective directorates.

Compliance with Country Legal and Institutional Frameworks:
1. Explain how your project aligns/will align with national laws and/or frameworks related to the environment (this may include national ESIA or EIA laws, etc.)

Timor-Leste approved and promulgated its National System on Protected Area Decree Law No.5/2016, 16 March 2016. This project timely fit and supporting national efforts to establish its national network for Protected Area. The Forestry Law and Community based forestry Decree Law are still under process and will be submitted to the government by the end of 2016. The National Plan of Action for Land Degradation is currently out of date and could be included in this project as one of the pieces of legislation to be reviewed and updated.

Draft Biodiversity Decree Law	To protect and maintain biodiversity in Timor-Leste through science and collaborative management
National Biodiversity Strategy and Action Plan of Timor-Leste (2011-2020)	Includes two strategic priorities that the project responds to: (i) building climate-resilient ecosystems through effectively managing protected areas and reducing threats to biodiversity; and (ii) enhancing biodiversity and ecosystems services to ensure benefits to all.
National Adaptation Program of Action (NAPA) on Climate Change	The project will contribute to the several NAPA priorities. First of all it will help to *build resilience of rural livelihoods to secure national food security.* Second, the project specifically responds to the priority on *restoration and conservation of ecosystems and awareness raising to protect ecosystems exposed to degradation.* Third, *improving institutional and human resource capacity*.
Environmental Policy (2012)	Guides the Government in managing its environment and natural resources in order to achieve a sustainable economic development.
National Forest Policy and Strategy No.9/2007	The overarching objectives of policy is to protect all forests from damage or loss through program that will empower encourage and involve local communities to manage forest land, through public relations and education activities, the prevention and physical control of wild fires and reduce livestock grazing.
National Action Program to Combat Land Degradation	The government of Timor-Leste realizes that poverty reduction is only possible if the environment is able to provide the services that people depend upon and if natural resources are used in a manner that does not undermine long-term development

Draft Community Forestry Policy 2007	To implement the Government's plan to delegate authority for the management of natural resources to the lower levels of government and to the civil society. The aim of the draft Forest Policy is to enable the implementation of sustainable forest management for the long term economic benefit of the nation (particularly the rural communities) and for maintaining the provision of ecosystem goods and services.
Strategic Action Plan for the Programme of Works on Protected Areas, Timor Leste, 2011	Protected areas must not be planned and managed as isolated "islands" but be linked with mechanisms such as buffer zones or corridors to ensure ecological integrity is maintained. The relationship between protected areas and surrounding lands and waters are also of paramount importance and should be considered so that management regimes for both protected areas and adjacent lands can be harmonized for their mutual benefit.
The National Ecological Gap Assessment (2010)	Recommends the completion and establishment of the protected area network; Management plan needs to be developed for all protected areas. Without regulations and zoning, the conservation values of these protected areas cannot be ensure; and advises that additional areas not yet identified be included in the network to ensure all critical habitats and species are protected; The protected area network is linked to ensure viable corridors for species migration and to prevent isolation

2. When national legal and institutional frameworks are inadequate, the proposal should include a statement explaining how this problem will be addressed, either as part of the project or by a third party.

The majority of national related laws and regulation are in place, and those still in draft or needing review have been considered by this project as one if its activities. Institutionally, the country has strong team to deliver the project objectives since this will join executing between CI and ministries

3. When national legal and institutional frameworks do not apply to or impact the project and its objectives, the reason for that conclusion needs to be stated.

Relevant ministries to this project are well aware on the processes and CI Timor-Leste has actively engaged key departments under Forestry, Fisheries and Environment in order to maintain national ownership.

Project Justification *(e.g., Alignment with Country and CI Institutional Priorities, GEF Focal Area Strategies):*

This project aims to formally establish the Timor-Leste PA Network and strengthen the management of two key catchment areas as pilot sites to demonstrate how to manage protected areas and corridors outside PAs. The project also aims to build the understanding, ability, and capacity of the local communities, to manage their own resources in accordance with the collaborative management requirement of the country.

Component 1 of this project is consistent with the GEF-6 Objective 1 of the Biodiversity Focal Area (BD1: *Improve Sustainability of Protected Area Systems*). The project objective is to establish a formal PA Network which includes and conserves globally important biodiversity, and to improve the management of two key protected areas as demonstration sites. The project also aligns with Program 1: *Improving Financial Sustainability and Effective Management of the National Ecological Infrastructure* through the development of a long-term financial plan for the PA Network.

Component 2 of this project will directly contribute to advance the GEF-6 LD-1 objective (*Maintain or improve flows of agro ecosystems to sustain food production and livelihoods*) through working with local communities in two priority catchment areas in developing and implementing natural resource management (NRM) plans, including sustainable use of natural resources into traditional Suco regulations, and building capacity of people to improve livelihoods.

Component 3 of this projects will contribute to the GEF-6 SFM 1 and 2 (*Maintained Forest Resources and Enhanced Forest Management, respectively*) through the sustainable forest management activities to be implemented with local communities and the reforestation of degraded areas within priority catchments.

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The resources from the GEF will support Timor-Lestes´ advances to contribute towards the fulfillment of the Aichi biodiversity targets (in particular target 11[1]), and to progress towards the targets set out in the National Biodiversity Strategy and Action Plan for Timor-Leste 2011-2020:
a. Target 11 (Protected Areas, Landscapes and Seascapes) by establishing a formal PA Network and improving the management of key protected areas; and
b. Targets 5 and 7 (Reduction of Habitat Loss and Sustainable Management of Natural Resources) by developing and implementing community Natural Resources Management plans, incorporating sustainability concepts and practices into traditional Suco regulations and improving forest management in two priority catchment areas.

GEF Focal Area(s): Biodiversity, Sustainable Forest Management, Land Degradation

GEF Project Amount: USD 3,750,000

Other Financing Amounts by Source: USD 14,100,000

C. INDICATIVE SOURCES OF CO-FINANCING FOR THE PROJECT BY NAME AND BY TYPE, IF AVAILABLE Sources of Co-financing	**Name of Co-financier**	**Type of Co-financing**	**Amount ($)**
GEF Agency	Conservation International	Unknown	400,000
Recipient Government	Ministry of Agriculture and Fisheries	In-kind	1,000,000
Others	Center for Biodiversity and Climate Change – Universidade National Timor Lorosa'e (UNTL)	In kind	400,000
NGO	Permatil and other relevant NGO's registered with the NGO Forum	In-kind	400,000
Recipient Government	Ministry of Environment (Director General of Environment; National Development Agency/Integrated Regional Development; National Directorate of Planning & Tourism Development)	In-kind	10,000,000
Others	Local governments (municipalities / Suco)	In-kind	500,000
Others	development Partners (TBD)	Unknown	1,000,000
Beneficiaries	Cooperatives / local stakeholders	In-kind	400,000
Total Co-financing		14,100,000	

Safeguard Screening Form Prepared by: Conservation International Timor-Leste

Date of preparation: 10/08/2016

Comments:

II. PROJECT ELEGIBILITY QUESTIONS

Answer the following questions to determine if the project is eligible for CI-GEF funding

Will the project:	**Yes**	**No**
1. Propose to create significant destruction or degradation of *critical natural habitats*[1] of any type or have significant negative socioeconomic and cultural impacts that cannot be cost-effectively avoided, minimized, mitigated and/or offset?	☐	☒

[1] Habitats considered essential for biodiversity conservation, provision of ecosystem services and the well-being of people at the local, national, regional o global levels. They include, among others, existing protected areas, areas officially proposed as protected areas, areas recognized as protected by traditional local communities, as well as areas identified as important for conservation, such as Key Biodiversity Areas (KBAs), Alliance for Zero Extinction (AZE) Sites, Important Bird and Biodiversity Areas (IBAs), Biodiversity Hotspot, Ramsar Sites, areas identified as important for ecosystem services such as carbon storage, freshwater provision and regulation, etc.

2. Propose to create or facilitate significant degradation and/or conversion of *natural habitats* of any type including those that are legally protected, officially proposed for protection, identified by authoritative sources for their high conservation value, or recognized as protected by traditional local communities?	☐	☒
3. Propose to carry out *unsustainable* harvesting of natural resources -animals, plants, timber and/or non-timber forest products (NTFPs)- or the establishment of forest plantations in *critical natural habitats*?	☐	☒
4. Propose the introduction of exotic species that can certainly become invasive and harmful to the environment, for which is not possible to implement a mitigation plan?	☐	☒
5. Contravene major international and regional conventions on environmental issues?	☐	☒
6. Involve *involuntary resettlement, land acquisition, and/or the taking of shelter and other assets* belonging to local communities or individuals?	☐	☒
7. Propose the use of pesticides that are unlawful under national or international laws?	☐	☒
8. Involve the removal, alteration or disturbance of any *physical cultural resources*?	☐	☒
9. Will the project include the construction and/or operation of dams?	☐	☒

III. PROJECT ELEGIBILITY ASSESSMENT

If you answer **YES** to any of the questions above, your project **IS NOT ELIGIBLE** for funding

If you answer **NO** to all of the questions above, please proceed to answer the safeguard questions below

IV. SAFEGUARD QUESTIONS

The sections below will help the CI-GEF Project Agency to determine whether your project triggers any of the CI-GEF safeguard policies. As a Project Agency implementing GEF funding, CI is required to assess all applications to determine if safeguards are triggered, and if so, whether or not appropriate mitigation measures are included in project design and implementation. For further information on CI application of safeguards please refer the Appendix section of this form.

SECTION 1: ENVIRONMENTAL AND SOCIAL IMPACT ASSESSMENT (ESIA)

Has a full or limited ESIA that covers the proposed project already been completed?

☐ **NO** → Continue to Section 2 (*do not fill out Table 1.1 below*)

☒ **YES** → No further environmental and social assessment is required **if** the existing documentation meets the CI-GEF Project Agency "*Environmental and Social Management Framework (ESMF)*" policies and standards, and environmental and social management recommendations and/or plans are integrated into the project. Therefore, you should undertake the following steps to complete this screening process:

1. Use Table 1.1 below to assess existing documentation. It is recommended that this assessment be undertaken jointly by the CI-GEF Project Agency and the Executing Entity;
2. Ensure that the development of the full Project Document incorporates the recommendations made in the existing ESIA; and
3. Submit this template, along with other relevant documentation to the Project Agency.

TABLE 1.1: CHECKLIST FOR ASSESSING QUALITY ASSURANCE OF EXISTING ENVIRONMENTAL AND SOCIAL IMPACT ASSESSMENT (ESIA)

1. Is the assessment a: ☐ **A FULL ESIA** ☒ **A LIMITED ESIA**	**Yes**	**No**
2. Does the assessment meet its terms of reference, both procedurally and substantively?	☒	☐
3. Does the assessment provide a satisfactory assessment of the proposed project?	☒	☐
4. Does the assessment contain the information required for decision-making?	☒	☐
5. Does the assessment describe specific environmental and social management measures (e.g., avoidance, minimization, mitigation, compensation, monitoring, and capacity development measures)?	☒	☐
6. Does the assessment identify capacity needs of the institutions responsible for implementing environmental and social management issues?	☒	☐
7. Was the assessment developed through a consultative process with key stakeholder engagement, including issues related to gender mainstreaming and Indigenous Peoples?	☒	☐
8. Does the assessment assess the adequacy of the cost of and financing arrangements for environmental and social management issues?	☒	☐
9. For any "no" answers, describe below how the issue has been or will be resolved or addressed		

SECTION 2: PROTECTION OF NATURAL HABITATS

Will the project cause or facilitate any significant loss or degradation to natural habitats, and their associated biodiversity and ecosystem functions/services?

☒ **NO** → Continue to Section 3

☐ **YES** → Continue to Table 2.1. below

TABLE 2.1: CHECKLIST FOR PROTECTION OF NATURAL HABITATS	**Yes**	**No**
1. Is the project located or expected to be located near or in existing protected areas?	☐	☐

If your answer was yes, please provide the following information:
a. Name, area, management category, governance arrangement, and current management activities of protected areas being affected by the project:

b. Description of project activities that will affect existing protected areas:

2. Is the project located within any other type of critical natural habitat?	☐	☐

If your answer was yes, please provide the following information:
a. Description of the critical natural habitat to be affected by the project:

b. Description of project activities that will affect critical natural habitats:

3. Will the project affect species identified as threatened at the local and/or global levels?	☐	☐

If your answer was yes, please provide the following information:
a. Name and conservation status of the species that will be affected by the project:

b. Description of project activities that will affect threatened/endangered species:

4. Will the project implement habitat restoration activities:	☐	☐

If your answer was yes, please provide the following information:
a. Type and extent of habitats to be restored:

b. Description of project activities for habitat restoration:

c. Description of the contribution of the project in restoring or improving ecosystem composition, structure, and functions/services:

SECTION 3: VOLUNTARY RESETTLEMENT AND/OR RESTRICTIONS TO ACCESS/USE OF NATURAL RESOURCES

Will the project involve the voluntary resettlement of people and/or direct or indirect restrictions of access to and use of natural resources?

☐ **NO** → Continue to Section 4

☒ **YES** → Continue to Table 3.1. below

TABLE 3.1: CHECKLIST FOR VOLUNTARY RESETTLEMENT	Yes	No
1. Will the project involve the voluntary resettlement of people?	☐	☒
If your answer was yes, please provide the following information: a. Name of communities, description of livelihood, ethnicity, and estimated number of people to be resettled: b. Means by which the community(ies) provided or will provide consent for the resettlement, ensuring that vulnerable/marginal groups such as women are thoroughly consulted: c. Description of the activities that will be carried out for the resettlement:		
2. Will the project introduce measures to restrict people from accessing or using resources that they have been using prior to the implementation of the project?	☒	☐

If your answer was yes, please provide the following information:

a. Name of resource, tenure status, type of use and extent (quantity) of the resources being used, and, if applicable, who tends to use the resources (men, women, youth, etc.):

In developing the Management Plans for 2 PA's, zoning of the PA's will be undertaken to identify the highest conservation priority areas, as well as areas for sustainable use. The High conservation priority areas may be listed as No Take Zones and therefore exclude any human use. This may restrict or ban under traditional law anyone entering these areas

b. Description of project activities that will affect access to natural resources and their potential positive and negative impacts on the environment and people, and how they will be gender-sensitive if necessary:

Activities associated with developing the PA management plans as above description

c. Means by which the community(ies) provided or will provide consent for the restriction to access and use resources:
During the develop of the management plans, full consultation with communities, government, and stakeholders will be carried to ensure that the management plan, including the zoning is approved and endorsed by all users.

d. Means by which the community (ies) or affected people will be compensated:
No compensation will be involved

SECTION 4: INDIGENOUS PEOPLES [2]

Does the project plan to work in lands or territories traditionally owned, customarily used, or occupied by indigenous peoples?

☒ **NO** → Continue to Section 5

☐ **YES** → Continue to Table 4.1. below

TABLE 4.1: CHECKLIST FOR INDIGENOUS PEOPLES	Yes	No
1. Will the project activities directly or indirectly affect indigenous peoples?	☐	☐

[2] According to CI Policy on Indigenous Peoples, "*CI identifies indigenous peoples in specific geographic areas by the presence, in varying degrees, of: a) Close attachment to ancestral and traditional or customary territories and the natural resources in them; b) Customary social and political institutions; c) Economic systems oriented to subsistence production; d) An indigenous language, often different from the predominant language; and f) Self-identification and identification by others as members of a distinct cultural group".*

If your answer was yes, please provide the following information when applicable:
a. Name of communities, description of livelihood, ethnicity, estimated number of people to be affected by the project:

b. Description of the project activities and their impacts on indigenous peoples, including if the project is likely to impact particular subgroups of indigenous people such as women or youth:

c. Means by which the project will respect free, prior and informed consent (FPIC) with the affected communities, while ensuring that marginalized subgroups are included:

d. Description of the approach to be implemented to ensure that indigenous peoples receive culturally appropriate benefits that are negotiated and agreed upon with them:

e. Description of the approach to be implemented to ensure the fair participation of indigenous people in the design and implementation of the project:

SECTION 5: PEST MANAGEMENT

Does the project plan to implement activities related to agricultural extension services including the use of approved pesticides (including insecticides and herbicides) or alien invasive species[3] management?

☒ **NO** → Continue to Section 6

☐ **YES** → Continue to Table 5.1. below

TABLE 5.1: CHECKLIST FOR PEST MANAGEMENT	Yes	No
1. Will the project include the use of approved pesticides and other chemicals?	☐	☐

[3] *Invasive alien species* (IASs) are plants, animals, pathogens and other organisms that are non-native to an ecosystem, and which may cause economic or environmental harm or adversely affect human health. In particular, they impact adversely upon biodiversity, including decline or elimination of native species - through competition, predation, or transmission of pathogens - and the disruption of local ecosystems and ecosystem functions (*CBD, 2006*).

If your answer was yes, please provide the following information:
a. Name, description and proposed use of approved pesticides/chemicals:

b. Description of how the Executing Entity will conduct the assessment of the nature and degree of associated risks, taking into account the proposed use and intended users:

c. Description of positive and negative impact on the environment, non-targets, and people:

d. Description of how the Executing Entity will train communities to responsibly manage products, equipment, and containers to avoid harm to human health or broader environmental contamination:

e. Description of how the Executing Entity will avoid the use of herbicides and pesticides near water sources and their contamination with pesticide residues when cleaning the equipment used:

f. Description of how the Executing Entity will ensure that pesticides used would be properly applied, stored, and disposed of, in accordance with practices acceptable to the CI-GEF Project Agency:

2. Will the project include the use of ecologically-based biological/environmental integrated pest management practices (IPM) and/or Integrated Vector Management (IVM)?	☐	☐

If your answer was yes, please provide the following information:
a. Description of approach to be used:

b. Description of potential positive and negative impacts of the approach to be used in the project:

d. Description of how the Executing Entity will assess the risk of the danger to non-target species:

e. Description of how the Executing Entity will train communities to responsibly implement these approaches:

SECTION 6: PHYSICAL CULTURAL RESOURCES

Does the project plan to remove, alter or disturb any physical cultural resources (PCRs) [4]?

☒ **NO** → Continue to Section 7

☐ **YES** → Continue to Table 6.1. below

TABLE 6.1: CHECKLIST FOR PHYSICAL CULTURAL RESOURCES (PCR)	Yes	No
1. Will the project plan to work in areas that fall into categories under PCR, including archaeological, paleontological, historical, architectural, and sacred sites including graveyards, burial sites, and sites with unique natural values?	☐	☐

If your answer was yes, please provide the following information:

a. Name, description of the known physical cultural resources to be affected by the project, and cultural importance to local community(ies):

b. Description of project activities to be implemented and their positive and negative impacts on PCRs:

c. Description of the mitigating measures to be implemented by the Executing Entity:

d. Description of how the Executing Entity will handle issues related to consultations, siting, change-finds procedures, construction contracts and buffer zones:

SECTION 7: STAKEHOLDER ENGAGEMENT

1. **Stakeholders Participation**: Describe any stakeholders important to the project and how you have involved or plan to involve them in the planning and implementation of the project.

The Project will install a Project Steering Committee to oversee the implementation. The committee will be made up of locally nominated community members from each of the 2 catchments, government representatives, CI and other key NGO's, and private sector representatives

a. National level stakeholder participation. This will include various government departments, NGOs and CSOs, and private sector to provide their view and inputs during the beginning phase and also feedback during implementation via the steering committee

b. Municipals and Villages level community leader participation. This will involve active participation of the municipals stakeholder and Villages insight to the project and build sense of ownership

[4] PCRs are defined as movable or immovable objects, sites, structures, and natural features and landscapes that have archeological, paleontological, historical, architectural, religious, aesthetic, sacred sites or other cultural significance.

SECTION 8: GENDER MAINSTREAMING

Describe how the Executing Entity will ensure that gender is mainstreamed throughout the project according to the CI-GEF Gender Mainstreaming Guidelines (see Appendix VIII of the ESMF for more information):

Women are key stakeholders in a large number of activities that occur within and adjacent to the Protected Areas. These activities range from direct collection of firewood, farming, to running households, and as part of Sucos/Aldeas, and national governments.

The proposed project is firmly rooted in CI's belief that in order for conservation work to be successful gender and the understanding of gender roles plays an important role in achieving our long-term goals and objectives. As part of Conservation International's existing Rights-based Approach to conservation, CI has identified gender as a critical component of the overall strategy to protect human rights and ensure equitable participation and decision-making by stakeholders at all scales in our project activities. Both men and women encounter constraints based on gender to varying degrees and if unaddressed, these constraints can cause delays or impediments to achieving CI's global mission.

To ensure that the project meets CI-GEF Project Agency's Gender Mainstreaming Policy, the executing entity will develop a Gender Mainstreaming Plan (GMP) during the PPG phase of the project. The aim of the GMP will be to identify needs and opportunities to mitigate potentially adverse effects of the project on men and women, as well as promote gender equality an aspect of the project. The GMP will include an assessment of gender roles, responsibilities, uses, and needs relating to the environment/natural resources on which the project will be based (e.g., patterns, participation in management, etc.), as well as both short-term and long-term costs and benefits of the project to men and women. It will also include potential roles, benefits, impacts, and risks for women and men of different ages, ethnicities, social structure, and status. Specific actions and activities will be identified to ensure that gender-related adverse impacts of this project are appropriately avoided, minimized, and/or mitigated.

2. Is there a risk that the project may infringe on men's or women's human rights[5]? Explain how these risks will be managed.

None.

3. Is the project likely to create, aggravate or perpetuate inequalities/conflicts between men and women within households and communities? Explain how this situation will be managed.

None.

4. Is the project likely to impact men or women (positively or negatively) in different ways? Explain how these differences will be managed:

Positively, it will impact men and women in different ways as both genders use the forest resources differently. Conservation International in Timor-Leste carried out its own research into the Gender and Natural Resource management (Gender Integration Pilot Project 2014) in the fishing communities of Nino Konis Santana National Park. The results showed a very distinct separation of tasks between men and women and the research has guided CI's continued engagement with communities and how to work to better empower women in this area. The research also had a direct impact in the way CI programs are designed in Timor-Leste and now each project has a community based field team consisting of one male and one female part time staff member.

[5] See Universal Declaration of Human Rights http://www.un.org/en/documents/udhr/

SECTION 9: ACCOUNTABILITY AND GRIEVANCE MECHANISM

1. Describe how the Executing Entity will ensure timely response/resolution of complaints from parties affected by the project

With a Steering Committee in place, any grievances will be dealt with in a fair, transparent and inclusive manner to ensure that information is at hand and a fair and just outcome is reached. Any local grievances that might occur on the ground shall be resolved through local traditional systems in order to maintain the harmonization between community, local leaders at villages, government agencies at municipality and national level; ensuring that the executing agency objectives are well communicated and well understood by the communities.

SECTION 10: ADDITIONAL INFORMATION

1. **External Assumptions**: Describe any important external factors (risks) that may affect your project during implementation and how you will mitigate these potential risks.

This project is a nationally owned, and its design included several entities to ensure its relevance to the current situation of Timor-Leste.

Uncertainty due to government shifts in priorities and policy changes. This will be mitigated by strengthening the political commitment by moving a number of key legislative documents from Draft to gazettement. This will greatly strengthen the country's ability to conserve key species and habitats as well protect natural resources, by providing guidance to officers in the management of the key areas.

Limited coordination/communication between sectoral agencies and/or ministries. It will be mitigated by strengthening the coordination of the two key Ministries responsible for environmental matters (MAF & MCIE) who are both working in close coordination on the design and implementation of the project with CI.

Continued threats to protected areas and terrestrial ecosystems through uncontrolled exploitation. The Project aims to provide incentives for the protection of catchments; PA's and forest ecosystems by identifying key alternative income and livelihoods, opportunities

Lack of institutional and individual capacities to implement policies and provisions of livelihoods to protection of ecosystems and PA's. It will be mitigated as CI will take on a mentoring role to ensure that capacity gaps are addressed appropriately. In addition, to ensure and strengthen further linkages to the communities and the different sectors of society, CI will link up with the local University to take on interns to support the implementation of the project and also to explore opportunities to include program work as part of a University course.

Lack of enforcement of current and new laws and regulations related to natural resource management and protected areas. The project is aiming to mitigate this risk by ensuring that relevant existing and new laws are socialized at community level. Currently communities are often unaware of the legislation in place and hence unaware that certain actions they take are actually breaking the law. In addition, most legislation in available only in Portuguese, a challenge also highlighted at Government level were officials, particularly at District level, are unable to access and understand the laws due to language barriers. The project will ensure that relevant laws are translated from Portuguese to Tetun and shared with the communities and local officials.

The community involvement is very important in some cases their buy-in, through the development of their own NRM plans and their uptake into the Sucos/Aldeas will further strengthen the implementation and enforcement of existing laws and regulations. In addition, the mapping of the different protected areas will highlight specific areas most vulnerable to forest fires or other environmental threats and this will allow for much targeted efforts as needed.

Financial sustainability of the efforts taken in the project limits the longevity of the project's impacts. Supporting the sustainability of the project efforts is the fact that the project is supporting not only one particular group but cuts across different parts and layers of Timorese society. The project itself is not providing direct funds to any entity but is used to demonstrate actions that the communities and others will directly benefit from. Hence, there is no such component as "work-for-cash" etc. that generates immediate cash payments to the communities that are difficult to maintain once the project comes to an end. In addition, supporting sustainability is the capacity building component cutting across and including all stakeholders, which will in some cases lead to certification, which in turn supports young people's ability to find alternative livelihoods.

Effects of Climate Change have a negative impact on the outcome of project activities such as re-vegetation and rehabilitation work. The project will involve expertise in forestry and re vegetation work and effects of climate change, rainfall and drought are taken into consideration

2. Long-term Sustainability/Replicability: Describe how project components or results will continue or be replicated beyond the initial project. Note that this may include elements of project design, tools utilized during the project, or project results.

Sustainability will be accomplished by addressing the key barriers identified by the project, such as;

Knowledge gap: Part of the knowledge gap will be addressed through the initial mapping of the national protected area network. It is expected that the findings will generate sufficient excitement around new species identification and a better understanding of the value of the available natural resources, to support further investigation of Timor-Leste's natural resources.

institutional coordination: The project will be implemented through the Ministry of Forestry Fisheries and Agriculture (MAF) by the Forestry department, along with and the Ministry of Commerce, Industry and Environment (MCIE), Department of Biodiversity, with CI supporting the coordination between the two entities. Previously, most programs have been implemented by one entity only and hence, this approach is supporting and fostering a more inclusive and coordinated working mentality between the two Ministries.

Financial limitations: Very little resources are currently allocated towards natural resource management and the protected areas protection of national parks. It is also well acknowledged that the Timorese government has many competing priorities and hence it is very important for the project to assess the financial long term aspects of the project. Hence, it will be very important to pilot and introduce different innovative financing mechanisms that can generate funding long-term. During the PPG phase CI and key stakeholders will identify different financing mechanisms, and build on their experience elsewhere, identify one to pilot in Timor-Leste.

Weak enforcement: Part of the focus on the project is to empower the local communities to engage in the protection and management of their own natural resources. Timorese legislation is based on the Portuguese system and therefore is also written in Portuguese. With the majority of the population not able to speak or read Portuguese, this has limited access to these laws by the people. Currently, few people in the communities are aware of the existing laws and regulations and hence unaware of action they may take that are actually in conflict with the law. The project will focus on socializing existing and new laws and regulations as they relate to NRM and protected areas. This includes making them available in Tetun, the local national language, as most laws currently are only available in Portuguese and hence little understood by the majority of the Timorese people. This language barrier is also a challenge within the government and particularly at District level. Ownership of the laws and regulations will also be strengthened the communities develop their own NRM plans and include them in their Sucos.

Capacity limitations: The capacity limitations will be addressed at all levels throughout the project hence to ensuring that there is a reduction in the gap currently experienced in the people capacity for natural resource management. Different stakeholders within the project (Government officials, adults and youth in the communities, students) will be offered different kinds of capacity building opportunities that will be targeted towards their needs, and will include sequenced training, both hands-on and more formal class-training training. CI will also ensure that there is an active mentorship program throughout the entire project to for both Government officials as well as the communities. Youth in the targeted areas will be provided a six month training that will include both in-the-field work and class room education in addition to numerous follow ups. This training will provide the participant with a certificate. Adults in the communities will receive training that also takes into consideration their role as bread winners of their families and will be a flexible combination of both hands-on and more formal education. In addition, the project will also link up to the local University to tap in and build on the local talent residing in Timor-Leste. Students will be provided internships and in some cases part of the program work could be built into their formal study courses.

The potential for scaling up is achievable as the World Database on Protected Areas (WDPA) lists Timor-Leste as having 10 tentatively Designated PAs and 19 Proposed PAs. There are no management plans in place or under development for any of them, and the PA delineations need to be refined and adapted as needed.

This project aims to develop a strategic blueprint for the PA Network in Timor-Leste, and to develop Management Plans for two PA's. The planning process, information gathered, and technical outcomes from the project (tools, management plans) are replicable by the Timor-Leste Government such that this project will facilitate further expansion of the network across the country to ultimately incorporate the entire PA system for Timor-Leste under one management strategy.

Information gathered, tools, and national capacity developed under the project will also be useful for creating a similar network for establishment of marine protected areas in Timor-Leste.

3. Social Context: Describe the broad socio-economic context of, and local communities living in, the area of the proposed project, with emphasis on men's and women's different roles, responsibilities and needs of natural resources that the project seeks to focus on.

The finer details of this information will be fleshed out during the PPG Phase of the project. The following points highlight the current country situation.

- Investments in industry and manufacturing is lagging behind which has a negative impact on employment opportunities for the country's young work force. Other socio-economic factors such as quality and access to education constitute additional obstacles towards economic growth in the non-oil/gas sector. Subsistence farming is the main livelihood for 80% of the population and with low soil productivity many resort to collecting fire wood or fishing to eke out a living.
- Population growth, currently 2.5% per year (2013 World Bank), puts additional pressure not only on the social infrastructure but further exacerbates the environmental threats Timor-Leste is poised with. With few alternative employment opportunities this growing population is increasingly dependent on natural resources for its survival at the same time as the available resources are becoming more scarce and threatened.
- Poverty and the lack of alternative livelihoods are contributing factors to the ongoing environmental threats to Timor-Leste's natural resources. Despite the country's rich oil reserves and exportation of gas to Australia, the number of people living below the poverty line has increased over the last two decades

and is now close to 50%. The economy on the other hand has been expanding, GDP growth in Timor-Leste was 7.10% in 2014. GDP Annual Growth Rate in East Timor averaged 6.61% from 2001 until 2014, mainly due to the exploration of oil and gas.

4. Describe how the project will work in this context and with the local communities, if relevant.

Local communities are key partner to the implementation of the project. Their participation could be by household or through locally registered organization that actively engage in managing natural resources.

The project strategy differs from other projects in that it includes a differentiated capacity building approach to address the different capacity building needs and circumstances of the different stakeholders across the entire society. Previous programs and projects and either focused very much on one group only and/or provided training with limited opportunities for follow up training and assessments. Youth in the communities will partake in a six month capacity training that includes both hands-on work in the communities and more formal training in a class room environment. This training will lead to a certification upon completion. The adult training includes both long-term and short-term training courses.

On a government level CI will take on a mentoring role to ensure that capacity gaps are addressed appropriately. In addition, to ensure and strengthen further linkages to the communities and the different sectors of society, CI will link up with the local University to take on interns to support the implementation of the project and also to explore opportunities to include program work as part of a University course..

5. **Institutional Capacity**. Describe the institution's capacity to implement the safeguard policies.

CI Timor-Leste under support of the CI regional Asia Pacific Field Division office and with excellent partnership from government is able to implement the safeguard policies in this project with minimum effects and risk to the local resources and ensure sustainable benefits to the local communities.