

Annex E. Social and Environmental Screening Template

The completed template, which constitutes the Social and Environmental Screening Report, must be included as an annex to the Project Document. Please refer to the [Social and Environmental Screening Procedure](#) and [Toolkit](#) for guidance on how to answer the 6 questions.

Project Information

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1. Project Title	China's Protected Area Reform (C-PAR) for Conserving Globally Significant Biodiversity (China's Protected Areas System Reform – Child Project #1 (CPAR1))
2. Project Number	PIMS 5688
3. Location (Global/Region/Country)	People's Republic of China

Part A. Integrating Overarching Principles to Strengthen Social and Environmental Sustainability

QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?

Briefly describe in the space below how the Project mainstreams the human-rights based approach

A human rights-based approach is about empowering people to know and claim their rights and increasing the ability and accountability of individuals and institutions who are responsible for respecting, protecting and fulfilling rights. The project will achieve integration of human-rights based approaches through its main objective: “Establish an effective National Park System through protected area reform and institutional innovation, increasing coverage of protected areas and improving effectiveness of PA management for conservation of globally significant biodiversity”. Conservation of biodiversity for current and future generations by its nature secures fundamental human rights.

Component 1 will support the Government reform process of the national protected area (PA) system, particularly the national park (NP) system, which is envisaged by the central government to act as the cornerstone for the national PA system. The project will provide support to the process by establishing effective governance and legal frameworks for the national PA system, harmonized an effective national system for selecting, designing, managing and monitoring various types of PAs. Human-rights based approaches will be mainstreamed by ensuring transparent selection, planning and monitoring procedure for different types of PAs under the new framework, as well as ensuring a legal framework that provides for various forms of collaborative management of PAs and natural resources.

Component 2 will bring about expansion of the national PA system by 2 million ha, an increase in environmental sensitive areas (ESA) and capacity building for biodiversity mainstreaming in development and sector planning. Human-rights approaches will be mainstreamed by establishing clear safeguards for project operation to ensure protected area expansion or ESA designation of an area do not infringe on human rights of both men and women and of different ethnicity. Local community consent and participation will be assured for PA or ESA planning, designation and management.

Under Component 3 the requisite enabling conditions for sustaining the project results will be strengthened through targeted knowledge management, monitoring & evaluation, and gender mainstreaming and social inclusion. The project is also designed to strengthen the environmental management capacities of the provincial level conservation agencies, other provincial sectors, local governments, the civil society, and community groups

Inclusive consultations during the project preparation phase with local communities, local governments, civil society, and provincial agencies have socialized the key stakeholders to the proposed interventions.

The overall implementation plan for the national park (NP) system that was released in September 2017 indicates that local communities situated with key conservation zones

<p>will be gradually resettled and collectively held land normatively transferred through leasing, land exchange, and other approaches. The CPAR1 project, which is also serving as the platform for coordination of the C-PAR program, is well positioned to assist the governmental partners in implementing these envisaged actions according to human rights related standards and practices according to national and international laws, through participatory community consultations, demonstration of collaborative management arrangements that involve local communities in the management of the protected areas, and development of sustainable alternative livelihood opportunities.</p> <p>The CPAR1 project will have a grievance redress mechanism which will enable project-affected people to raise concerns or grievances, consistent with the accountability and rule of law human rights principle. This will be detailed in the ESMP.</p>	<p>Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment</p> <p>At the project level, a gender mainstreaming plan has been developed to guide the gender mainstreaming process during project implementation. Specific gender roles have been integrated into the project and programme level implementation arrangements, including but not limited to the following:</p> <ol style="list-style-type: none"> The Project Manager will appoint a gender focal point in the PMO who will implement and monitor the project level gender mainstreaming plan and support project focal points at PA Administration and site levels to mainstream gender into all project activities. The three NP project pilot sites will each designate a staff member as a gender focal point who will assist in the implementation of the gender mainstreaming plan and support the project-recruited gender experts. Project-recruited gender experts will support the project with gender training, monitoring & evaluation of site activities, and consultations with local communities. The gender mainstreaming objectives for the project will be championed and monitored by the project-recruited gender experts and the project gender focal points, with back-up from the UNDP country office gender experts. <p>During the project preparation phase, consultations were made with local communities, as well as representatives provincial government agencies and civil society organizations. The project results framework contains measurable indicators related to gender equality and women's empowerment; an ATLAS gender marker of 2 has been applied to the project. For example, a target of 40% women representation among direct project beneficiaries has been applied in the project design, e.g., local collaborative management committees should have at least 40% women members. Sustainable alternative livelihoods will be developed that facilitate equitable participation by women. Gender and social inclusion training will be mandatory for project implementation staff and service providers, and resources have been allocated to monitor and evaluate socioeconomic benefits as part of the ESMP, which will be developed during project inception after the ESIA is complete. Gender aspects will also be included in the ESIA and the gender action plan will be updated accordingly. Moreover, knowledge products will be developed and disseminated according to the literacy and cultural circumstances of the local project communities, to ensure equitable gender and social inclusion.</p>	<p>Briefly describe in the space below how the Project mainstreams environmental sustainability</p> <p>Environmental sustainability is inherent in this project objective and outcomes. Under Component 1, the project will endeavor to ensure sustainability of the project outcomes through supporting the national PA reform process backed by reform laws, regulations, and guidelines, and through expanding coverage of Key Biodiversity Areas (KBAs) and increasing connectivity within the national PA system. Under Component 2, the establishment of the NP system will be enhanced through pilot development, largely focusing on strengthening community participation in natural resource management, with the goal of achieving mutually beneficial conservation and socioeconomic outcomes, along the poverty-environment nexus and consistent with the precautionary principle in biodiversity conservation and natural resource management, i.e., respecting priorities of both conservation and sustainable development. The project will support NP pilot development for 3 of the NP pilots, including the Three Rivers Source NP, the Giant Panda NP, and the Xianju Provincial Park. The Three Rivers Source NP covers a vast area, covering 120,000 km² in Qinghai Province, and is situated within the headwaters of three of the major rivers in China (and Asia): Yangtze River, Yellow River, and Mekong River. The proposed Giant Panda NP will consolidate more than 70 individual nature reserves in three provinces (Sichuan, Gansu, and Shaanxi), and will cover more than 27,000 km², with more than 20,000 km² in Sichuan province. Through establishment of the Giant Panda NP, approximately 85% of giant panda habitat will be protected. The Xianju Provincial Park covers approximately 302 km² in the southeast part of Zhejiang County, and consolidates four unique protected areas, specifically the Xianju National Resort, Xianju National Forest Park, the Kuocang Mountain Provincial Nature Reserve, and the Shenxianju Provincial Geologic Park.</p> <p>Under Component 3 the requisite enabling conditions for sustaining the project results will be strengthened through targeted knowledge management, monitoring & evaluation,</p>
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and gender mainstreaming and social inclusion. The project is also designed to strengthen the environmental management capacities of the provincial level conservation agencies, other provincial sectors, local governments, the civil society, and community groups.

Consistent with the overarching C-PAR program, this project is closely aligned with the ecological conservation objectives outlined in the 13th Five-Year Plan for Economic and Social Development of the People's Republic of China (2016-2020), which further mainstreams the principle of eco-civilization into the socioeconomic development priorities for the country; the National Biodiversity Strategy and Action Plan (NBSAP) for 2011-2030; the Aichi targets under the UN Convention on Biological Diversity; and the UN Development Assistance Framework (UNDAF) for China, specifically Priority Area No. 2: "Improved and Sustainable Environment", Outcome 2: "More people enjoy a cleaner, healthier and safer environment as a result of improved environmental protection and sustainable green growth". The project also contributes towards achievement of the UN Sustainable Development Goals for China, specifically Goal 15: "Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss".

Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any "Yes" responses). If no risks have been identified in Attachment 1 then note "No Risks Identified" and skip to Question 4 and Select "Low Risk". Questions 5 and 6 not required for Low Risk Projects.</i>	QUESTION 3: What is the level of significance of the potential social and environmental risks? <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i>	QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?
Risk Description	Impact and Probability (1-5)	Comments
Risk 1: Local communities (including ethnic minorities) living in key conservation zones of NP pilots could be gradually resettled. Voluntary resettlement is proposed in the zoning plan for Giant Panda NP pilot and in the draft master plan for Three Rivers Source NP pilot. <i>SESP Principle 3: Environmental Sustainability Standard 5: Displacement and Resettlement: 5.1. Would the potential outcomes of the Project potentially involve temporary or permanent and full or partial physical displacement?</i>	I = 4 P = 4	The implementation plan for the national park (NP) system issued by the government in September 2017 notes that in key conservation zones resettlement of local communities would support the full achievement of conservation objectives. The plan notes that any such resettlement would be gradual and in full solicitation with owners and users, i.e. the intent is that resettlement would be voluntary in nature. Collectively held land would in turn be normatively transferred through
		Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks. Based on initial assessments, an environmental and social management framework (ESMF) has been prepared during the PPG phase to put in place measures for the management of the project's social and environmental risks. In accordance with the ESMF, an environmental and social impact assessment (ESIA) will be carried out at project inception to assess this and all other environmental and social risks, followed by a subsequent environmental and social management plan (ESMP). Free and Prior Informed Consent (FPIC) must be applied throughout the ESIA/ESMP; no

<p>5.4. Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?</p> <p><i>Standard 6: Indigenous Peoples:</i></p> <p>6.6. Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?</p>		<p>leasing, land exchange, and other approaches, again based on full solicitation with owners and users. The implementation of the Overall Plan will be supported by more detailed master planning for individual NP sites. China has a long history of establishing and implementing laws and regulations associated with displacement and resettlement, many of which have been associated with hydropower projects. The laws and regulations on resettlement associated with hydropower projects have been applied for cases of ecological migration, e.g., expansion of protected areas. Central government notices have been issued that reinforce the land rights of farmers and forbids involuntary requisition of collectively held farmland. For this project there are two demonstration sites where voluntary resettlement could occur: Giant Panda NP pilot and Three River Source NP Pilot. As the NP system remains in pilot phase, there is a level of uncertainty on how this will be achieved and over what timeframes.</p> <p>Current estimates are: Giant Panda NP: Based on information gathered during the PPG phase, there are approximately 170,000 people living in the Sichuan section of the proposed NP, but most of these are within a zone referred to as “traditional use”, where resettlement is not planned. There are about 6,000 people living in the delineated core zone and, of which, 200 households have been identified for voluntary resettlement by 2020. Many of the households in the core conservation zone are comprised of ethnic minorities. The Gansu section of the NP covers about</p>	<p>relocation will take place without FPIC.</p> <p>Further information regarding the approved national parks, including the master plans and the draft government voluntary resettlement plans, are expected to be available at project inception. The ESIA process will draw upon this information to assess the associated impacts, and to inform the specific management measures outlined in the ensuing ESMP.</p> <p>Indicative community level activities for the three NP pilot sites are designed to enhance the inherent linkages between the local communities and conservation objectives.</p> <p>GEF funds will not be used for resettlement. Resettlement will be voluntary in nature and conducted by and financed by the government of China. Involuntary resettlement is not planned under the ongoing establishment of the NP system in China and will not be supported by this project.</p>
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<p>Risk 2: Communities in the project area (including ethnic minorities) could face economic displacement, changes to land rights and/or restricted access to resources because of the expansion of the NP system and stronger/new NP regulations. These impacts could impact women differently than men.</p> <p><i>Principle 1: Human Rights. question 3. Could the Project potentially restrict availability, quality of</i></p>	<p>I = 4 P = 3</p>	<p>High</p>	<p>567 km², and according to a draft zoning plan, some 2309 people are likely to be affected, with voluntary resettlement proposed for those in the core zone, with the option of remaining and undertaking compatible livelihood activities. The current information provided by the provincial government is that 651 people will be offered voluntary resettlement and those that choose to remain will be offered compatible livelihood opportunities in the local area. No involuntary resettlement is planned. Three River Source NP: According to the master plan (January 2018) for the Three Rivers Source NP, there are an estimated 64,600 people living in the core conservation zone, and most of these residents are of Tibetan ethnic minority. As outlined in the draft master plan, this population will be gradually decreased by 2020 and further by 2025 through voluntary migration and is expected to reach a stable level by 2035. The remaining inhabitants are expected to be largely local herders who will be involved in NP management through collaborative arrangements. Voluntary resettlement could impact on ethnic minorities living in the core zones. (see Risk 3).</p> <p>Communities in the project area could face economic displacement because of the expansion of the NP system, e.g., through the loss of land use rights. Certain land use activities would likely be prohibited as part of the process of transferring collectively held land to the state, but the residents might be allowed to continue to live in their dwellings. These risks may apply to ethnic minorities (see Risk 3).</p>	<p>During the project preparation phase consultations with local communities, local government units, provincial government agencies, and civil society representatives have contributed to the design of project activities for the three NP pilot sites. Project activities are designed to increase awareness and capacities of local communities, to better enable them to adapt to possible economic displacement associated with the establishment of the NP system. For example, collaborative stewardship and PA management arrangements will be piloted, and</p>
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<p><i>and access to resources or basic services, in particular to marginalized individuals or groups?</i></p> <p><i>Principle 2: Gender Equality and Women's Empowerment. question 4: Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services?</i></p> <p><i>Standard 5: Displacement and Resettlement</i></p> <p><i>5.2. Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?</i></p> <p><i>5.4. Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?</i></p> <p><i>Standard 6: Indigenous Peoples:</i></p> <p><i>6.6. Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?</i></p>			<p>Local communities are widely socialized to living and working inside and near conservation areas in the provinces where the three NP project pilots are situated; including Gansu, Qinghai, Shaanxi, Sichuan, and Zhejiang provinces. The increasing integration of conservation and socioeconomic development priorities, both at the national and provincial level, has further reinforced the value of the protected area system in helping to secure long-term sustainability of the ecosystem goods and services that local communities are reliant upon. Awareness has been further bolstered through the widely publicized NP system being established.</p>	<p>alternative sustainable livelihood opportunities assessed and demonstrated.</p> <p>Moreover, an environmental and social management framework (ESMF) has been prepared during the PPG phase as a guideline to the environmental and social impact assessment (ESIA) that will be carried out at project inception.</p> <p>The ESIA process will further assess the possible socioeconomic impacts associated with the national park establishment, and management measures integrated into the project interventions, to ensure that local communities are duly informed and participate in key decisions. Free and Prior Informed Consent (FPIC) must be applied in line with the UNDP SES Guidance Note on Indigenous Peoples.</p> <p>There will also be a grievance redress mechanism put in place for project-affected communities to raise any grievances and for implementation partners to respond to accordingly.</p>
<p>Risk 3: Expansion of the NP system has the potential to affect the rights, lands and livelihoods (e.g. potential economic displacement, reduced access to resources, resettlement) of ethnic minority populations within and adjacent to the NP pilots.</p> <p><i>Standard 6: Indigenous Peoples, 6.1. Are indigenous peoples present in the Project area (including Project area of influence)?</i></p> <p><i>6.3. Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by</i></p>	<p>I = 4 P = 4</p>	<p>High</p>	<p>The implementation plan for the national park (NP) system issued by the government in September 2017 notes that in key conservation zones resettlement of local communities would support the full achievement of conservation objectives. The plan notes that any such resettlement would be gradual and in full solicitation with owners and users, i.e. the intent is that resettlement would be voluntary in nature. Collectively held land would in turn be normatively transferred through leasing, land exchange, and other approaches, again based on full solicitation with owners and users. The implementation of the Overall Plan will be</p>	<p>During the project preparation phase consultations were made with local communities, local government officials, the conservation agencies, other provincial government agencies, and the civil society representatives.</p> <p>Additional consultations will be made as part of the ESIA, during which Free and Prior Informed Consent (FPIC) will be applied as necessary. Then management measures will be developed to ensure effective participation by local Tibetan and other ethnic minority communities. For example, facilitators that speak the local languages will support community engagement, key documents will be prepared in local languages, and communication and knowledge management techniques will be designed consistent with cultural</p>

<p><i>the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)?</i></p> <p><i>6.6. Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?</i></p>		<p>supported by more detailed master planning for individual NP sites.</p> <p>The risks outlined above on resettlement and economic displacement linked to the establishment of the NP pilots could impact on ethnic minorities, as follows:</p> <p><u>Three Rivers Source NP</u>: According to the master plan (January 2018) for the Three Rivers Source NP, there are an estimated 64,600 people living in the core conservation zone, and most of these residents are of Tibetan ethnic minority.</p> <p>As outlined in the draft master plan, this population will be gradually decreased by 2020 and further by 2025 through voluntary migration and is expected to reach a stable level by 2035. The remaining inhabitants are expected to be largely local herders who will be involved in NP management through collaborative arrangements. This approach to resettlement was reiterated in a 12 March 2018 opinion statement on the population policy of the main functional area, issued by the Three-River Source NP Administration to the Qinghai Provincial Development and Reform Commission.</p> <p><u>Giant Panda NP</u>: Based on information gathered during the PPG phase, there are approximately 170,000 people living in the Sichuan section of the proposed NP, but most of these are within a zone referred to as “traditional use”, where resettlement is not planned. There are about 6,000 people living in the delineated core zone and, of which, 200 households have been identified for voluntary resettlement by 2020. Many of the households in the core conservation zone are comprised of the ethnic minorities. The Gansu section of the NP</p>	<p>norms and literacy circumstances.</p> <p>These and all other necessary management measures will be detailed in the ESMP.</p>
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<p>Risk 4: Marginalized stakeholder groups, including women and ethnic minorities, could face barriers to full, meaningful participation in project activities (e.g. planned expansions) that could affect them negatively.</p> <p><i>Principle 1: Human Rights, question 4. Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?</i></p> <p><i>question 6. Is there a risk that rights-holders do not have the capacity to claim their rights?</i></p> <p><i>Principle 2: Gender Equality and Women's Empowerment, 2.2: Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?</i></p> <p><i>Standard 6: Indigenous Peoples</i></p> <p><i>6.1. Are indigenous peoples present in the Project area (including Project area of influence)?</i></p> <p><i>6.4. Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?</i></p>	<p>I = 3 P = 2</p>	<p>Moderate</p>	<p>covers about 567 km², and according to a draft zoning plan, some 2309 people are likely to be affected, with voluntary resettlement proposed for those in the core zone, with the option of remaining and undertaking compatible livelihood activities. The current information provided by the provincial government is that 651 people will be offered voluntary resettlement and those that choose to remain will be offered compatible livelihood opportunities in the local area. No involuntary resettlement is planned.</p> <p>There are Tibetan and other ethnic minority communities living inside and near the proposed Three Rivers Source NP and the Giant Panda NP. The generally low literacy rates and gender disparities among ethnic minority communities do pose a risk that rights-holders do not have the capacity to claim their rights or that the project may exclude potentially affected stakeholders from fully participating in decisions that may affect them.</p> <p>Literacy rates among Tibetan and other ethnic minority communities are considerably lower than average rates in the province. Also, there are large disparities between men and women in the patriarchal culture of most Tibetan communities.</p>	<p>Consultations during the PPG phase have been supported by local experts and some interviews were held only with women. Tibetan (and other local language) speaking facilitators are also planned to support activities during project implementation. Knowledge products will be developed according to the literacy and cultural circumstances of the local project communities.</p> <p>A gender analysis was undertaken, and a Gender Action Plan developed, which will be implemented for the duration of the project. Gender and social inclusion training will be mandatory for project implementation staff and service providers, and resources have been allocated to monitor and evaluate socioeconomic benefits as part of the ESMP, which will be developed during project inception after the ESIA is completed.</p> <p>Further community consultations will be required during project inception, as part of the ESIA, during which Free and Prior Informed Consent (FPIC) will be applied as necessary to ensure that ethnic minority communities are fully consulted and involved in development of all project interventions and plans at the target sites. The ESMP will provide specific protocols for managing this continued involvement during project implementation, as well as monitoring, evaluation, and reporting, and</p>
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<p>Risk 5: Project appointed duty-bearers could lack the capacity to implement the project according to UNDP standards regarding human rights, public participation, gender mainstreaming and attention to social and environmental safeguards.</p> <p><i>Principle 1: Human Rights, 1.5. Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?</i></p>	<p>I = 3 P = 2</p>	<p>Moderate</p>	<p>Provincial level duty-bearers generally have higher capacities than representatives at the county and township levels. Furthermore, there is a relatively high level of uncertainty regarding the regulatory and management arrangements of the national park system, compared to the current arrangements associated with NP pilots, and therefore some unknowns about the extent to which these will require new skills/knowledge/experiences.</p> <p>This risk could be a compounding factor for other identified social and gender risks in the project.</p>	<p>project budget has been allocated for these purposes. For example, facilitators that speak the local languages will support community engagement, key documents will be prepared in local languages, and communication and knowledge management techniques will be designed consistent with cultural norms and literacy circumstances. These and all other necessary management measures will be detailed in the ESMP and stand-alone management plans for livelihoods, resettlement and/or indigenous peoples as required.</p> <p>Culturally appropriate consultations will be carried out with the objective of achieving agreement and FPIC will be ensured on any matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned. Project activities that may adversely affect the existence, value, use or enjoyment of indigenous lands, resources or territories shall not be conducted unless agreement has been achieved through the FPIC process.</p>
			<p>Capacity needs assessments of the Three Rivers Source NP Administration, Sichuan Forestry Department (Giant Panda NP), and the Xianju Provincial Park Management Committee were undertaken during the project preparation phase, and trainings are planned during the implementation phase to enhance duty-bearers' capacities.</p> <p>Capacities will be further assessed as part of the ESIA, and specific management measures designed in the ESMP for ensuring that duty-bearers are capacitated to facilitate implementation of the project activities and to ensure that project results are sustained after GEF funding ceases.</p> <p>Local staff will be offered training on safeguards, gender and FPIC to build local capacity, and engaged in activities related to gender and social safeguards</p>	




<p>Risk 6: There are large disparities between men and women in the patriarchal culture of most Tibetan communities in and around the project sites that could potentially be reproduced by project activities, limiting engagement and involvement of women in project implementation.</p> <p><i>Principle 2: Gender Equality and Women's Empowerment, question 2: Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?</i> <i>Question 4: Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services?</i></p>	<p>I=3 P=2</p>	<p>Moderate</p>	<p>This risk applies for the establishment of the Three-River Source NP and the Giant Panda NP.</p> <p>There are large disparities between men and women in the patriarchal culture of most Tibetan communities, and income generating potential within rural communities in China in general is lower for women than for men.</p> <p>Women may be impacted differently than men by reduced access to resources in NP pilots (see Risk 2).</p>	<p>mainstreaming.</p> <p>A gender analysis and action plan were completed during the PPG phase and will guide proactive women's empowerment efforts during implementation. Please see this plan for further detail of specific project gender mainstreaming actions and targets.</p> <p>The ESIA completed in accordance with the ESMP will also look at gender angles, including how gender intersects with the multiple risks in this SESP. The gender mainstreaming plan will be updated as required after the completion of the ESIA. Gender mainstreaming actions will also be incorporated into the ESMP and the Gender Action Plan updated as required.</p>
<p>Risk 7: Project activities will occur within/adjacent to environmentally sensitive areas, posing potential risk to sensitive habitats and species if not designed and undertaken appropriately.</p> <p><i>Standard 1: Biodiversity Conservation and Natural Resource Management,</i> <i>1.2. Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas (including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?</i></p>	<p>I = 2 P = 1</p>	<p>Low</p>	<p>The objective of the project is to provide incremental support towards protected area reform in China, and interventions are planned at 3 of the NP pilot sites in the country. The activities at the pilot sites are proposed within and adjacent to the critical habitats and environmentally sensitive areas. The project activities are designed to support better protection and management of protected areas and critical habitats of endangered species.</p> <p>This biodiversity project was developed with specialist expertise and the risk of damage/disruption to sensitive habitats is considered low.</p>	
<p>Risk 8: Climate change has the potential to impact the NP system in China, e.g., through habitat loss because of prolonged droughts or from devastating floods. The impacts of climate change are highly uncertain, yet could impact on project outcomes in the longer-term.</p>	<p>I = 2 P = 2</p>	<p>Low</p>	<p>The establishment of the NP system in China is focusing on consolidating certain nature reserves, reducing fragmented coverage of critical habitats and environmental sensitive areas. Potential impacts of climate change will be most likely to emerge over the longer term and</p>	

<p><i>Standard 2: Climate Change Mitigation and Adaptation, 2.2. Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?</i></p>		<p>the risk of impacts over the project term is much lower. Further, one of the co-benefits of the project activities will be improved resilience to the effects of climate change, e.g., through improved protection of climate refugia. Project resources are allocated for supporting the conservation agencies in design and zonation of the three NP pilots, and development and implementation of climate-responsive biodiversity monitoring protocols.</p>	
<p>QUESTION 4: What is the overall Project risk categorization?</p>			
<p>Select one (see SESP for guidance)</p>			
<p><i>Low Risk</i></p>			
<p><input type="checkbox"/></p>			
<p><i>Moderate Risk (high end)</i></p>			
<p><input type="checkbox"/></p>			
<p><i>High Risk</i></p>			
<p><input checked="" type="checkbox"/></p>			
<p>A total of 8 risks have been identified, of which their overall impact and probability have been assessed as High (3 risks), Moderate (3 risks) and Low (2 risks). The risks with High rating relate to the voluntary resettlement (Risk 2) and economic displacement (Risk 1) of communities from project sites – both risks could apply to ethnic minorities (Risk 3). The overall risk categorization is High.</p> <p>It is considered that the remaining project activities with low – moderate potential adverse social risks are limited in scale, can be identified with a reasonable degree of certainty, and can be addressed through application of standard best practice, mitigation measures and stakeholder engagement during project implementation – measures of which are captured in the project design (i.e. ProDoc and its annexes).</p> <p>In line with UNDP's SES, an environmental and social management framework (ESMF) has been developed during the project preparation phase (see Annex F). Resources have been allocated in the</p>			

			<p>project budget for implementation of the ESMF via carrying out an environmental and social impact assessment (ESIA), with an ESIA report – developing specific management measures that will be incorporated into an environmental and social management plan (ESMP).</p> <p>Consistent with the overall C-PAR program, the project will implement other relevant management plans, which may be updated in the course of the ESIA/ESMP, including but not limited to the following:</p> <ul style="list-style-type: none"> • Implementation of the project gender strategy and action plan (Annex I) in capacity building, livelihoods, and other activities to ensure gender equity and women’s empowerment. • Implementation of a stakeholder engagement plan (Annex G) that identifies the roles and responsibilities of implementing partners, beneficiaries, enabling stakeholders, and others. • Implementation of a grievance redress mechanism that will allow local communities and other stakeholders to raise concerns and grievances, and facilitate follow-up corrective action responses (the GRM will be detailed in the ESMP). <p>Standard M&E and adaptive management procedures will be applied during project implementation. A C-PAR program M&E/Safeguards Officer will support the project team to oversee coordination and implementation of risk management measures. And, the independent Midterm Review and Terminal Evaluation assess whether appropriate risk mitigation measures have been taken, and how the ESMP has been implemented.</p>
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				been taken, and how the ESMP has been implemented.
QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?				
Check all that apply				
	<i>Principle 1: Human Rights</i>	X		See Risks 2, 4, 5
	<i>Principle 2: Gender Equality and Women's Empowerment</i>	X		See Risks 2, 4, 6
	<i>1. Biodiversity Conservation and Natural Resource Management</i>	<input type="checkbox"/>		
	<i>2. Climate Change Mitigation and Adaptation</i>	<input type="checkbox"/>		
	<i>3. Community Health, Safety and Working Conditions</i>	<input type="checkbox"/>		
	<i>4. Cultural Heritage</i>	<input type="checkbox"/>		
	<i>5. Displacement and Resettlement</i>	X		See Risks 1, 2
	<i>6. Indigenous Peoples</i>	X		See Risks 1, 2, 3, 4
	<i>7. Pollution Prevention and Resource Efficiency</i>	<input type="checkbox"/>		

Final Sign Off

<i>Signature</i>	<i>Date</i>	<i>Description</i>
	Jan. 31, 2019	UNDP staff member responsible for the Project, typically a UNDP Programme Officer. Final signature confirms they have "checked" to ensure that the SESP is adequately conducted.
		UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have "cleared" the SESP prior to submittal to the PAC.
	Jan 31 2019	UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.

SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks		
Principles 1: Human Rights		Answer (Yes/No)
1.	Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	No
2.	Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? ¹	No
3.	Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	Yes
4.	Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	Yes
5.	Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	Yes
6.	Is there a risk that rights-holders do not have the capacity to claim their rights?	Yes
7.	Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	No
8.	Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	No
Principle 2: Gender Equality and Women’s Empowerment		
1.	Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	No
2.	Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	Yes
3.	Have women’s groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?	No
4.	Would the Project potentially limit women’s ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? <i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</i>	Yes
Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below		
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management		
1.1	Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical	No

¹ Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to “women and men” or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

	habitats) and/or ecosystems and ecosystem services? <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	
1.2	Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	Yes
1.3	Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	No
1.4	Would Project activities pose risks to endangered species?	No
1.5	Would the Project pose a risk of introducing invasive alien species?	No
1.6	Does the Project involve harvesting of natural forests, plantation development, or reforestation?	No
1.7	Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	No
1.8	Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	No
1.9	Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	No
1.10	Would the Project generate potential adverse transboundary or global environmental concerns?	No
1.11	Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i>	No
Standard 2: Climate Change Mitigation and Adaptation		
2.1	Will the proposed Project result in significant ² greenhouse gas emissions or may exacerbate climate change?	No
2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	Yes
2.3	Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)? <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	No
Standard 3: Community Health, Safety and Working Conditions		
3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	No
3.2	Would the Project pose potential risks to community health and safety due to the transport, storage, and	No

² In regards to CO₂, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

	use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	
3.3	Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	No
3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	No
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	No
3.6	Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	No
3.7	Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	No
3.8	Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?	No
3.9	Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	No
Standard 4: Cultural Heritage		
4.1	Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	No
4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	No
Standard 5: Displacement and Resettlement		
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	Yes
5.2	Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	Yes
5.3	Is there a risk that the Project would lead to forced evictions? ³	No
5.4	Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	Yes
Standard 6: Indigenous Peoples		
6.1	Are indigenous peoples present in the Project area (including Project area of influence)?	Yes
6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	No
6.3	Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited	Yes

³ Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

	<p>by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)?</p> <p><i>If the answer to the screening question 6.3 is “yes” the potential risk impacts are considered potentially severe and/or critical and the Project would be categorized as either Moderate or High Risk.</i></p>	
6.4	Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	Yes
6.5	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.6	Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	Yes
6.7	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	No
6.8	Would the Project potentially affect the physical and cultural survival of indigenous peoples?	No
6.9	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	No
Standard 7: Pollution Prevention and Resource Efficiency		
7.1	Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	No
7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	No
7.3	<p>Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs?</p> <p><i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i></p>	No
7.4	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	No
7.5	Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	No