

Annex [#]. 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

Project Information	
1. Project Title	The Biodiversity Finance Initiative(BIOFIN) Phase II
2. Project/Award Number	000106358
3. Location (Global/Region/Country)	Global

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

BIOFIN recognizes and upholds human rights-principles as key elements in achieving development results. In this light, the initiative ensures equal, non-discriminatory, and active participation of all stakeholders in planning, decision making, implementation and evaluation of its activities and outcomes. In addition:

- The initiative promotes the active participation of multiple stakeholders and decision makers, and across different sectors, reflecting and aligning the work with the local/national needs, poverty reduction and development strategies.
- During the analysis of possible finance solutions, a thorough analysis of possible implications at the socioeconomic level is undertaken and this is part of the main methodology of the project. The Finance Solution Proposal formats includes Social-Environmental and gender screening criteria.
- The project also aims at developing capacities on biodiversity finance in the national public institutions as well as the private sector and the civil society improving in this way governance, planning and biodiversity management for development results

Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment

As an ongoing project continuing the work of BIOFIN Phase II, the project will continue to ensure equal participation of men and women in all its activities (Country Steering Committees, Project Board, Workshops, and other capacity and decision-making processes). Gender aspects are mainstreamed in the Theory of Change, Project outputs, activities, and budget. Informative sessions will be organized in different regional workshops to promote and guide the country teams in mainstreaming gender equality in their work from planning to evaluation. Guidance was developed and included in the main methodology tool of the project, the 2016 BIOFIN Workbook, and will be further developed in the 2018 Workbook version to be aligned with the new UNDP Gender Strategy under development. The Initiative will continue its work on a more thorough gender strategy being mainstreamed in its activities and results along with knowledge management for capacity development, replication and upscaling of good practices. Documentation, case studies and knowledge generated by the Initiative will be gender-

sensitive and inclusive of diverse groups among contributors and audiences. For the BIOFIN phase II, the project will continue its effort to promote gender equality and develop capacities contributing to the national gender equality agenda and globally at SDG 5.

Briefly describe in the space below how the Project mainstreams environmental sustainability

Environmental sustainability is one of the core objectives of BIOFIN II, and is fully mainstreamed in all the activities, documentation and outcomes of the project, due to the very nature of BIOFIN aiming to better understand biodiversity finance flows and effectiveness at the national level with the aim of improving how finance and economic instruments can be used to produce improved biodiversity and development outcomes and to begin to fill the finance gap. The Biodiversity Finance Initiative (BIOFIN) brings countries together to develop and implement evidence-based finance plans to safeguards biodiversity. BIOFIN has developed an innovative methodology to guide countries analyze the policy and institutional context for biodiversity finance; measure the current biodiversity expenditures; assess future financial needs; and to develop a Biodiversity Finance Plan identifying the most suitable finance solutions to achieve national biodiversity targets. The goal of the Biodiversity Finance Plan is to be institutionalized to ensure its implementation and the mainstreaming of biodiversity finance. In addition, any future finance solution proposed for any Protected or other regulated Area/Territory will be screened for any possible adverse environmental and socio-economic impacts as an integral part of the decision-making process in all the stages of the activity/finance solution design and implementation. The initiative ensures that qualified professionals and technical experts lead the project at global and national levels adhering to the UN and CBD related environmental sustainability guidelines and requirements.

Part B. Identifying and Managing Social and Environmental Risks

<p>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></p>	<p>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></p>			<p>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)?</p>
<p>Risk Description</p>	<p>Impact and Probability (1-5)</p>	<p>Significance (Low, Moderate, High)</p>	<p>Comments</p>	<p>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.</p>

<p>Risk 1: Limited consideration of the needs for women and indigenous groups national or sub-national level due to the lack of capacities and knowledge on best practices</p>	<p>I = 1 P = 2</p>	<p>Low</p>	<p>During the first Phase of BIOFIN an initial base of evidence and guidance were built up on the link between gender and biodiversity finance. It is moderately likely gender is still insufficiently considered when developing finance plans and solutions without providing further dedicated attention to the issue. This is particularly relevant for finance solutions with a site component. In some countries, there is insufficient participation of women in decision making or capacity building processes.</p>	<p>Management response:</p> <p>Gender is increasingly mainstreamed in the BIOFIN process at all levels. The BIOFIN methodology captures the main aspects of gender mainstreaming and the updated versions being issued by the end of 2018 will continue to improve in this direction. Focused webinars and workshop presentations will be organized on specific topics.</p> <p>The BIOFIN teams will continue to encourage and create enabling environments for women and men to actively engage in all decision-making processes from design to evaluation of activities and capacity development events.</p> <p>The screening process for finance solutions already includes gender related criteria. Where needed (e.g., if a finance solution is identified for possible implementation in a Protected Area or community – managed territory) a gender analysis will be part of the implementation package of the solution.</p> <p>Funding will be sought to implement and or cooperate with other similar initiatives will support the implementation of finance solutions at local level and undertaking of joint studies and advocacy activities.</p>
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<p>Risk 2: Certain activities and finance solutions could lead to indirect adverse social and environmental effects.</p>	<p>I = 2 P = 2</p>	<p>Low</p>	<p>The main indirect risks affecting negatively natural resource management are related to the implementation of finance solutions, in particular biodiversity offsets. Even though the objective of no net loss will be targeted in these cases. The nature of the work, with a focus on feasibility studies, technical support and revision of legislation to improve the legal framework on solutions such as biodiversity offsets, means the actual impact will be very small, also because socio-economic factors weigh strongly in the selection process.</p>	<p>Management response:</p> <p>BIOFIN will apply a no-net loss strategy to the finance solutions selected. All solutions will be accompanied by appropriate studies and/or analysis to ensure no negative effects on the environment.</p> <p>The project will engage high – level professionals in its team as long and short-term consultants capable of responding to the job requirements and familiar with the CBD, UN/UNDP and country requirements.</p> <p>Due to the very nature of BIOFIN and its methodology, reports and recommendations of the project aim at improving the national legislation and planning process in support of the environment and biodiversity management.</p> <p>BIOFIN will build on existing guidance and standards from BBOP, IFC and others on appropriately applying the mitigation hierarchy.</p>
<p>Risk 3: It is possible that some finance solutions will occur on areas with presence of indigenous peoples.</p>	<p>I = 1 P = 3</p>	<p>Low</p>	<p>Indigenous people might be present on lands such as protected areas which are the target area of finance solutions supported by the project. However, these finance solutions will generally concern the financing of the protected area and shouldn't affect negatively the indigenous communities. The other type of risks related to indigenous presence would be with bioprospecting mechanisms.</p>	<p>Management response:</p> <p>One of the criteria for finance solution selection will be to have a positive impact on indigenous communities' livelihood or to avoid negative effects on them.</p> <p>BIOFIN will ensure full participation of the local indigenous communities in any possible finance solution proposed to be implemented in their territory or area. The Free, Prior, and Informed Consent (FPIC) will be applied and cooperation with other UNDP specialized projects in this area will be ensured.</p> <p>In addition, all activities at the country level are screened by a diverse National Steering Committees familiar with the national and UN/UNDP related strategies and initiatives.</p> <p>In cases of Finance Solutions related to Bioprospecting, BIOFIN would have the role of mediator or provide technical support to reduce the risk of bio-piracy and pursue positive benefits for the indigenous communities.</p>

	QUESTION 4: What is the overall Project risk categorization?	
	Select one (see SESP for guidance)	Comments
	Low Risk	<input checked="" type="checkbox"/>
	Moderate Risk	<input type="checkbox"/>
	High Risk	<input type="checkbox"/>
	QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?	
	Check all that apply	Comments
	Principle 1: Human Rights	<input type="checkbox"/>
	Principle 2: Gender Equality and Women's Empowerment	<input type="checkbox"/>
	1. Biodiversity Conservation and Natural Resource Management	<input type="checkbox"/>
	2. Climate Change Mitigation and Adaptation	<input type="checkbox"/>
	3. Community Health, Safety and Working Conditions	<input type="checkbox"/>
	4. Cultural Heritage	<input type="checkbox"/>
	5. Displacement and Resettlement	<input type="checkbox"/>
	6. Indigenous Peoples	<input type="checkbox"/>
	7. Pollution Prevention and Resource Efficiency	<input type="checkbox"/>

Final Sign Off

Signature	Date	Description
QA Assessor		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.
QA Approver		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.
PAC Chair		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		Answer (Yes/No)
Principles 1: Human Rights		
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?	No
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?	No
5.	Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	No
6.	Is there a risk that rights-holders do not have the capacity to claim their rights?	No
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?	No
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?	Yes
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>	No
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 habitats) and/or ecosystems and ecosystem services?	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.

	<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?	No
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>	Yes
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?	No
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 use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	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.]

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?	No
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)?	No
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?	No
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?	Yes
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 the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)? <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>	No

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.

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?	No
6.5	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	Yes
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?	No
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?	Yes
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	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? <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>	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