

1. UNDP ENVIRONMENTAL AND SOCIAL SCREENING

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](#) for guidance on how to answer the 6 questions.]

Project Information

Project Information	
1. Project Title	Securing livelihoods, conservation, sustainable use and restoration of high range Himalayan ecosystems (SECURE)
2. Project Number (PIMS)	3298
3. Location (Global/Region/Country)	Asia and the Pacific/India

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?
<i>Briefly describe in the space below how the Project mainstreams the human-rights based approach</i>
Human rights, as laid down in the Universal Declaration of Human Rights and other international human rights instruments, have been considered in the project. Equal opportunities for vulnerable segment of society like minorities, disabled persons, poorest of the poor or destitute, and elderly persons among the local community is ensured to mainstream human rights based approach in the project. Vulnerable people can join a community based organization; will have the equal opportunity to become the executive members of the relevant Village Conservation and Development Committees (VCDCs); be trained in different capacity building initiatives and get other benefits from project initiatives and benefit economically from project interventions in agriculture, livestock and income generation activities The VCDCs would involve all members of a village, including vulnerable groups, who will be involved in the planning, implementation, monitoring and evaluation of project interventions. The project interventions would ultimately sustain the livelihood of local communities that would result in poverty alleviation, improvement of living conditions of beneficiaries and sustainable development of natural resources. In this way it will improve the economic and social rights of the local communities and will also take care of cultural values of the local communities. It will consider the right to habitat and economic security. Improved employment opportunities will facilitate right to work. Interventions to resolve tenure issues will facilitate right to land. The project impacts would expedite right to environmental protection. Grievance redressal mechanisms will be instituted to address any conflicts in resource use or benefit sharing (refer Section IV Part III). The Landscape Planning and Implementation teams will help negotiate any grievances at the local level, and if these are not resolved at this level, then the State Project Planning and Management Units and finally the State Project Steering Committee would be the negotiate resolutions. The project will institute specific procedures for grievance redress and publicly make these procedures available through the village microplanning process and communication strategy.
<i>Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment</i>
A process of community orientation and mobilization will be undertaken under the project by involving both genders with the intent of dissemination of the project information and objectives, and to seek to accurately identify the perceptions of the local communities and other stakeholders regarding existing resource management practices, options for their better management, opportunities for sustaining livelihood through improvement of income and ecosystem services. VCDCs with their livelihood related to alpine ecosystems and rangelands would have at least 30 per cent female members who would actively attend the VCDCs meetings and would be involved in various project initiatives. To the extent feasible, landscape-planning teams will have local women community mobilizers who would be involved in social mobilization to encourage greater participation of women from local communities. The project would also focus on special activities for women empowerment, including women-dominant livelihood and value chain activities (weaving and stitching of handloom and Yak wool based products, ecotourism, particularly homestays and associated local product development, organic vegetable growing, carpet and blanket weaving, etc.), use of fuel-efficient stoves and capacity building of women

in various sectors related to natural resource management and livestock improvement. The awareness and communication campaigns under the project will also have a specific gender focus. The project includes gender specific indicators. More non-timber forest products can be collected if alpine forests and ecosystems are sustainably managed, this can reduce the women time and energy to collect these products. The project will ensure that both women and men are able to participate meaningfully and equitably, have equitable access to project resources, and receive comparable social and economic benefits. A gender assessment and action plan has been prepared for the project.

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

The purpose of the project is secure livelihoods and sustainably use the high range Himalayan ecosystems for biodiversity conservation, mitigation of climate change and securing of ecosystem goods and services that it provides to society, so the project will mainstream environmental sustainability. The global environmental benefits will include improved conservation of globally significant biodiversity, such as Snow Leopard (*Uncia uncia*), wild prey and associated species such as the Himalayan Tahr (*Hemitragus jemlahicus*), Himalayan Musk Deer (*Moschus chrysogaster*), Blue Sheep (*Pseudois nayaur*), Asiatic Black Bear (*Selenarctos thibetanus*), Tibetan Wolf (*Canis lupus chanco*), Tibetan Wild Ass (*Equus kiang*) and a variety of avifauna including the Black-necked Crane (*Grus nigricollis*), Bar-headed Goose (*Anser indicus*), Brahminy Duck (*Tadorna ferruginia*), and Brown-headed Gull (*Larus brunnicephalus*) as well as about 350 species of Himalayan medicinal plants are used by the Indian drug industry. This will ensure a transformation shift towards a low emission and resilient development path. Well-functioning eco-system services will improve water quality and reduce extent and severity of floods and other natural disasters. Environment and economic considerations suggest that 20-25 per cent of the country's land area should be under naturally functioning ecosystems. The conversion from current practices of management of alpine forests and pastures to a more sustainable management regime would result in increasing the land area under natural ecosystems and derive other benefits of biodiversity conservation and carbon sequestration which will have positive effects on sustainable provision of non-timber forest products, availability of water, and improvement of climate change impacts. The investment proposals in the village microplans would be assessed for their social and environmental impact before investments are deemed acceptable for project financing. Staff involved in the microplanning exercise will be trained to identify and assess any potential environmental and social impacts and to determine if these activities should be funded or not, and what specific management actions are necessary to manage any potential impacts. A social and environmental questionnaire will be used to identify potential environmental and social impacts of any investments and mitigation measures, before these activities are funded.

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).</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)	Significance (Low, Moderate, High)	Comments	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.
Risk 1: Conflicts and misunderstandings between public institutions, NGOs and local communities regarding access and use of forest and pasture resources may preclude the involvement of VCDCs in sustainable management interventions	I = 3 P = 3	Moderate	The development of landscape conservation management plans for the four landscapes might cause some restrictions on the access and use of the alpine forests and pastures by local communities. Referred to SESP Attachment 1: Principle 1, Questions 3 and 5	Management Measures: The Landscape Planning and Implementation Teams at each landscape will include specific social development and social expertise that will facilitate and support community decision-making on project livelihood, sustainable resource use and conservation interventions. Agreements/Terms of Partnership will be signed with VCDCs for effective participation of local communities during and after the implementation of schemes. Capacity of stakeholders would be built in different fields related to managerial and technical, governance and conflict resolution. Any restrictions on access and use of natural resources would not be imposed by the forest department or other public institutions, but would evolve through a collective decision-making process amongst the community members and be supported by alternative livelihood and resource measures that adequately compensate for any loss of access to resources. Grievance redress mechanisms (as described in Section IV, Part iii) would be established to facilitate the resolution of any conflicts related to resource access and use. ESIA or SESA will be conducted for each village microplan to assess any potential risks.
Risk 2: Government officials and community organizations do not have the capacity to meet their full obligations related to the project	I = 3 P = 2	Low	Project preparation reveals that state government entities and local communities may not have the capacity to ensure the twin benefits of conservation and livelihoods are adequately met. No ESIA or SESA required during project implementation. Referred to SESP Attachment 1: Principle 1, Question 6	Management Measures: Need assessment for capacity building of state officials of government and local community organizations would be undertaken in each landscape. A training program to enhance capacities would be designed and developed early during project implementation. On the job training programs will assist them to meet their obligations as required in the project. Specific technical support would be obtained to facilitate the conduct of the training programs. Training programs would be regularly evaluated for their effectiveness and adjusted to meet the needs.
Risk 3: The vulnerable groups among the local community may not be fully involved	I = 3	Moderate	Project preparation suggested the need to ensure that all	Management Measures: At start up of the project, the landscape planning and implementation teams would be trained on participatory processes and techniques that

<p>in planning, implementation and monitoring of project interventions and getting benefits from such initiatives, rather owners of private forests, politicians and other influential persons at the local level have more control on local level decision making</p>	<p>P = 3</p>		<p>segments of the local population are adequately engaged and benefit equitably from project interventions. No ESIA or SESA required during project implementation.</p> <p>Referred to SESP Attachment 1: Principle 1, Question 4</p>	<p>ensure the participation of vulnerable groups including women, elderly, disabled persons, minorities, poorest of the poor, and landless people as members of the VCDCs. The landscape planning and implementation team will engage women social mobilizers from the villages who would work directly with the disadvantaged groups to train and build their capacity for participation in VCDC activities. They would be encouraged to be among the executive members of the VCDCs. Training programs would be conducted to enhance the capacity of vulnerable members to take an active part in the planning and decision making process at the village level. The landscape planning and implementation teams would monitor and ensure that there is adequate representation of disadvantaged members in the decision-making and planning process. If required, specialized technical support would be obtained to facilitate capacity building and support planning initiatives that benefit vulnerable groups.</p>
<p>Risk 4: Implementation of project initiatives within or near critical habitats in the landscapes; e.g. protected forests and national parks may threaten biodiversity conservation.</p>	<p>I = 2 P = 1</p>	<p>Low</p>	<p>Project interventions in terms of biodiversity conservation, sustainable harvest of non-forest products, pasture management, livelihood improved and ecotourism are likely to occur within and adjacent to protected areas and critical habitats. Limited screening would be undertaken during project implementation to ensure that critical habitats are excluded from project interventions that might have a negative impact.</p> <p>Referred to SESP Attachment 1: Principle 3, Standard 1, Question 1.2 and 1.6</p>	<p>Management Measures: The primary objective is to conserve biodiversity within the Himalayan landscape and hence is likely to improve conservation outcomes, water conservation and sustainable resource use as opposed to existing unsustainable practices. Specific attention would be focused on evaluating the condition of resources that would be used in livelihood and value chain programs to ensure that the extraction is within sustainable limits, and non-destructive harvest practices are instituted. To the extent feasible, efforts would be made to introduce specific plant species into home gardens and agricultural lands, to reduce collections from the wild. When domestication is not feasible, sustainable harvest limits would be established and extraction monitored. Specific actions would be taken to ensure that critical species and habitats are excluded from any livelihood activity. Core conservation areas and high biodiversity areas would be left inviolate. No large-scale investments are envisaged for the protected areas that would have an impact on its ecology and biodiversity. Livelihood options would be evaluated for their impacts on biodiversity and the environment before these activities are funded.</p>
<p>Risk 5: Natural disasters and climate change may affect implementation and results of project initiatives.</p>	<p>I = 3 P = 2</p>	<p>Low</p>	<p>While, this is very unlikely, efforts would be made to identify and manage such risks. Limited screening would be undertaken during project implementation to ensure that climate change risks and managed.</p>	<p>Management Measures: The project is designed to increase resilience of natural ecosystems to disasters and climate impacts. Measures to reduce impacts of climate change would be considered while formulating village microplans so as to ensure that climate resilient livelihoods and natural resource management practices are promoted, including ensuring that community members and their livelihood options are selected and managed in a manner to adapt to climate variations. Specific attention would be focused on diversification of income and livelihood sources, improving the efficient management of water, soil and production systems, ensure adequate storage of crop products and transport to avoid losses, improving crop disease management and providing adequate extension services and training to manage climate risks. Improving</p>

			Referred to SESP Attachment 1: Principle 3, Standard 2, Question 2.2	the sustainable management of pastures and agricultural systems will mitigate flooding risks downstream.
Risk 6: Soil disturbance or plantation of unsuitable pasture and sub-alpine forest species may have some negative effects on sustainable pasture and forest management and biodiversity conservation.	I = 2 P = 2	Low	Project preparation indicates that these impacts can be easily managed by simple and practical management measures. Limited screening would be undertaken during project implementation to ensure that negative impact is minimal. Referred to SESP Attachment 1: Standard 1, Question 1.6	Management Measures: Forest and pasture restoration will be largely undertaken through support for natural assisted regeneration process rather than through reforestation or reseeded. Even natural forest and pasture regeneration would be implemented in such a manner that either minimum soil disturbance takes place or soil is managed in such a way that it has very small catchment areas for harvesting rainwater and supporting regeneration. The indigenous sub-alpine forest and pasture species most suitable for the area would be selected for assisted natural regeneration and biodiversity conservation would also be considered.
Risk 7: The Project may involve utilization of genetic resources (e.g. collection and/or harvesting of NTFP, value addition commercial product development, etc.).	I = 3 P = 2	Low	Project preparation indicates that these impacts can be easily managed by simple and practical management measures. Limited screening would be undertaken during project implementation to ensure that utilization of genetic resources is sustainable. Referred to SESP Attachment 1: Standard 1, Question 1.9	Management Measures: The intent of the project is not to enhance genetic resource utilization, but ensure that existing harvest of non timber forest products are undertaken in an ecologically friendly and sustainable manner, by firstly introducing landscape management planning to define areas for different uses on the basis of internationally acceptable criteria, secondly ensure that harvest is undertaken in a sustainable manner based on scientific information in relation to annual sustainable yields, and thirdly to closely monitor operations for collection and harvest of non timber products from the ecosystem.
Risk 7: Indigenous peoples present in the Project area (including Project area of influence) may not be included in project benefits	I = 3 P = 3	Moderate	Project preparation indicates that there are indigenous people who live in the project areas and may be affected by the project, unless specific actions are taken to include them in the benefits of the project. Limited screening would be undertaken during project implementation to ensure that indigenous people participate and benefit from	Management Measures: See response under Risk 3 above.

			livelihood, value addition and sustainable harvest and grazing practices. Referred to SESP Attachment 1: Principle 3, Standard 6, Question 6.1	
	QUESTION 4: What is the overall Project risk categorization?			
	Select one (see SESP for guidance)		Comments	
	<i>Low Risk</i>	<input type="checkbox"/>		
	<i>Moderate Risk</i>	<input checked="" type="checkbox"/>	Social and environmental screening of all village investments will be required to determine if there are any impacts. If the impacts are considered significant or cannot be managed by simple and practical mitigation measures that can be implemented within the capacity of the communities, these activities will be avoided. When impacts are easily manageable, the village microplans would include specific mitigation measures, responsibilities for ensuring oversight for these measures and monitoring of its implementation. The Landscape Level Planning and Implementation Teams would oversee and evaluate the village level microplans to access if social and environment screening has been adequate. Implementation of any social and environmental mitigation measures will be monitored by the Landscape Level Planning and Implementation Teams and reported annually, including actions taken.	
	<i>High Risk</i>	<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
Principles 1: Human Rights	<input checked="" type="checkbox"/>	Referred to SESP Attachment 1: Principle 1. Question 3, 4, 5 and 6.
Principle 2: Gender Equality and Women's Empowerment	<input type="checkbox"/>	
Principle 3: Environmental Sustainability:	<input checked="" type="checkbox"/>	Referred to SESP Attachment 1: Principle 3. Standard 1, Question 1.2, 1.6 and 1.9
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management	<input checked="" type="checkbox"/>	Referred to SESP Attachment 1: Principle 3. Standard 1, Question 1.2, 1.6 and 1.9

Standard 2: Climate Change Mitigation and Adaptation	X	Referred to SESP Attachment 1: Principle 3: Standard 2, Question 2.2
Standard 3: Community Health, Safety and Working Conditions	<input type="checkbox"/>	
Standard 4: Cultural Heritage	<input type="checkbox"/>	
Standard 5: Displacement and Resettlement	<input type="checkbox"/>	
Standard 6: Indigenous Peoples	X	Referred to SESP Attachment 1: Principle 3, Standard 6, Question 6.1
Standard 7: Pollution Prevention and Resource Efficiency	<input type="checkbox"/>	

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 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 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.	Are there measures or mechanisms in place to respond to local community grievances?	Yes
6.	Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	Yes
7.	Is there a risk that rights-holders do not have the capacity to claim their rights?	No
8.	Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	No
9.	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 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

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.

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
3.	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? <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	No
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?	Yes
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).	Yes
1.10	Would the Project generate potential adverse trans-boundary 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 use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	No
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		

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.]

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?	No
6.3	Would the proposed Project potentially affect the rights, lands and territories of indigenous peoples (regardless of whether Indigenous Peoples possess the legal titles to such areas)?	No
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
6.4	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.5	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
6.6	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	No
6.7	Would the Project potentially affect the traditional livelihoods, physical and cultural survival of indigenous peoples?	No
6.8	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 trans boundary 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

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 .

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

2. Risk Analysis.

Project title : Securing livelihoods, conservation, sustainable use and restoration of high range Himalayan ecosystems (SECURE)			Project Number: 00096606		
#	Description ⁴	Risk Category ⁵	Impact & Probability ⁶	Risk Treatment / Management Measures ⁷	Risk Owner ⁸
1	Conflicts between public institutions and local communities regarding access to natural resources, including pasture resources.	Social	P = 3 I = 3	Restrictions, if any, on access and use of resources would not be imposed on communities, but evolve through a collective decision-making process and complemented by alternative livelihoods and resources measures to compensate for such losses. A grievance redress system will also ensure that any conflicts are addressed and amicably settled (refer Section (IV) Part (iii) Stakeholder Engagement of UNDP Project Document regarding grievance redress procedures	Landscape Planning and Implementation Team
2	Lack of capacity in government and communities to meet obligations related to project	Institutional/Operational	P = 3 I = 2	Need assessment of capacity of government and local communities will inform project on training and capacity building needs. Training activities will be tailored to meet specific	State Steering Committee

⁴ Enter a brief description of the risk. Risk description should include future event and cause. Risks identified through HACT, SES, Private Sector Due Diligence, and other assessments should be included.

⁵ Risk category: Environmental, Financial, Operational, Organizational, Political, Regulatory, Strategic, Other

⁶ Describe the potential effect on the project if the future event were to occur.

Enter **probability** based on 1-5 scale (1 = Not likely; 5 = Expected). Enter **impact** based on 1-5 scale (1 = Low; 5 = Critical)

⁷ What actions have been taken/will be taken to manage this risk.

⁸ The person or entity with the responsibility to manage the risk

				requirements of the different stakeholders to ensure that they have the skills to participate in relevant aspects of the project. Communities participating in the livelihood, sustainable natural resource management and wildlife monitoring activities will be provided on-the-ground training, and training programs would be evaluated for their effectiveness and adjusted as appropriate to ensure their effectiveness.	
3	Indigenous people and vulnerable groups may be excluded from participation in project planning and investments related to livelihoods and sustainable use practices	Institutional/ Operational	P = 3 I = 3	Participatory process (outlined in the project in Annex 7 of UNDP Project Document) would ensure that all households in village (including indigenous and vulnerable people) would be part of the investment planning, be trained and have capacity for implementation of livelihood activities and benefit directly from project activities	Landscape Planning and Implementation Team
4	Natural disasters and climate change may affect the implementation and results of project initiatives	Environmental	P = 3 I = 3	The Himalayan region is highly vulnerable to natural calamities stemming from susceptibility to multiple natural hazards such as earthquakes, landslides, floods, wildfires and droughts and a large part due to the physical and socio-economic characteristics (remote location, fragile biogeography and poor vulnerable populations). This vulnerability is compounded further by the retrogressive impacts of climate change ⁹ . The project will address the anticipated negative impacts of	Landscape Planning and Implementation Team

⁹ Please see UNDP (2012). Managing Climate Risks in the Himalayas: A Community Centric Approach. Publication of the UNDP-ECHO project 'Regional Climate Risk Reduction Project – 2009-2010'.

				climate change by increasing resilience of fragile mountain ecosystems and communities by: improving the management of fragile Himalayan landscapes to ensure ecosystem resilience under differing climate change conditions, to secure a continued sustainable flow of ecosystem services; supporting diversification and improvement of community livelihoods; and enhancing community disaster risk reduction capacity.	
5	The Project may involve utilization of genetic resources (e.g. collection and/or harvesting of NTFP, value addition commercial product development, etc.).	Environmental	P = 2 I = 3	The project will ensure that existing harvest of NTFPs are undertaken in an ecologically sustainable manner, by defining areas for different uses on the basis of internationally acceptable criteria, ensuring that harvest is undertaken in a sustainable manner based on scientific information in relation to annual sustainable yields, and closely monitoring for collection and harvest of non-timber products from the ecosystem.	Landscape Planning and Implementation Team
6	Inefficient volumes of products for commercialization jeopardizes commercial potential	Environmental	P = 3 I = 2	To ensure that products/services can meet market demand, the project will focus on high value products and services that have moderate demand. Overtime, efforts will be made to increase the capacity of the communities through capacity building and resource mobilization so as to expand to products/services that have greater demand or are specific niche products.	Landscape Planning and Implementation Team
7	Failure to commercialize value chain products and	Operational		A market based or demand driven approach will be taken to identify value chains to ensure there is	Landscape Planning and Implementation Team

	services could undermine its effectiveness		P = 2 I = 4	existing or potential demand before starting activities. The project will make use of a demand-based approach to understand the market / consumer needs and develop an economically sustainable supply chain for these products. This will ensure that there is demand for the new value chains.	
8	Long gestation periods for alternative livelihoods, value chain activities and restoration of pasture resources can undermine community participation	Operational	P = 2 I = 2	Microplan activities will entail a menu of options (including activities with short-term gestation periods as buffer until longer-term investments generate sustainable benefits) to help diversify the livelihood and resource base, including linkage with on-going governmental and NGO programs to supplement and complement project activities.	Landscape Planning and Implementation Team