

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

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1. Project Title	Promoting conservation, sustainable utilization and fair and equitable benefit-sharing from Lesotho's Medicinal and Ornamental Plants for improved livelihoods
2. Project Number	PIMS 5891
3. Location (Global/Region/Country)	Country - Lesotho

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

This is a project designed to promote access and benefit-sharing (ABS) as an integral aspect of natural resources management and conservation. By its very nature, it is designed to apply a human-rights based approach to NRM and biodiversity conservation, particularly to ensure beneficiation from the utilization of biological and genetic resources for bioprospecting and natural product development. The ABS discourse, within the context of the UNCBD and the Nagoya Protocol on ABS, promotes the recognition of Indigenous Knowledge hosted by local communities that have lived next to and utilized such resources throughout history, and advocates that such communities should therefore also have benefits accrue to them (monetary and non-monetary) from the use of such knowledge and resources. This is essence is the equitable sharing of benefits along the value chain, because currently the benefits are skewed towards the 'developers' and those who add value to the resources and transform them into products (e.g. food and pharmaceutical industries) even though this value addition and product development is based on indigenous and traditional knowledge, which is often undocumented and unpatented, as its usually owned/held by poor, marginalized sections of society. The project will therefore support the Lesotho government to build its capacity to conserve, manage, regulate and facilitate the equitable sharing of benefits with local indigenous communities and owners/providers of the knowledge behind the use of these biological and resources. The long-term goal is that these communities can derive benefits from being the first innovators and knowledge generators behind the sector that is now significantly valued. At the national level, the goal of the project is also to ensure that Lesotho is also capacitated to negotiate for a fair and equitable share of the benefits with the potential 'buyers'/users/extractors of such knowledge and resources from within Lesotho. In implementing the interventions of the project, the overarching principle will be to identify and empower poor, rural and marginalized groups, such as women, youth and poor men, to ensure that the project interventions take into consideration the gender and power dynamics at play in the project context and puts in place mechanisms to promote equity and fairness at all levels of project design and implementation. The PPG phase will be used to conduct an analysis of these power and group dynamics within the project strategy and ensure that the principles of the Human Rights Based Approach to project design are integrated into final Project Document as required by GEF an UNDP policies.

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

Access to and control over natural resources always has a gender dynamic to it, and so are the costs and benefits of interacting with the environment and natural resources. In the context of Lesotho and the history of its interaction with biological and genetic resources, traditionally and historically-defined gender roles determine which genetic and biological resources women have access to and benefit from. These roles are defined by traditional norms and values and taboos restricting interaction with particular species. Interestingly, research on Lesotho people's (Basotho) historical interaction with indigenous plant species, particularly those used for medicinal purposes, reveals that over 20 and 29 plant species were used to treat women and children's ailments, respectively. A consideration of gender dynamics around access to, use and control as well as benefit sharing from the use plant and genetic resources is therefore closely linked to poverty outcomes, considering that a significant number of poor rural communities engage in petty trading of these resources as a source of income. Women are often involved in the harvesting and trading part of the value chain, often receiving disproportionately less than men engaged in the same activities.

The PPG will therefore conduct targeted assessments and analysis of the gender outcomes arising from the human-environment interactions in this sector, and explore opportunities for the empowerment of poor rural women, men and youth, as an aspect of promoting inclusive value chains and operationalizing ABS as per the provisions of the Nagoya Protocol. In the PIF, and gender-specific outcome has been included in Component 3 to ensure that the project results framework takes into consideration the gender issues. The gender-disaggregated project indicators and targets will be finalized during the PPG phase and a robust monitoring plan that includes a plan to monitor gender outcomes, will be finalized during the PPG phase.

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

This project is designed to generate local and global environmental benefits, meaning by its very nature, it is meant to promote and mainstreaming sound environmental management and sustainability. The project interventions are designed to contribute directly to biodiversity conservation and sustainable use of natural resources, and enhance the capacity of government, public and private stakeholders to protect and conserve key threatened biological and genetic resources of flora. The project design phase (PPG) will therefore ensure that the interventions that are proposed are environmentally-friendly, promote rehabilitation and restoration of degraded ecosystems, and have overall poverty reduction benefits, an important incentive for promoting biodiversity conservation.

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>

Risk 1: Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	I = 1 P = 1	Low	As an LDC, Lesotho is sometimes constrained to effectively carry out its mandate with regards to implementation and enforcement of policies and laws due to limited resources. The project will strengthen the duty-bearer's capacity to meet their obligations.	
Risk 2: Is there a risk that rights-holders do not have the capacity to claim their rights?	I = 2 P = 2	Low	Many of the communities are illiterate and poor, and therefore not always able to engage with formal policies and regulations. Their capacity to engage on issues therefore needs to be built. The project will build the capacity of right-holders to claim their rights.	
Risk 3: Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	I = 1 P = 1	Low	This is a PIF/concept note screening, prior to PPG/development phase. Details risk analysis/ consultations will be conducted during the PPG.	
Risk 4: 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?	I = 1 P = 1	Low	This is a PIF/concept note screening, prior to PPG/development phase. Details risk analysis/ consultations will be conducted during the PPG.	
Risk 5: 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 = 1 P = 1	Low	Some project activities may be implemented in and around PAs, but the project is designed to enhance PA management effectiveness through sustainable management of adjacent areas and sound management/protection of key biodiversity species that are currently threatened with overuse/harvesting.	

Risk 6: Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	I = 2 P = 2	Low	As this is an ABS project with elements of promoting bioprospecting and R&D for scientific research purposes, collection and harvesting are expected, and potential commercial development may result from project implementation.	
Risk 7: Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	I = 2 P = 2	Low	Bioprospecting activities often rely on the utilization of tangible and intangible forms of cultural heritage and traditional knowledge as a point of departure.	
QUESTION 4: What is the overall Project risk categorization?				
Select one (see SESP for guidance)			Comments	
<i>Low Risk</i>		<input checked="" type="checkbox"/>		
<i>Moderate Risk</i>		<input type="checkbox"/>		
<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	
<i>Principle 1: Human Rights</i>		<input checked="" type="checkbox"/>	See comment on risk 2 and 3.	
<i>Principle 2: Gender Equality and Women's Empowerment</i>		<input checked="" type="checkbox"/>	See comment on risk 4.	
<i>1. Biodiversity Conservation and Natural Resource Management</i>		<input checked="" type="checkbox"/>	See comments on Risk 5 and 6.	
<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 checked="" type="checkbox"/>	See comment on Risk 7.	
<i>5. Displacement and Resettlement</i>		<input type="checkbox"/>		
<i>6. Indigenous Peoples</i>		<input type="checkbox"/>		
<i>7. Pollution Prevention and Resource Efficiency</i>		<input type="checkbox"/>		

Final Sign Off

<i>Signature</i>	<i>Date</i>	<i>Description</i>
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	
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?	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?	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?	Yes – based on desk review and limited discussions with government. Detailed analysis to be conducted during PPG.
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 – the PPG phase will conduct a detailed analysis of gender issues. Analysis at this stage is desk-based.
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?	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, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</i>		
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	<p>Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services?</p> <p><i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i></p>	No
1.2	<p>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?</p>	Yes – to enhance PA management effectiveness through sustainable management of adjacent areas.
1.3	<p>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)</p>	No
1.4	<p>Would Project activities pose risks to endangered species?</p>	No
1.5	<p>Would the Project pose a risk of introducing invasive alien species?</p>	No
1.6	<p>Does the Project involve harvesting of natural forests, plantation development, or reforestation?</p>	No
1.7	<p>Does the Project involve the production and/or harvesting of fish populations or other aquatic species?</p>	No
1.8	<p>Does the Project involve significant extraction, diversion or containment of surface or ground water?</p> <p><i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i></p>	No
1.9	<p>Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)</p>	Yes – for scientific research purposes
1.10	<p>Would the Project generate potential adverse transboundary or global environmental concerns?</p>	No
1.11	<p>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?</p> <p><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></p>	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?	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
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?	Yes – for purposes of R&D for bioprospecting and natural product

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.]

		development and value addition.
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)?	No
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 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
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?	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?	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?	No
Standard 7: Pollution Prevention and Resource Efficiency		

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.

7.1	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