

## Annex 6a 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

<b>Project Information</b>	
1. Project Title	Improving Adaptive Capacity and Risk Management of Rural Communities in Mongolia
2. Project Number	PIMS 5873
3. Location (Global/Region/Country)	Mongolia

### 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**

The project will enhance both the social and natural capital of herder households by organizing herder households into resources user groups and by working with local government agencies to facilitate customary tenureship of land and water resources based on Resource User Agreements signed between government authorities and herder households.

The project will invest in community mobilisation as well as capacity building for communities and officials to promote engagement and appropriate refinement of project interventions during the implementation phase. Project activities will be undertaken in close collaboration with local communities through co-management structures that include clear roles and responsibilities for government, communities and other partners.

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

Climate change and its impacts are not gender-neutral. Climate change impacts as well as coping opportunities, capacities and mechanisms for men and women are strongly dictated by the prevailing socio-cultural norms and gender stereotypes, poverty level including control over productive assets and resources, etc. Climate change is likely to magnify existing patterns of gender-based disadvantages.

A Gender Assessment and Action Plan has been prepared. This GAP provides suggested entry points for gender-responsive actions to be taken under each of the Activity areas of the project. The following are some of the areas that the project is likely to improve in terms of gender equality and women's empowerment: participation in consultation to ensure adequate responses to needs and challenges, gender mainstreaming in existing policies (eg water/land management policies, Soum Development Plans, Resource Use Agreements etc), collection of sex-disaggregated data, sensitising National/Aimag and Soum level policy makers to gender parity needs, tailored capacity building, women's

inclusion in technical trainings, provision of access to markets, pricing policy and climate information, and creation of financing mechanisms that promote and ensure women's involvement.

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

An important element of environmental sustainability is having an enabling environment. To achieve this the project includes an institutional capacity building subcomponent, which aims at strengthening capacity at all levels: National, State, local government jurisdictions and community. The expected outcome will be human and infrastructural capacity built and enhanced sustainability across all components of the project, as a result of strengthened institutions, processes, and systems, and increased capacity of human, institutional and regulatory systems for climate-responsive planning and implementation.

The project will promote both structural and ecosystem based measures to promote water security. These will include the replanting native vegetation along riparian areas and degraded lands to increase water retention and grassland productivity. Where ground water extraction is occurring, the project will work with stakeholders to improve extraction and application technologies while monitoring water use and increasing efficiency. Where gully erosion is taking place, the project may invest in construction of small-scale erosion controls to rehabilitate and maintain riparian habitat. This may include water harvesting with earthen weirs based upon successful international approaches designed to slow flow rates, retain soil, and restore/maintain natural flow and vegetation.

The potential adverse impacts have been deemed to generally be localized to the project implementation sites and to be manageable with the implementation of the appropriate mitigation measures, therefore the project has been assessed as only having moderate environmental risk (Category B), that is, limited in scale, identifiable with a reasonable degree of certainty, and are able to be addressed through appropriate mitigation measures. The project ESMF identifies potential risks and offers avoidance and/or mitigation measures to reduce impacts from the project.

**Part B. Identifying and Managing Social and Environmental Risks**

<p><b>QUESTION 2: What are the Potential Social and Environmental Risks?</b>  <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><b>QUESTION 3: What is the level of significance of the potential social and environmental risks?</b>  <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i></p>			<p><b>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)?</b></p>
<p><b>Risk Description</b></p>	<p><b>Impact and Probability (1-5)</b></p>	<p><b>Significance (Low, Moderate, High)</b></p>	<p><b>Comments</b></p>	<p><b>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.</b></p>
<p>Risk 1: Limited capacity of government officers and community members.</p>	<p>I = 2 P = 3</p>	<p>Moderate</p>		<p>The project will invest in local level mobilisation and technical capacity building for communities, herders and officials to ensure suitable design and implementation of a number of important agreements.</p>

				<p>Technical training, capacity building and supervision of local and national agencies will ensure sustained capacities for design and implementation.</p> <p>A sound implementation and project management framework (through ministries, national agencies, rural communities, herders and other stakeholder groups) is established to overcome challenges of inter-sectoral coordination during implementation. The project will continue to engage and build capacity for various stakeholders at national, aimag and soum levels, including MET, MoFALI and large agencies (UNDP, IFAD, SDC, and WB).</p>
Risk 3: Risk of conflict among beneficiaries around water use, pasture, infrastructure and forest.	I = 2 P = 2	Low	Local conflicts for the use of the pastures are not uncommon in Mongolia.	From lessons learnt, one of the main mitigation tool available to combats conflicts are official agreements among beneficiaries eg pasture agreements among groups of users (herders). These agreements include some common rules on pasture rotation, and maximum number of animals in each pasture (to reduce overgrazing). Similar approach is utilized for other important sectors (forest, water, infrastructures etc.). Agreements are an important and integral part of the project planning process to mitigate conflicts.
Risk 4: The Project involves changes to the use of lands and resources which will have some impact on livelihoods.	I = 2 P = 2	Low	Rangelands are currently being adversely impacted by unsustainable practices.	Rangeland Use Agreements for the sustainable management of pasture by enforcing seasonal rotational grazing and resting schedules, long term agreements for the maintenance of rangeland health and plans to adjust and reduce stocking rate to rangeland carrying capacity agreed between RUGs and soum governments
Risk 5: Climate shocks can lead to risk of short-term damage to the project as well as impact the long-term sustainability of the project.	I = 3 P = 3	Moderate	Significant climate shocks are already being felt by communities. Project is focused on reducing the impact of these shocks by increasing adaptability and resilience.	Herders groups will be trained to combine traditional and modern technology to combat negative effects of extreme climate events (zud, drought, floods and other events). Particular attention will be dedicated to constructions (water points, feed storages), selection of most resistant animals, pasture improvement, and storage of feed and water. Information, communication and coordination of the herders groups and organization of emergency units are also considered. An improvement of the ecosystem can also mitigate the negative effects of the environment. In addition, an increase of herders' income can reduce overall vulnerability to climate shocks. Together with technology and management, and community development, herders should be able to overcome future climatic uncertainty with greater preparation.

Risk 6: The Project involves extraction, diversion or containment of surface or ground water	I = 3 P = 2	Moderate	Existing boreholes are resulting in concentration of communities and herds.	Herder groups will form Rangeland User Groups and enter into Resource Use Agreements (RUAs). The RUAs aim to set sustainable levels of resource use and to incentivize improved resource use and management.
Risk 7: 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	I = 2 P = 2	Low	Project will involve some construction elements. All construction activities carry some level of risk – but is manageable.	Standard OHS precautions and practices will be sufficient to reduce risks to an acceptable level. Project implementation will include the application of the ESMF, which includes construction safety.
Risk 8: The Project will generate some waste (non-hazardous)	I = 2 P = 3	Moderate	Wastes generated will be non-hazardous and can often be used as a source of raw material for other processes. Waste production will be a by-product of construction and wastes will be relatively minor in volume. Types of waste will include packaging, used containers, and excess raw materials (eg stone, wood, earth)	Adoption of waste hierarchy – avoid, minimise, recycle ESMF contains principles for waste management
<b>QUESTION 4: What is the overall Project risk categorization?</b>				
Select one (see <a href="#">SESP</a> for guidance)			Comments	
<i>Low Risk</i>			<input type="checkbox"/>	
<i>Moderate Risk</i>			<input checked="" type="checkbox"/>	
<i>High Risk</i>			<input type="checkbox"/>	
<b>QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?</b>				
Check all that apply			Comments	
<i>Principle 1: Human Rights</i>				
<i>Principle 2: Gender Equality and Women's Empowerment</i>			X	
<i>Principle 3: Environmental Sustainability</i>			X	
<i>1. Biodiversity Conservation and Natural Resource Management</i>			X	
<i>2. Climate Change Mitigation and Adaptation</i>			X	

	<b>3. Community Health, Safety and Working Conditions</b>	X	
	<b>4. Cultural Heritage</b>	<input type="checkbox"/>	
	<b>5. Displacement and Resettlement</b>	<input type="checkbox"/>	
	<b>6. Indigenous Peoples</b>		
	<b>7. Pollution Prevention and Resource Efficiency</b>	X	

### Final Sign Off

<b>Signature</b>	<b>Date</b>	<b>Description</b>
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.



CLIMATE FUND FUNDING PROPOSAL

SESP Attachment 1. Social and Environmental Risk Screening Checklist

<b>Checklist Potential Social and Environmental Risks</b>		
<b>Principles 1: Human Rights</b>		<b>Answer (Yes/No)</b>
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? <sup>1</sup>	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?	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?	Yes
<b>Principle 2: Gender Equality and Women’s Empowerment</b>		
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?	No
4.	Would the Project potentially limit women’s ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? <i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</i>	No
<b>Principle 3: Environmental Sustainability:</b> Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below		

<sup>1</sup> 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.

<b>Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management</b>		
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>	No
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>	Yes
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>	Yes
1.9	<p>Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)</p>	No
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
<b>Standard 2: Climate Change Mitigation and Adaptation</b>		
2.1	<p>Will the proposed Project result in significant<sup>2</sup> greenhouse gas emissions or may exacerbate climate change?</p>	No
2.2	<p>Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?</p>	Yes
2.3	<p>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)?</p> <p><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></p>	No
<b>Standard 3: Community Health, Safety and Working Conditions</b>		

<sup>2</sup> In regards to CO<sub>2</sub>, '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.]

3.1	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?	Yes
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
<b>Standard 4: Cultural Heritage</b>		
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
<b>Standard 5: Displacement and Resettlement</b>		
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? <sup>3</sup>	No
5.4	Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	Yes
<b>Standard 6: Indigenous Peoples</b>		
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

<sup>3</sup> 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.

6.3	<p>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)?</p> <p><i>If the answer to the screening question 6.3 is “yes” the potential risk impacts are considered potentially severe and/or critical and the Project would be categorized as either Moderate or High Risk.</i></p>	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
<b>Standard 7: Pollution Prevention and Resource Efficiency</b>		
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)?	Yes
7.3	<p>Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs?</p> <p><i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i></p>	No
7.4	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	No
7.5	Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	No