

Annex 11. Social and Environmental Screening

Global

Project Information

| Project Information | |
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| 1. Project Title | Strengthening human resources, legal frameworks and institutional capacities to implement the Nagoya Protocol |
| 2. Project Number | PIMS 5381 |
| 3. Location (Global/Region/Country) | Global |

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

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| 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> |
| Based on the principles and objectives of the Nagoya Protocol, strengthening the capacities of the country to effectively implement the Protocol will be critical to ensure that the rights of the State and local community over genetic resources, traditional knowledge (TK) are secured and enforced. Local communities will be fully involved in the elaboration of the drafts and in the decision making process in order to address their concerns with a human rights based approach. |
| <i>Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment</i> |
| The project will ensure that the national Access and Benefit Sharing (ABS) regime helps to improve gender equality and women's empowerment. Project activities will integrate a gender focus and data in their design and monitoring processes to ensure that women are empowered to participate fully and also benefit from the use of genetic resources. Specific attention will be focused on ensuring the active participation of women, particularly in drafting the ABS framework, providing Prior Informed Consent (PIC) and Mutually Agreed Terms (MAT) and ensuring the benefit sharing terms of equitable. At the local level, the project will strengthen women's capacity, as they are the gatekeepers of TK and the primary providers/collectors/managers of natural and genetic resources. Through the development of biocultural community protocols (BCP) as well and the implementation of social and economic development activities, the project will ensure that women have an equal participation in the project as men. The strong participatory role envisaged for the ethnic minority women in the project will also contribute to ensuring social security. |
| <i>Briefly describe in the space below how the Project mainstreams environmental sustainability</i> |
| The introduction of an effective national ABS regime that will contribute towards biodiversity conservation and encourage sustainable use of biological resources. The project will ensure that environmental sustainability principles are integrated into the project activities design and implementation to avoid harmful environmental impacts and reduce its environmental footprint. In particular, Component 2 focused on biodiscovery and product development and commercialization from genetic resources materials will include provisions for sustainable harvest, cultivation and use of natural resources. The project will also recommend set up of a benefit sharing mechanism to channel and reinvest |

proceeds from ABS agreements towards the conservation of biodiversity and sustainable use of its components. The capacity development component will also mitigate the potential negative impacts through the users and suppliers knowing the risk.


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)? |
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| <i>Risk Description</i> | <i>Impact and Probability (1-5)</i> | <i>Significance (Low, Moderate, High)</i> | <i>Comments</i> | <i>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.</i> |
| Risk 1: Local Community grievances | I=3 P=2 | Low | Local community will be engaged in various components of the project on issues related to TK, and genetic resources use. | The project will conduct duly informed community consultations and engagement to address concerns and grievances. Social assessment has been conducted at the design stage |
| Risk 2: Local communities or individuals, concerns related human rights regarding | I=3 P=1 | Low | The project in both its design and intended objectives thus mainstreams a human rights based approach. | The project will help put in place principled and transparent ABS frameworks that safeguard people’s rights and respects their democratic right to full and effective participation in ABS transactions. |
| Risk 3: Gender equality concerns | I = 3 P = 2 | Moderate | Women already have a leading role in project activities on genetic resources use | Gender concerns have been integrated in the project design. |
| Risk 4: Activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas | I = 3 P = 2 | Moderate | Pilot activities will be conducted in an area near natural reserves and national parks. The role of protected areas providing opportunities for biodiscovery will be envisaged | Environmental sustainability and sustainable use of biodiversity measures have been incorporated in the project design |
| Risk 5: Lands and resources use changes | I = 3 P = 1 | Low | Harvesting and cultivation of genetic resources as well as bioprospecting may lead to changes in natural resources use | The scale of the project will limit its environmental impacts. Safeguards measures are also integrated in the ABS regime. |

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| Risk 6: Harvesting of natural forests, plantation development, or reforestation; production and/or harvesting of fish populations or other aquatic species | I = 3 P = 2 | Low | Harvesting and cultivation of genetic resources as well as bioprospecting may lead to changes in natural resources use | The scale of the project will limit its environmental impacts. Safeguards measures are also integrated in the ABS regime. |
| Risk 7: Utilization of genetic resources | I = 3 P = 1 | Low | The project will focus on the sustainable use of GR | Provisions for sustainable use and conservation of genetic resources is at the core of the project design and will be pursued through implementation |
| Risk 8: Illegal utilization and/or commercialization of biological and genetic resources on lands and territories claimed by indigenous people | I = 3 P = 3 | Moderate | Indigenous people are key stakeholders of the project in the implementation of the Nagoya Protocol on ABS | The project will be implemented considering national policies and rights of indigenous peoples regarding their traditional lands and use of natural resources. In addition, indigenous people will be consulted and will actively participate in project implementation to ensure that their rights and concerns are registered. |
| Risk 9. The project potentially affect the Cultural Heritage of indigenous peoples | I = 2 P = 1 | Low | Indigenous people are key stakeholders of the project in the implementation of the Nagoya Protocol on ABS | The project will be implemented considering national policies and rights of indigenous peoples regarding their traditional lands and use of natural resources. In addition, indigenous people will be consulted and will actively participate in project implementation to ensure that their rights and concerns are registered, including the protection of their cultural heritage. |
| | QUESTION 4: What is the overall Project risk categorization? | | | |
| | Select one (see SESP for guidance) | | | Comments |
| | Low Risk | <input checked="" type="checkbox"/> | The project has incorporated the potential risks and mitigation measures in its design. | |
| | Moderate Risk | <input type="checkbox"/> | | |
| | High Risk | <input type="checkbox"/> | | |
| | QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant? | | | |
| | Check all that apply | | | Comments |
| | Principle 1: Human Rights | <input checked="" type="checkbox"/> | The project in both its design and intended objectives thus mainstreams a human rights based approach. | |
| | Principle 2: Gender Equality and Women's Empowerment | <input checked="" type="checkbox"/> | Gender equality principles will be essential to the project success | |
| | 1. Biodiversity Conservation and Natural Resource Management | <input checked="" type="checkbox"/> | Sustainable use of biodiversity will be ensured through the project | |
| | 2. Climate Change Mitigation and Adaptation | <input type="checkbox"/> | | |
| | 3. Community Health, Safety and Working Conditions | <input type="checkbox"/> | | |

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| | 4. Cultural Heritage | ✓ | The project will contribute to strengthening the capacity of indigenous peoples regarding ABS and the Nagoya Protocol, including the negotiation of ABS agreements, obtaining PIC, establishing MAT, and the sharing of benefits, and to ensuring that their rights and traditional livelihoods continue to be respected. |
| | 5. Displacement and Resettlement | □ | |
| | 6. Indigenous Peoples | ✓ | The project will contribute to strengthening the capacity of indigenous peoples regarding ABS and the Nagoya Protocol, including the negotiation of ABS agreements, obtaining PIC, establishing MAT, and the sharing of benefits, and to ensuring that their rights and traditional livelihoods continue to be respected. |
| | 7. Pollution Prevention and Resource Efficiency | □ | |

Final Sign Off

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

SESP Attachment 1. Social and Environmental Risk Screening Checklist

| Checklist Potential Social and Environmental Risks | | Answer (Yes/No) |
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| Principles 1: Human Rights | | |
| 1. | Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups? | No |
| 2. | Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? ¹ | No |
| 3. | Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups? | No |
| 4. | Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them? | No |
| 5. | 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? | No |
| 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? | Yes |
| 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 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 |
| 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 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.

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| 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) | Yes |
| 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? | Yes |
| 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 transboundary or global environmental concerns? | No |
| 1.11 | Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i> | No |
| Standard 2: Climate Change Mitigation and Adaptation | | |
| 2.1 | Will the proposed Project result in significant ² greenhouse gas emissions or may exacerbate climate change? | No |
| 2.2 | Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change? | 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 |

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.]

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| 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 | | |
| 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 |

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.

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| 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? | Yes |
| 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? | Yes |
| Standard 7: Pollution Prevention and Resource Efficiency | | |
| 7.1 | Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts? | No |
| 7.2 | Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)? | No |
| 7.3 | Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs? <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i> | No |
| 7.4 | Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health? | No |
| 7.5 | Does the Project include activities that require significant consumption of raw materials, energy, and/or water? | No |

1. Albania

Project Information

| Project Information | |
|-------------------------------------|---|
| 1. Project Title | Strengthening human resources, legal frameworks and institutional capacities to implement the Nagoya Protocol |
| 2. Project Number | PIMS 5381 |
| 3. Location (Global/Region/Country) | Global/ Albania |

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

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| 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> |
| Based on the ABS regime principles, PIC and MAT guidelines will be developed to ensure that local community rights over genetic resources and TK are secured and enforced. Local communities will be fully involved in the elaboration of the drafts and in the decision making process in order to address their possible concerns with a human rights-based approach. |
| <i>Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment</i> |
| The project will ensure that the national ABS regime helps to improve gender equality and women's empowerment. The pilot and demonstration activities will also integrate gender focus and data in their design and monitoring processes to ensure that women are empowered to participate fully and also benefit from the use of genetic resources and TK. The women's network of NGOs- empowering women (AWEN) was contacted during the preparation of the project in Albania and has declared its willingness to be actively involved during the execution of the project with a specific role in the involvement of women in the activities of the project at local community level. The Institute for Nature Conservation (INCA) of Albania (NGO) will also bring its experience to the project in this regard. |
| <i>Briefly describe in the space below how the Project mainstreams environmental sustainability</i> |
| The introduction of an effective national ABS regime that will contribute towards biodiversity conservation and encourage sustainable use of biological resources. The project will ensure that environmental sustainability principles are integrated into the project activities design and implementation to avoid harmful environmental impacts and reduce its environmental footprint. |

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)? |
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| 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: Local Community grievances | I=3 P=1 | Low | Local community will be engaged in the project on issues related to TK, genetic resources use. | The project will conduct duly informed community consultations and engagement to address concerns and grievances. |
| Risk 1: Gender equality concerns | I = 3 P = 1 | Low | Women already have a leading role in project activities on genetic resources use | Gender concerns have been integrated in the project design and implementation |
| Risk 2: Activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas | I = 3 P = 2 | Moderate | Pilot activities may be conducted in protected areas | Environmental sustainability and sustainable use of biodiversity measures have been incorporated in the project design |
| Risk 3: Lands and resources use changes | I = 3 P = 1 | Low | Harvesting and cultivation of genetic resources as well as bioprospecting may lead to changes in natural resources use | The scale of the project will limit its environmental impacts. Safeguards measures are also integrated in the ABS regime. |
| Risk 4: Utilization of genetic resources | I = 3 P = 1 | Low | The project will focus on the sustainable use of GR | Provisions for sustainable use and conservation of genetic resources is at the core of the project design and will be pursued through implementation |
| | QUESTION 4: What is the overall Project risk categorization? | | | |
| | Select one (see SESP for guidance) | | | Comments |
| | Low Risk | <input checked="" type="checkbox"/> | | The project has incorporated the potential risks and mitigation measures in its design |
| | Moderate Risk | <input type="checkbox"/> | | |
| | High Risk | <input type="checkbox"/> | | |

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| | 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 type="checkbox"/> | |
| | <i>Principle 2: Gender Equality and Women's Empowerment</i> | <input checked="" type="checkbox"/> | Gender equality principles will be essential to the project success |
| | <i>1. Biodiversity Conservation and Natural Resource Management</i> | <input checked="" type="checkbox"/> | Sustainable use of biodiversity will be ensured through the project |
| | <i>2. Climate Change Mitigation and Adaptation</i> | <input type="checkbox"/> | |
| | <i>3. Community Health, Safety and Working Conditions</i> | <input type="checkbox"/> | |
| | <i>4. Cultural Heritage</i> | <input type="checkbox"/> | |
| | <i>5. Displacement and Resettlement</i> | <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

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

SESP Attachment 1. Social and Environmental Risk Screening Checklist

| Checklist Potential Social and Environmental Risks | |
|---|-----------------|
| 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? ⁴ | 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. 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? | No |
| 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 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 |
| 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? | No |

⁴ 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.

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| | <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i> | |
| 1.2 | Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities? | Yes |
| 1.3 | Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5) | Yes |
| 1.4 | Would Project activities pose risks to endangered species? | No |
| 1.5 | Would the Project pose a risk of introducing invasive alien species? | No |
| 1.6 | Does the Project involve harvesting of natural forests, plantation development, or reforestation? | No |
| 1.7 | Does the Project involve the production and/or harvesting of fish populations or other aquatic species? | No |
| 1.8 | Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i> | No |
| 1.9 | Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development) | Yes |
| 1.10 | Would the Project generate potential adverse transboundary or global environmental concerns? | No |
| 1.11 | Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i> | No |
| Standard 2: Climate Change Mitigation and Adaptation | | |
| 2.1 | Will the proposed Project result in significant ⁵ 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 |

⁵ In regards to CO₂, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

| | | |
|--|---|----|
| 3.3 | Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)? | No |
| 3.4 | Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure) | No |
| 3.5 | Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions? | No |
| 3.6 | Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)? | No |
| 3.7 | Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning? | No |
| 3.8 | Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)? | No |
| 3.9 | Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)? | No |
| Standard 4: Cultural Heritage | | |
| 4.1 | Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts) | No |
| 4.2 | Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes? | No |
| Standard 5: Displacement and Resettlement | | |
| 5.1 | Would the Project potentially involve temporary or permanent and full or partial physical displacement? | No |
| 5.2 | Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)? | No |
| 5.3 | Is there a risk that the Project would lead to forced evictions? ⁶ | 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 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 Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

| | | |
|---|---|----|
| 6.4 | 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 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 |

2. BELARUS

Project Information

| Project Information | |
|-------------------------------------|---|
| 1. Project Title | Strengthening human resources, legal frameworks and institutional capacities to implement the Nagoya Protocol |
| 2. Project Number | PIMS 5381 |
| 3. Location (Global/Region/Country) | Global/ Belarus |

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> |
| Based on the ABS regime principles, PIC and MAT guidelines will be developed to ensure that local community rights over genetic resources and TK are secured and enforced. Local communities will be fully involved in the elaboration of the drafts and in the decision making process in order to address their possible concerns with a human rights based approach. |
| <i>Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment</i> |
| The project will ensure that the national ABS regime helps to improve gender equality and women's empowerment. The pilot and demonstration activities will also integrate gender focus and data in their design and monitoring processes to ensure that women are empowered to participate fully and also benefit from the use of genetic resources and TK. The empowerment of women in Belarus is an issue integrated at all institutional levels with higher percentage of women participation in activities at the local level. |
| <i>Briefly describe in the space below how the Project mainstreams environmental sustainability</i> |
| The introduction of an effective national ABS regime that will contribute towards biodiversity conservation and encourage sustainable use of biological resources. The project will ensure that environmental sustainability principles are integrated into the project activities design and implementation to avoid harmful environmental impacts and reduce its environmental footprint. |

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: Local Community grievances | I=3 P=1 | Low | Local community will be engaged in the project on issues related to TK, genetic resources use. | The project will conduct duly informed community consultations and engagement to address concerns and grievances. |
| Risk 1: Gender equality concerns | I = 3 P = 1 | Low | Women already have a leading role in project activities on genetic resources use | Gender concerns have been integrated in the project design and implementation |
| Risk 2 : Activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas | I = 3 P = 2 | Moderate | Pilot activities may be conducted in protected areas | Environmental sustainability and sustainable use of biodiversity measures have been incorporated in the project design |
| Risk 3: Lands and resources use changes | I = 3 P = 1 | Low | Harvesting and cultivation of genetic resources as well as bioprospecting may lead to changes in natural resources use | The scale of the project will limit its environmental impacts. Safeguards measures are also integrated in the ABS regime. |
| Risk 4: Utilization of genetic resources | I = 3 P = 1 | Low | The project will focus on the sustainable use of GR | Provisions for sustainable use and conservation of genetic resources is at the core of the project design and will be pursued through implementation |
| QUESTION 4: What is the overall Project risk categorization? | | | | |
| Select one (see SESP for guidance) | | | Comments | |
| Low Risk | | | <input checked="" type="checkbox"/> | The project has incorporated the potential risks and mitigation measures in its design |
| Moderate Risk | | | <input type="checkbox"/> | |
| High Risk | | | <input type="checkbox"/> | |

| QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant? | | |
|---|-------------------------------------|---|
| Check all that apply | | Comments |
| <i>Principle 1: Human Rights</i> | <input type="checkbox"/> | |
| <i>Principle 2: Gender Equality and Women's Empowerment</i> | <input checked="" type="checkbox"/> | Gender equality principles will be essential to the project success |
| <i>1. Biodiversity Conservation and Natural Resource Management</i> | <input checked="" type="checkbox"/> | Sustainable use of biodiversity will be ensured through the project |
| <i>2. Climate Change Mitigation and Adaptation</i> | <input type="checkbox"/> | |
| <i>3. Community Health, Safety and Working Conditions</i> | <input type="checkbox"/> | |
| <i>4. Cultural Heritage</i> | <input type="checkbox"/> | |
| <i>5. Displacement and Resettlement</i> | <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

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

SESP Attachment 1. Social and Environmental Risk Screening Checklist

| Checklist Potential Social and Environmental Risks | | Answer (Yes/No) |
|--|--|-----------------|
| Principles 1: Human Rights | | |
| 1. | Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups? | No |
| 2. | Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? ⁷ | 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. | 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? | No |
| 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 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 |
| 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? | No |

⁷ Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

| | | |
|--|--|-----|
| | <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i> | |
| 1.2 | Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities? | 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) | Yes |
| 1.4 | Would Project activities pose risks to endangered species? | No |
| 1.5 | Would the Project pose a risk of introducing invasive alien species? | No |
| 1.6 | Does the Project involve harvesting of natural forests, plantation development, or reforestation? | No |
| 1.7 | Does the Project involve the production and/or harvesting of fish populations or other aquatic species? | No |
| 1.8 | Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i> | No |
| 1.9 | Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development) | Yes |
| 1.10 | Would the Project generate potential adverse transboundary or global environmental concerns? | No |
| 1.11 | Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i> | No |
| Standard 2: Climate Change Mitigation and Adaptation | | |
| 2.1 | Will the proposed Project result in significant ⁸ 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 |

⁸ In regards to CO₂, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

| | | |
|--|---|----|
| 3.3 | Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)? | No |
| 3.4 | Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure) | No |
| 3.5 | Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions? | No |
| 3.6 | Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)? | No |
| 3.7 | Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning? | No |
| 3.8 | Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)? | No |
| 3.9 | Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)? | No |
| Standard 4: Cultural Heritage | | |
| 4.1 | Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts) | No |
| 4.2 | Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes? | No |
| Standard 5: Displacement and Resettlement | | |
| 5.1 | Would the Project potentially involve temporary or permanent and full or partial physical displacement? | No |
| 5.2 | Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)? | No |
| 5.3 | Is there a risk that the Project would lead to forced evictions? ⁹ | 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 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 |

⁹ Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

| | | |
|---|---|----|
| 6.4 | 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 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 |

3. Botswana

Project Information

| Project Information | |
|-------------------------------------|--|
| 1. Project Title | Strengthening human resources, legal frameworks, and institutional capacities to implement the Nagoya Protocol |
| 2. Project Number | PIMS 5381 |
| 3. Location (Global/Region/Country) | Global /Botswana |

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> |
| In the specific case of Botswana, the project aims to support the development of legislative, administrative and policy measures to allow the country to meet its obligations under the Nagoya Protocol. The project will also support the identification, documentation and protection of TK of indigenous and local communities, contributing both towards cultural reaffirmation and long term potential for commercial benefits. In this regard, the project will help put in place principled and transparent ABS frameworks that safeguard people's rights and respects their democratic right to full and effective participation in ABS transactions. The project in both its design and intended objectives thus mainstreams a human rights based approach. |
| <i>Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment</i> |
| It is expected that women who are often custodians of genetic resources and associated TK, will be proactively engaged and involved in project-related activities with both participation and benefit-sharing arrangements to be at least proportionate in terms of gender balance. The project is therefore in line with the provisions Nagoya Protocol with recognizes the "vital role that women play in access and benefit-sharing and affirming the need for the full participation of women at all levels of policy-making and implementation for biodiversity conservation." |
| <i>Briefly describe in the space below how the Project mainstreams environmental sustainability</i> |
| The project responds directly to the need of the Nagoya Protocol which is create greater legal certainty and transparency for both providers and users of genetic resources by: a) establishing more predictable conditions for access to genetic resources; and b) helping to ensure benefit-sharing when genetic resources leave the country providing the genetic resources. In this regard, the project will create incentives to conserve and sustainably use genetic resources, and therefore enhances the contribution of biodiversity to development and human well-being. A key underlying feature of bio prospection is to ensure that exploitation of the genetic resources is conducted in a sustainable manner, and the government will include this condition in any related bio-prospecting agreements and permits. The risk of overharvesting will be mitigated by financially and technically supporting local communities to grow and sustainably use those resources needed (as done in some baseline activities). The sharing of benefits will in thus create further incentives for the conservation and sustainable use of genetic resources. |

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)? |
|--|---|---|--|--|
| <i>Risk Description</i> | <i>Impact and Probability (1-5)</i> | <i>Significance (Low, Moderate, High)</i> | <i>Comments</i> | <i>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.</i> |
| Risk 1: Local Community grievances | I=3 P=1 | Low | Local community will be engaged in the project on issues related to TK, genetic resources use. | The project will conduct duly informed community consultations and engagement to address concerns and grievances. |
| Risk 2: Local communities or individuals, concerns related human rights regarding | I=3 P=1 | Low | The project in both its design and intended objectives thus mainstreams a human rights based approach. | The project will help put in place principled and transparent ABS frameworks that safeguard people's rights and respects their democratic right to full and effective participation in ABS transactions. |
| Risk 3: Utilization of genetic resources | I = 3 P = 1 | Low | The project will focus on the sustainable use of GR | Provisions for sustainable use and conservation of genetic resources is at the core of the project design and will be pursued through implementation |
| Risk 4: Utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples | I = 2 P = 1 | Low | The project will promote biodiscovery efforts that may include lands and territories claimed by indigenous peoples | The project will be implemented considering national policies and rights of indigenous peoples regarding their traditional lands and use of natural resources. |
| | QUESTION 4: What is the overall Project risk categorization? | | | |
| | Select one (see SESP for guidance) | | | Comments |
| | Low Risk | <input checked="" type="checkbox"/> | | The project has incorporated the potential risks and mitigation measures in its design |
| | Moderate Risk | <input type="checkbox"/> | | |
| | High Risk | <input type="checkbox"/> | | |
| | QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant? | | | |
| | Check all that apply | | | Comments |

| | | | |
|--|---|--------------------------|---|
| | Principle 1: Human Rights | ✓ | <input checked="" type="checkbox"/> The project in both its design and intended objectives thus mainstreams a human rights based approach. |
| | Principle 2: Gender Equality and Women's Empowerment | ✓ | <input checked="" type="checkbox"/> Gender equality principles will be essential to the project success |
| | 1. Biodiversity Conservation and Natural Resource Management | ✓ | <input checked="" type="checkbox"/> Sustainable use of biodiversity will be ensured through the project |
| | 2. Climate Change Mitigation and Adaptation | <input type="checkbox"/> | |
| | 3. Community Health, Safety and Working Conditions | <input type="checkbox"/> | |
| | 4. Cultural Heritage | <input type="checkbox"/> | |
| | 5. Displacement and Resettlement | <input type="checkbox"/> | |
| | 6. Indigenous Peoples | ✓ | The project will contribute to strengthening the capacity of indigenous peoples regarding ABS and the Nagoya Protocol, including the negotiation of ABS agreements, obtaining PIC, establishing MAT, and the sharing of benefits, and to ensuring that their rights and traditional livelihoods continue to be respected. |
| | 7. Pollution Prevention and Resource Efficiency | <input type="checkbox"/> | |

Final Sign Off

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

SESP Attachment 1. Social and Environmental Risk Screening Checklist

| Checklist Potential Social and Environmental Risks | | Answer (Yes/No) |
|--|--|--------------------|
| Principles 1: Human Rights | | |
| 1. | Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups? | No |
| 2. | Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? ¹⁰ | 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. | 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? | No |
| 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? | Yes |
| 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 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 |
| 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 | | |

¹⁰ 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.

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| 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? | No |
| 1.3 | Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5) | No |
| 1.4 | Would Project activities pose risks to endangered species? | No |
| 1.5 | Would the Project pose a risk of introducing invasive alien species? | No |
| 1.6 | Does the Project involve harvesting of natural forests, plantation development, or reforestation? | No |
| 1.7 | Does the Project involve the production and/or harvesting of fish populations or other aquatic species? | No |
| 1.8 | Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i> | No |
| 1.9 | Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development) | Yes |
| 1.10 | Would the Project generate potential adverse transboundary or global environmental concerns? | No |
| 1.11 | Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i> | No |
| Standard 2: Climate Change Mitigation and Adaptation | | |
| 2.1 | Will the proposed Project result in significant ¹¹ 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 |

¹¹ 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.]

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| 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 | | |
| 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? ¹² | No |
| 5.4 | Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources? | No |
| Standard 6: Indigenous Peoples | | |
| 6.1 | Are indigenous peoples present in the Project area (including Project area of influence)? | Yes |
| 6.2 | Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples? | Yes |
| 6.3 | Would the proposed Project potentially affect the rights, lands and territories of indigenous peoples (regardless of whether Indigenous Peoples possess the legal titles to such areas)? | Yes |

¹² 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.

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| 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? | Yes |
| 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 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 |

4. Colombia

Project Information

| Project Information | |
|-------------------------------------|---|
| 1. Project Title | Strengthening human resources, legal frameworks and institutional capacities to implement the Nagoya Protocol |
| 2. Project Number | PIMS 5381 |
| 3. Location (Global/Region/Country) | Global/Colombia |

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 aims to support the capacity building of the governmental and other stakeholders to allow the country to meet its obligations under the Nagoya Protocol. The Project will work with local communities in the collection and research and development on genetic resources located in two regions of the Country. Training, capacity building, employment, information sharing, among other benefits, will be shared between the research institutions and the local people contributing both towards the creation of local capacities to manage and use biodiversity in a sustainable manner and to reaffirm the local values and visions on the role of biodiversity for sustainable development. In this regard, the project will help to put into practice the principles of the ABS Frameworks that safeguard people's rights and respects their democratic right to full and effective participation in ABS transactions. The project in both its design and intended objectives thus mainstreams a human rights based approach. |
| Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment |
| It is expected that women in the regions where the pilot will take place will be proactively engaged and involved in project-related activities The project is therefore in line with the provisions Nagoya Protocol with recognizes the "vital role that women play in access and benefit-sharing and affirming the need for the full participation of women at all levels of policy-making and implementation for biodiversity conservation." In the implementation of the ABS pilot/partnership, specific attention will be paid on ensuring the active participation of women as well as in the implementation of capacity building and awareness-raising activities ensuring that women are beneficiaries of the project outcomes. |
| Briefly describe in the space below how the Project mainstreams environmental sustainability |
| The Project recognizes the economic potential of biodiversity in socio-economic development and has a strategy to develop and implement policies for conservation and sustainable use of biological resources To achieve these objectives, it also recognizes the need to establish conditions which facilitate the creation and development of linkage between stakeholders based on the sustainable use of biodiversity, particularly the use of biological and genetic resources, and of biotechnology, which also ensure the fair and equitable distribution of those benefits derived from the use of those resources between the users and providers of the biodiversity. Sustainable use of genetic resources through the project will have direct socioeconomics benefits for the national economy through an improved control over the benefits accruing from the use and commercialization of genetic resources. This will have a positive impact on the national economy and will help to drive innovation. In this regard, the project will create incentives to conserve and sustainably use genetic resources, and therefore enhances the contribution of biodiversity to development and human well-being. The sharing of benefits will in thus create further incentives for the conservation and sustainable use of genetic resources. |

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: Local Community grievances | I=3 P=1 | Low | Local community will be engaged in the project on issues related to TK, genetic resources use. | The project will conduct duly informed community consultations and engagement to address concerns and grievances. |
| Risk 2: Utilization of genetic resources | I = 3 P = 1 | Low | The project will focus on the sustainable use of GR | Provisions for sustainable use and conservation of genetic resources is at the core of the project design and will be pursued through implementation |
| | QUESTION4: What is the overall Project risk categorization? | | | |
| | Select one (see SESP for guidance) | | | Comments |
| | Low Risk | <input checked="" type="checkbox"/> | The project has incorporated the potential risks and mitigation measures in its design | |
| | Moderate Risk | <input type="checkbox"/> | | |
| | High Risk | <input type="checkbox"/> | | |
| | QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant? | | | |
| | Check all that apply | | | Comments |
| | Principle 1: Human Rights | <input checked="" type="checkbox"/> | The project in both its design and intended objectives thus mainstreams a human rights based approach. | |
| | Principle 2: Gender Equality and Women’s Empowerment | <input checked="" type="checkbox"/> | Gender equality principles will be essential to the project success | |
| | 1. Biodiversity Conservation and Natural Resource Management | <input checked="" type="checkbox"/> | Sustainable use of biodiversity will be ensured through the project | |

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| | 2. Climate Change Mitigation and Adaptation | <input type="checkbox"/> | |
| | 3. Community Health, Safety and Working Conditions | <input type="checkbox"/> | |
| | 4. Cultural Heritage | <input type="checkbox"/> | |
| | 5. Displacement and Resettlement | <input type="checkbox"/> | |
| | 6. Indigenous Peoples | <input type="checkbox"/> | |
| | 7. Pollution Prevention and Resource Efficiency | <input type="checkbox"/> | |

Final Sign Off

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

SESP Attachment 1. Social and Environmental Risk Screening Checklist

| Checklist Potential Social and Environmental Risks | | Answer (Yes/No) |
|--|--|-----------------|
| Principles 1: Human Rights | | |
| 1. | Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups? | No |
| 2. | Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? ¹³ | 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. | 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? | No |
| 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 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 |
| 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 | | |

¹³ 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.

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| 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? | No |
| 1.3 | Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5) | No |
| 1.4 | Would Project activities pose risks to endangered species? | No |
| 1.5 | Would the Project pose a risk of introducing invasive alien species? | No |
| 1.6 | Does the Project involve harvesting of natural forests, plantation development, or reforestation? | No |
| 1.7 | Does the Project involve the production and/or harvesting of fish populations or other aquatic species? | No |
| 1.8 | Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i> | No |
| 1.9 | Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development) | Yes |
| 1.10 | Would the Project generate potential adverse transboundary or global environmental concerns? | No |
| 1.11 | Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i> | No |
| Standard 2: Climate Change Mitigation and Adaptation | | |
| 2.1 | Will the proposed Project result in significant ¹⁴ 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 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 |

¹⁴In regards to CO₂, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

| | | |
|--|---|----|
| 3.2 | 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 | | |
| 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? ¹⁵ | 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 rights, lands and territories of indigenous peoples (regardless of whether Indigenous Peoples possess the legal titles to such areas)? | No |

¹⁵ 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.

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| 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 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 |

5. Comoros

Project Information

| Project Information | |
|-------------------------------------|--|
| 1. Project Title | Strengthening human resources, legal frameworks, and institutional capacities to implement the Nagoya Protocol |
| 2. Project Number | PIMS 5381 |
| 3. Location (Global/Region/Country) | Global /Comoros |

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 aims to support the development of legislative, administrative and policy measures to allow Comoros to meet its obligations under the Nagoya Protocol. The project will also support the identification, documentation and protection of traditional knowledge of indigenous and local communities, contributing both towards cultural reaffirmation and long term potential for commercial benefits. In this regard, the project will help put in place principled and transparent ABS frameworks that safeguard people's rights and respects their democratic right to full and effective participation in ABS transactions. The project in both its design and intended objectives, thus mainstreams human rights based approach.

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

It is expected that women who are often custodians of genetic resources and associated traditional knowledge, will be proactively engaged and involved in project-related activities with both participation and benefit-sharing arrangements to be at least proportionate in terms of gender balance. The project is therefore in line with the provisions Nagoya Protocol with recognizes the "vital role that women play in access and benefit-sharing and affirming the need for the full participation of women at all levels of policy-making and implementation for biodiversity conservation."

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

The project responds directly to the need of the Nagoya Protocol which is create greater legal certainty and transparency for both providers and users of genetic resources by: a) establishing more predictable conditions for access to genetic resources; and b) helping to ensure benefit-sharing when genetic resources leave the country providing the genetic resources.

In this regard, the project will create incentives to conserve and sustainably use genetic resources, and therefore enhances the contribution of biodiversity to development and human well-being. A key underlying feature of bio prospection is to ensure that exploitation of the genetic resources is conducted in a sustainable manner, and the government will include this condition in any related bio-prospecting agreements and permits. The risk of overharvesting will be mitigated by financially and technically supporting local communities to grow and sustainably use those resources needed (as done in some baseline activities). The sharing of benefits will in thus create further incentives for the conservation and sustainable use of genetic resources.

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)? |
|---|--|---|---|--|
| <i>Risk Description</i> | <i>Impact and Probability (1-5)</i> | <i>Significance (Low, Moderate, High)</i> | <i>Comments</i> | <i>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.</i> |
| Risk 1: Local Community grievances | I=3 P=1 | Low | Local community will be engaged in the project on issues related to TK, genetic resources use. | The project will conduct duly informed community consultations and engagement to address concerns and grievances. |
| Risk 2. Local communities or individuals, concerns related human rights regarding | I=3 P=1 | Low | The project in both its design and intended objectives thus mainstreams a human rights based approach. | The project will help put in place principled and transparent ABS frameworks that safeguard people's rights and respects their democratic right to full and effective participation in ABS transactions. |
| Risk 3: Utilization of genetic resources | I = 3 P = 1 | Low | The project will focus on the sustainable use of GR | Provisions for sustainable use and conservation of genetic resources is at the core of the project design and will be pursued through implementation |
| Risk 4: Illegal utilization and/or commercialization of biological and genetic resources on lands and territories claimed by indigenous people | I = 3 P = 2 | Moderate | The project will promote biodiscovery efforts that may include areas with presence of indigenous peoples and/or lands and territories claimed by indigenous peoples | The project will be implemented considering national policies and rights of indigenous peoples regarding their traditional lands and use of natural resources. |
| | QUESTION 4: What is the overall Project risk categorization? | | | |
| | Select one (see SESP for guidance) | | | Comments |
| | Low Risk | <input checked="" type="checkbox"/> | The project has incorporated the potential risks and mitigation measures in its design | |
| | Moderate Risk | <input type="checkbox"/> | | |
| | High Risk | <input type="checkbox"/> | | |
| | QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant? | | | |

| | Check all that apply | | Comments |
|--|---|--------------------------|---|
| | <i>Principle 1: Human Rights</i> | ✓ | The project in both its design and intended objectives thus mainstreams a human rights based approach. |
| | <i>Principle 2: Gender Equality and Women's Empowerment</i> | ✓ | Gender equality principles will be essential to the project success |
| | <i>1. Biodiversity Conservation and Natural Resource Management</i> | ✓ | Sustainable use of biodiversity will be ensured through the project |
| | <i>2. Climate Change Mitigation and Adaptation</i> | <input type="checkbox"/> | |
| | <i>3. Community Health, Safety and Working Conditions</i> | <input type="checkbox"/> | |
| | <i>4. Cultural Heritage</i> | <input type="checkbox"/> | |
| | <i>5. Displacement and Resettlement</i> | <input type="checkbox"/> | |
| | <i>6. Indigenous Peoples</i> | ✓ | The project will contribute to strengthening the capacity of indigenous peoples regarding ABS and the Nagoya Protocol, including the negotiation of ABS agreements, obtaining PIC, establishing MAT, and the sharing of benefits, and to ensuring that their rights and traditional livelihoods continue to be respected. |
| | <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 | | Answer (Yes/No) |
|--|--|-----------------|
| Principles 1: Human Rights | | |
| 1. | Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups? | No |
| 2. | Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? ¹⁶ | 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. | 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? | No |
| 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? | Yes |
| 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 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 |
| 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 | | |

¹⁶ 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.

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| 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? | No |
| 1.3 | Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5) | No |
| 1.4 | Would Project activities pose risks to endangered species? | No |
| 1.5 | Would the Project pose a risk of introducing invasive alien species? | No |
| 1.6 | Does the Project involve harvesting of natural forests, plantation development, or reforestation? | No |
| 1.7 | Does the Project involve the production and/or harvesting of fish populations or other aquatic species? | No |
| 1.8 | Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i> | No |
| 1.9 | Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development) | Yes |
| 1.10 | Would the Project generate potential adverse transboundary or global environmental concerns? | No |
| 1.11 | Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i> | No |
| Standard 2: Climate Change Mitigation and Adaptation | | |
| 2.1 | Will the proposed Project result in significant ¹⁷ 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 |

¹⁷ 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.]

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| 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 | | |
| 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? ¹⁸ | No |
| 5.4 | Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources? | No |
| Standard 6: Indigenous Peoples | | |
| 6.1 | Are indigenous peoples present in the Project area (including Project area of influence)? | Yes |
| 6.2 | Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples? | Yes |
| 6.3 | Would the proposed Project potentially affect the rights, lands and territories of indigenous peoples (regardless of whether Indigenous Peoples possess the legal titles to such areas)? | Yes |

¹⁸ Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

| | | |
|---|---|-----|
| 6.4 | Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned? | No |
| 6.4 | Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples? | Yes |
| 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 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 |

6. Dominican Republic

Project Information

| Project Information | |
|-------------------------------------|---|
| 1. Project Title | Strengthening human resources, legal frameworks and institutional capacities to implement the Nagoya Protocol |
| 2. Project Number | PIMS 5381 |
| 3. Location (Global/Region/Country) | Global/Dominican Republic |

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? |
|--|
| <p>Briefly describe in the space below how the Project mainstreams the human-rights based approach</p> <p>The project aims to support the capacity building of the governmental and other stakeholders to allow the country to meet its obligations under the Nagoya Protocol. The Project will work with local communities in the collection and research and development on genetic resources located in two regions of the Country. Training, capacity building, employment, information sharing, among other benefits, will be shared between the research institutions and the local people contributing both towards the creation of local capacities to manage and use biodiversity in a sustainable manner and to reaffirm the local values and visions on the role of biodiversity for sustainable development. In this regard, the project will help to put into practice the principles of the ABS Frameworks that safeguard people's rights and respects their democratic right to full and effective participation in ABS transactions. The project in both its design and intended objectives thus mainstreams a human rights based approach.</p> |
| <p>Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment</p> <p>It is expected that women in the regions where the pilot will take place will be proactively engaged and involved in project-related activities The project is therefore in line with the provisions Nagoya Protocol with recognizes the "vital role that women play in access and benefit-sharing and affirming the need for the full participation of women at all levels of policy-making and implementation for biodiversity conservation." In the implementation of the ABS pilot/partnership, specific attention will be paid on ensuring the active participation of women as well as in the implementation of capacity building and awareness-raising activities ensuring that women are beneficiaries of the project outcomes.</p> |
| <p>Briefly describe in the space below how the Project mainstreams environmental sustainability</p> <p>The Project recognizes the economic potential of biodiversity in socio-economic development and has a strategy to develop and implement policies for conservation and sustainable use of biological resources. To achieve these objectives, it also recognizes the need to establish conditions which facilitate the creation and development of linkage between stakeholders based on the sustainable use of biodiversity, particularly the use of biological and genetic resources, and of biotechnology, which also ensure the fair and equitable distribution of those benefits derived from the use of those resources between the users and providers of the biodiversity. Sustainable use of genetic resources through the project will have direct socioeconomics benefits for the national economy through an improved control over the benefits accruing from the use and commercialization of genetic resources. This will have a positive impact on the national economy and will help to drive innovation. In this regard, the project will create incentives to conserve and</p> |

sustainably use genetic resources, and therefore enhances the contribution of biodiversity to development and human well-being. The sharing of benefits will in thus create further incentives for the conservation and sustainable use of genetic resources.

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: Local Community grievances | I=3 P=1 | Low | Local community will be engaged in the project on issues related to TK, genetic resources use. | The project will conduct duly informed community consultations and engagement to address concerns and grievances. |
| Risk 2: Utilization of genetic resources | I = 3 P = 1 | Low | The project will focus on the sustainable use of GR | Provisions for sustainable use and conservation of genetic resources is at the core of the project design and will be pursued through implementation |
| | QUESTION4: What is the overall Project risk categorization? | | | |
| | Select one (see SESP for guidance) | | | Comments |
| | Low Risk <input checked="" type="checkbox"/> | | | The project has incorporated the potential risks and mitigation measures in its design |
| | Moderate Risk <input type="checkbox"/> | | | |
| | High Risk <input type="checkbox"/> | | | |
| | QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant? | | | |
| | Check all that apply | | | Comments |
| | Principle 1: Human Rights <input checked="" type="checkbox"/> | | | The project in both its design and intended objectives thus mainstreams a human rights based approach. |
| | Principle 2: Gender Equality and Women’s Empowerment <input checked="" type="checkbox"/> | | | Gender equality principles will be essential to the project success |

| | | | |
|--|---|--------------------------|---|
| | 1. Biodiversity Conservation and Natural Resource Management | ✓ | Sustainable use of biodiversity will be ensured through the project |
| | 2. Climate Change Mitigation and Adaptation | <input type="checkbox"/> | |
| | 3. Community Health, Safety and Working Conditions | <input type="checkbox"/> | |
| | 4. Cultural Heritage | <input type="checkbox"/> | |
| | 5. Displacement and Resettlement | <input type="checkbox"/> | |
| | 6. Indigenous Peoples | <input type="checkbox"/> | |
| | 7. Pollution Prevention and Resource Efficiency | <input type="checkbox"/> | |

Final Sign Off

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

SESP Attachment 1. Social and Environmental Risk Screening Checklist

| Checklist Potential Social and Environmental Risks | | Answer (Yes/No) |
|--|--|-----------------|
| Principles 1: Human Rights | | |
| 1. | Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups? | No |
| 2. | Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? ¹⁹ | 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. | 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? | No |
| 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 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 |
| 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 | | |

¹⁹ 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.

| | | |
|--|--|-----|
| 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? | No |
| 1.3 | Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5) | No |
| 1.4 | Would Project activities pose risks to endangered species? | No |
| 1.5 | Would the Project pose a risk of introducing invasive alien species? | No |
| 1.6 | Does the Project involve harvesting of natural forests, plantation development, or reforestation? | No |
| 1.7 | Does the Project involve the production and/or harvesting of fish populations or other aquatic species? | No |
| 1.8 | Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i> | No |
| 1.9 | Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development) | Yes |
| 1.10 | Would the Project generate potential adverse transboundary or global environmental concerns? | No |
| 1.11 | Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i> | No |
| Standard 2: Climate Change Mitigation and Adaptation | | |
| 2.1 | Will the proposed Project result in significant ²⁰ 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 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 |

²⁰In regards to CO₂, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

| | | |
|--|---|----|
| 3.2 | 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 | | |
| 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? ²¹ | 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 rights, lands and territories of indigenous peoples (regardless of whether Indigenous Peoples possess the legal titles to such areas)? | No |

²¹ Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

| | | |
|---|---|----|
| 6.4 | Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned? | No |
| 6.4 | 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 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 |

7. Ecuador

Project Information

| Project Information | |
|-------------------------------------|---|
| 1. Project Title | Strengthening human resources, legal frameworks and institutional capacities to implement the Nagoya Protocol |
| 2. Project Number | PIMS 5381 |
| 3. Location (Global/Region/Country) | Global/Ecuador |

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> |
| <p>The project aims to support the capacity building of the governmental and other stakeholders to allow the country to meet its obligations under the Nagoya Protocol. The Project will work with local communities in the collection and research and development on genetic resources located in two regions of the Country. Training, capacity building, employment, information sharing, among other benefits, will be shared between the research institutions and the local people contributing both towards the creation of local capacities to manage and use biodiversity in a sustainable manner and to reaffirm the local values and visions on the role of biodiversity for sustainable development. In this regard, the project will help to put into practice the principles of the ABS Frameworks that safeguard people's rights and respects their democratic right to full and effective participation in ABS transactions. The project in both its design and intended objectives thus mainstreams a human rights based approach.</p> |
| <i>Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment</i> |
| <p>It is expected that women in the regions where the pilot will take place will be proactively engaged and involved in project-related activities The project is therefore in line with the provisions Nagoya Protocol with recognizes the "vital role that women play in access and benefit-sharing and affirming the need for the full participation of women at all levels of policy-making and implementation for biodiversity conservation." In the implementation of the ABS pilot/partnership, specific attention will be paid on ensuring the active participation of women as well as in the implementation of capacity building and awareness-raising activities ensuring that women are beneficiaries of the project outcomes.</p> |
| <i>Briefly describe in the space below how the Project mainstreams environmental sustainability</i> |
| <p>The Project recognizes the economic potential of biodiversity in socio-economic development and has a strategy to develop and implement policies for conservation and sustainable use of biological resources. To achieve these objectives, it also recognizes the need to establish conditions which facilitate the creation and development of linkage between stakeholders based on the sustainable use of biodiversity, particularly the use of biological and genetic resources, and of biotechnology, which also ensure the fair and equitable distribution of those benefits derived from the use of those resources between the users and providers of the biodiversity. Sustainable use of genetic resources through the project will have direct socioeconomics benefits for the national economy through an improved control over the benefits accruing from the use and commercialization of genetic resources. This will have a positive impact on the national economy and will help to drive innovation. In this regard, the project will create incentives to conserve and</p> |

sustainably use genetic resources, and therefore enhances the contribution of biodiversity to development and human well-being. The sharing of benefits will in thus create further incentives for the conservation and sustainable use of genetic resources.

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)? |
|--|---|---|---|--|
| <i>Risk Description</i> | <i>Impact and Probability (1-5)</i> | <i>Significance (Low, Moderate, High)</i> | <i>Comments</i> | <i>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.</i> |
| Risk 1: Local Community grievances | I=3 P=1 | Low | Local community will be engaged in the project on issues related to TK, genetic resources use. | The project will conduct duly informed community consultations and engagement to address concerns and grievances. |
| Risk 2. Local communities or individuals, concerns related human rights regarding | I=3 P=1 | Low | The project in both its design and intended objectives thus mainstreams a human rights based approach. | The project will help put in place principled and transparent ABS frameworks that safeguard people’s rights and respects their democratic right to full and effective participation in ABS transactions. |
| Risk 3: Utilization of genetic resources | I = 3 P = 1 | Low | The project will focus on the sustainable use of GR | Provisions for sustainable use and conservation of genetic resources is at the core of the project design and will be pursued through implementation |
| Risk 4: Illegal utilization and/or commercialization of biological and genetic resources on lands and territories claimed by indigenous people | I = 3 P = 2 | Moderate | The project will promote biodiscovery efforts that may include areas with presence of indigenous peoples and/or lands and territories claimed by indigenous peoples | The project will be implemented considering national policies and rights of indigenous peoples regarding their traditional lands and use of natural resources. |
| | QUESTION4: What is the overall Project risk categorization? | | | |
| | Select one (see SESP for guidance) | | | Comments |
| | Low Risk | <input checked="" type="checkbox"/> | | The project has incorporated the potential risks and mitigation measures in its design |
| | Moderate Risk | <input type="checkbox"/> | | |
| | High Risk | <input type="checkbox"/> | | |

| | QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant? | | |
|--|---|--------------------------|---|
| | Check all that apply | | Comments |
| | <i>Principle 1: Human Rights</i> | ✓ | The project in both its design and intended objectives thus mainstreams a human rights based approach. |
| | <i>Principle 2: Gender Equality and Women's Empowerment</i> | ✓ | Gender equality principles will be essential to the project success |
| | <i>1. Biodiversity Conservation and Natural Resource Management</i> | ✓ | Sustainable use of biodiversity will be ensured through the project |
| | <i>2. Climate Change Mitigation and Adaptation</i> | <input type="checkbox"/> | |
| | <i>3. Community Health, Safety and Working Conditions</i> | <input type="checkbox"/> | |
| | <i>4. Cultural Heritage</i> | <input type="checkbox"/> | |
| | <i>5. Displacement and Resettlement</i> | <input type="checkbox"/> | |
| | <i>6. Indigenous Peoples</i> | ✓ | The project will contribute to strengthening the capacity of indigenous peoples regarding ABS and the Nagoya Protocol, including the negotiation of ABS agreements, obtaining PIC, establishing MAT, and the sharing of benefits, and to ensuring that their rights and traditional livelihoods continue to be respected. |
| | <i>7. Pollution Prevention and Resource Efficiency</i> | <input type="checkbox"/> | |

Final Sign Off

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

SESP Attachment 1. Social and Environmental Risk Screening Checklist

| Checklist Potential Social and Environmental Risks | | Answer (Yes/No) |
|--|--|-----------------|
| Principles 1: Human Rights | | |
| 1. | Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups? | No |
| 2. | Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? ²² | 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. | 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? | No |
| 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? | Yes |
| 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 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 |
| 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 | | |

²² 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.

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| 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? | No |
| 1.3 | Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5) | No |
| 1.4 | Would Project activities pose risks to endangered species? | No |
| 1.5 | Would the Project pose a risk of introducing invasive alien species? | No |
| 1.6 | Does the Project involve harvesting of natural forests, plantation development, or reforestation? | No |
| 1.7 | Does the Project involve the production and/or harvesting of fish populations or other aquatic species? | No |
| 1.8 | Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i> | No |
| 1.9 | Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development) | Yes |
| 1.10 | Would the Project generate potential adverse transboundary or global environmental concerns? | No |
| 1.11 | Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i> | No |
| Standard 2: Climate Change Mitigation and Adaptation | | |
| 2.1 | Will the proposed Project result in significant ²³ 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 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 |

²³In 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.]

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| 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 | | |
| 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? ²⁴ | No |
| 5.4 | Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources? | No |
| Standard 6: Indigenous Peoples | | |
| 6.1 | Are indigenous peoples present in the Project area (including Project area of influence)? | Yes |
| 6.2 | Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples? | Yes |
| 6.3 | Would the proposed Project potentially affect the rights, lands and territories of indigenous peoples (regardless of whether Indigenous Peoples possess the legal titles to such areas)? | Yes |

²⁴ 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.

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| 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? | Yes |
| 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 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 |

8. Egypt

Project Information

| Project Information | |
|-------------------------------------|---|
| 1. Project Title | Strengthening human resources, legal frameworks and institutional capacities to implement the Nagoya Protocol |
| 2. Project Number | PIMS 5381 |
| 3. Location (Global/Region/Country) | Global/ Egypt |

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

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| 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> |
| Based on the ABS regime principles, PIC and MAT guidelines will be developed to ensure that local community rights over genetic resources and TK are secured and enforced. Local communities will be fully involved in the elaboration of the drafts and in the decision making process in order to address their concerns with a human rights based approach. |
| <i>Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment</i> |
| At the local level, the project will strengthen women's capacity as they are the gatekeepers of TK and the primary providers/collectors/managers of natural and genetic resources. The project will ensure that the national ABS regime helps to improve gender equality and women's empowerment. The pilot and demonstration activities will also integrate gender focus and data in their design and monitoring processes to ensure that women are empowered to participate fully and also benefit from the use of genetic resources and TK. The association of women in Saint Katherine local community was involved in the preparation of the project in Egypt and has declared its willingness to be actively involved during the execution of the project with a specific role in sharing their knowledge and experience and in the involvement of women at local community level. |
| <i>Briefly describe in the space below how the Project mainstreams environmental sustainability</i> |
| The introduction of an effective national ABS regime that will contribute towards biodiversity conservation and encourage sustainable use of biological resources. The project will ensure that environmental sustainability principles are integrated into the project activities design and implementation to avoid harmful environmental impacts and reduce its environmental footprint. |

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: Local Community grievances | I=3 P=1 | Low | Local community will be engaged in the project on issues related to TK, genetic resources use. | The project will conduct duly informed community consultations and engagement to address concerns and grievances. |
| Risk 1: Gender equality concerns | I = 3 P = 1 | Low | Women already have a leading role in project activities on genetic resources use | Gender concerns have been integrated in the project design and implementation |
| Risk 2 : Activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas | I = 3 P = 2 | Moderate | Pilot activities may be conducted in protected areas | Environmental sustainability and sustainable use of biodiversity measures have been incorporated in the project design |
| Risk 3: Lands and resources use changes | I = 3 P = 1 | Low | Harvesting and cultivation of genetic resources as well as bioprospecting may lead to changes in natural resources use | The scale of the project will limit its environmental impacts. Safeguards measures are also integrated in the ABS regime. |
| Risk 4: Utilization of genetic resources | I = 3 P = 1 | Low | The project will focus on the sustainable use of GR | Provisions for sustainable use and conservation of genetic resources is at the core of the project design and will be pursued through implementation |
| QUESTION 4: What is the overall Project risk categorization? | | | | |
| Select one (see SESP for guidance) | | | Comments | |
| Low Risk | | | <input checked="" type="checkbox"/> | The project has incorporated the potential risks and mitigation measures in its design |
| Moderate Risk | | | <input type="checkbox"/> | |
| High Risk | | | <input type="checkbox"/> | |

| QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant? | | |
|---|-------------------------------------|---|
| Check all that apply | | Comments |
| <i>Principle 1: Human Rights</i> | <input type="checkbox"/> | |
| <i>Principle 2: Gender Equality and Women's Empowerment</i> | <input checked="" type="checkbox"/> | Gender equality principles will be essential to the project success |
| <i>1. Biodiversity Conservation and Natural Resource Management</i> | <input checked="" type="checkbox"/> | Sustainable use of biodiversity will be ensured through the project |
| <i>2. Climate Change Mitigation and Adaptation</i> | <input type="checkbox"/> | |
| <i>3. Community Health, Safety and Working Conditions</i> | <input type="checkbox"/> | |
| <i>4. Cultural Heritage</i> | <input type="checkbox"/> | |
| <i>5. Displacement and Resettlement</i> | <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

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

SESP Attachment 1. Social and Environmental Risk Screening Checklist

| Checklist Potential Social and Environmental Risks | |
|---|-----------------|
| 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? ²⁵ | 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. 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? | No |
| 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 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 |
| 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 | |

²⁵ 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.

| | | |
|--|--|-----|
| 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) | Yes |
| 1.4 | Would Project activities pose risks to endangered species? | No |
| 1.5 | Would the Project pose a risk of introducing invasive alien species? | No |
| 1.6 | Does the Project involve harvesting of natural forests, plantation development, or reforestation? | No |
| 1.7 | Does the Project involve the production and/or harvesting of fish populations or other aquatic species? | No |
| 1.8 | Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i> | No |
| 1.9 | Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development) | Yes |
| 1.10 | Would the Project generate potential adverse transboundary or global environmental concerns? | No |
| 1.11 | Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i> | No |
| Standard 2: Climate Change Mitigation and Adaptation | | |
| 2.1 | Will the proposed Project result in significant ²⁶ 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 |

²⁶ In regards to CO₂, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

| | | |
|--|---|----|
| 3.2 | 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 | | |
| 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? ²⁷ | 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 rights, lands and territories of indigenous peoples (regardless of whether Indigenous Peoples possess the legal titles to such areas)? | No |

²⁷ Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

| | | |
|---|---|----|
| 6.4 | Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned? | No |
| 6.4 | 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 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 |

9. Ethiopia

Project Information

| Project Information | |
|-------------------------------------|--|
| 1. Project Title | Strengthening human resources, legal frameworks, and institutional capacities to implement the Nagoya Protocol |
| 2. Project Number | PIMS 5381 |
| 3. Location (Global/Region/Country) | Global /Ethiopia |

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

In the specific case of Ethiopia, the project aims to support the development of legislative, administrative and policy measures to allow the country to meet its obligations under the Nagoya Protocol. The project will also support the identification, documentation and protection of traditional knowledge of indigenous and local communities, contributing both towards cultural reaffirmation and long term potential for commercial benefits. In this regard, the project will help put in place principled and transparent ABS frameworks that safeguard people's rights and respects their democratic right to full and effective participation in ABS transactions. The project in both its design and intended objectives, thus mainstreams human rights based approach.

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

It is expected that women who are often custodians of genetic resources and associated traditional knowledge, will be proactively engaged and involved in project-related activities with both participation and benefit-sharing arrangements to be at least proportionate in terms of gender balance. The project is therefore in line with the provisions Nagoya Protocol with recognizes the "vital role that women play in access and benefit-sharing and affirming the need for the full participation of women at all levels of policy-making and implementation for biodiversity conservation."

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

The project responds directly to the need of the Nagoya Protocol which is create greater legal certainty and transparency for both providers and users of genetic resources by: a) establishing more predictable conditions for access to genetic resources; and b) helping to ensure benefit-sharing when genetic resources leave the country providing the genetic resources.

In this regard, the project will create incentives to conserve and sustainably use genetic resources, and therefore enhances the contribution of biodiversity to development and human well-being. A key underlying feature of bio prospection is to ensure that exploitation of the genetic resources is conducted in a sustainable manner, and the government will include this condition in any related bio-prospecting agreements and permits. The risk of overharvesting will be mitigated by financially and technically supporting local communities to grow and sustainably use those resources needed (as done in some baseline activities). The sharing of benefits will in thus create further incentives for the conservation and sustainable use of genetic resources.

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)? |
|--|---|---|---|--|
| <i>Risk Description</i> | <i>Impact and Probability (1-5)</i> | <i>Significance (Low, Moderate, High)</i> | <i>Comments</i> | <i>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.</i> |
| Risk 1: Local Community grievances | I=3 P=1 | Low | Local community will be engaged in the project on issues related to TK, genetic resources use. | The project will conduct duly informed community consultations and engagement to address concerns and grievances. |
| Risk 2: Local communities or individuals, concerns related human rights regarding | I=3 P=1 | Low | The project in both its design and intended objectives thus mainstreams a human rights based approach. | The project will help put in place principled and transparent ABS frameworks that safeguard people’s rights and respects their democratic right to full and effective participation in ABS transactions. |
| Risk 3: Utilization of genetic resources | I = 3 P = 1 | Low | The project will focus on the sustainable use of GR | Provisions for sustainable use and conservation of genetic resources is at the core of the project design and will be pursued through implementation |
| Risk 4: Illegal utilization and/or commercialization of biological and genetic resources on lands and territories claimed by indigenous people | I = 3 P = 2 | Moderate | The project will promote biodiscovery efforts that may include areas with presence of indigenous peoples and/or lands and territories claimed by indigenous peoples | The project will be implemented considering national policies and rights of indigenous peoples regarding their traditional lands and use of natural resources. |
| | QUESTION 4: What is the overall Project risk categorization? | | | |
| | Select one (see SESP for guidance) | | | Comments |
| | Low Risk | <input checked="" type="checkbox"/> | | The project has incorporated the potential risks and mitigation measures in its design |
| | Moderate Risk | <input type="checkbox"/> | | |
| | High Risk | <input type="checkbox"/> | | |
| | QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant? | | | |
| | Check all that apply | | | Comments |

| | | | |
|--|---|--------------------------|---|
| | Principle 1: Human Rights | ✓ | The project in both its design and intended objectives thus mainstreams a human rights based approach. |
| | Principle 2: Gender Equality and Women's Empowerment | ✓ | Gender equality principles will be essential to the project success |
| | 1. Biodiversity Conservation and Natural Resource Management | ✓ | Sustainable use of biodiversity will be ensured through the project |
| | 2. Climate Change Mitigation and Adaptation | <input type="checkbox"/> | |
| | 3. Community Health, Safety and Working Conditions | <input type="checkbox"/> | |
| | 4. Cultural Heritage | <input type="checkbox"/> | |
| | 5. Displacement and Resettlement | <input type="checkbox"/> | |
| | 6. Indigenous Peoples | ✓ | The project will contribute to strengthening the capacity of indigenous peoples regarding ABS and the Nagoya Protocol, including the negotiation of ABS agreements, obtaining PIC, establishing MAT, and the sharing of benefits, and to ensuring that their rights and traditional livelihoods continue to be respected. |
| | 7. Pollution Prevention and Resource Efficiency | <input type="checkbox"/> | |

Final Sign Off

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

SESP Attachment 1. Social and Environmental Risk Screening Checklist

| Checklist Potential Social and Environmental Risks | | Answer (Yes/No) |
|--|--|-----------------|
| Principles 1: Human Rights | | |
| 1. | Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups? | No |
| 2. | Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? ²⁸ | 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. | 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? | No |
| 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? | Yes |
| 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 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 |
| 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 | | |

²⁸ 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.

| | | |
|--|--|-----|
| 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? | No |
| 1.3 | Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5) | No |
| 1.4 | Would Project activities pose risks to endangered species? | No |
| 1.5 | Would the Project pose a risk of introducing invasive alien species? | No |
| 1.6 | Does the Project involve harvesting of natural forests, plantation development, or reforestation? | No |
| 1.7 | Does the Project involve the production and/or harvesting of fish populations or other aquatic species? | No |
| 1.8 | Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i> | No |
| 1.9 | Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development) | Yes |
| 1.10 | Would the Project generate potential adverse transboundary or global environmental concerns? | No |
| 1.11 | Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i> | No |
| Standard 2: Climate Change Mitigation and Adaptation | | |
| 2.1 | Will the proposed Project result in significant ²⁹ 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 |

²⁹ In regards to CO₂, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

| | | |
|--|---|-----|
| 3.2 | 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 | | |
| 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? ³⁰ | No |
| 5.4 | Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources? | No |
| Standard 6: Indigenous Peoples | | |
| 6.1 | Are indigenous peoples present in the Project area (including Project area of influence)? | Yes |
| 6.2 | Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples? | Yes |
| 6.3 | Would the proposed Project potentially affect the rights, lands and territories of indigenous peoples (regardless of whether Indigenous Peoples possess the legal titles to such areas)? | Yes |

³⁰ Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

| | | |
|---|---|-----|
| 6.4 | Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned? | No |
| 6.4 | Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples? | Yes |
| 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 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 |

10. Honduras

Project Information

| Project Information | |
|-------------------------------------|---|
| 1. Project Title | Strengthening human resources, legal frameworks and institutional capacities to implement the Nagoya Protocol |
| 2. Project Number | PIMS 5381 |
| 3. Location (Global/Region/Country) | Global/Honduras |

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 |
| <p>The project aims to support the capacity building of the governmental and other stakeholders to allow the country to meet its obligations under the Nagoya Protocol. The Project will work with local communities in the collection and research and development on genetic resources located in two regions of the Country. Training, capacity building, employment, information sharing, among other benefits, will be shared between the research institutions and the local people contributing both towards the creation of local capacities to manage and use biodiversity in a sustainable manner and to reaffirm the local values and visions on the role of biodiversity for sustainable development. In this regard, the project will help to put into practice the principles of the ABS Frameworks that safeguard people's rights and respects their democratic right to full and effective participation in ABS transactions. The project in both its design and intended objectives thus mainstreams a human rights based approach.</p> |
| Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment |
| <p>It is expected that women in the regions where the pilot will take place will be proactively engaged and involved in project-related activities The project is therefore in line with the provisions Nagoya Protocol with recognizes the "vital role that women play in access and benefit-sharing and affirming the need for the full participation of women at all levels of policy-making and implementation for biodiversity conservation." In the implementation of the ABS pilot/partnership, specific attention will be paid on ensuring the active participation of women as well as in the implementation of capacity building and awareness-raising activities ensuring that women are beneficiaries of the project outcomes.</p> |
| Briefly describe in the space below how the Project mainstreams environmental sustainability |
| <p>The Project recognizes the economic potential of biodiversity in socio-economic development and has a strategy to develop and implement policies for conservation and sustainable use of biological resources. To achieve these objectives, it also recognizes the need to establish conditions which facilitate the creation and development of linkage between stakeholders based on the sustainable use of biodiversity, particularly the use of biological and genetic resources, and of biotechnology, which also ensure the fair and equitable distribution of those benefits derived from the use of those resources between the users and providers of the biodiversity. Sustainable use of genetic resources through</p> |

the project will have direct socioeconomics benefits for the national economy through an improved control over the benefits accruing from the use and commercialization of genetic resources. This will have a positive impact on the national economy and will help to drive innovation. In this regard, the project will create incentives to conserve and sustainably use genetic resources, and therefore enhances the contribution of biodiversity to development and human well-being. The sharing of benefits will in thus create further incentives for the conservation and sustainable use of genetic resources.

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)? |
|--|---|---|---|--|
| <i>Risk Description</i> | <i>Impact and Probability (1-5)</i> | <i>Significance (Low, Moderate, High)</i> | <i>Comments</i> | <i>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.</i> |
| Risk 1: Local Community grievances | I=3 P=1 | Low | Local community will be engaged in the project on issues related to TK, genetic resources use. | The project will conduct duly informed community consultations and engagement to address concerns and grievances. |
| Risk 2: Local communities or individuals, concerns related human rights regarding | I=3 P=1 | Low | The project in both its design and intended objectives thus mainstreams a human rights based approach. | The project will help put in place principled and transparent ABS frameworks that safeguard people’s rights and respects their democratic right to full and effective participation in ABS transactions. |
| Risk 3: Utilization of genetic resources | I = 3 P = 1 | Low | The project will focus on the sustainable use of GR | Provisions for sustainable use and conservation of genetic resources is at the core of the project design and will be pursued through implementation |
| Risk 4: Illegal utilization and/or commercialization of biological and genetic resources on lands and territories claimed by indigenous people | I = 3 P = 2 | Moderate | The project will promote biodiscovery efforts that may include areas with presence of indigenous peoples and/or lands and territories claimed by indigenous peoples | The project will be implemented considering national policies and rights of indigenous peoples regarding their traditional lands and use of natural resources. |
| [add additional rows as needed] | | | | |
| | QUESTION4: What is the overall Project risk categorization? | | | |
| | Select one (see SESP for guidance) | | | Comments |
| | Low Risk | ✓ | | The project has incorporated the potential risks and mitigation measures in its design |

| | | | |
|--|--|--------------------------|---|
| | Moderate Risk | <input type="checkbox"/> | |
| | High Risk | <input type="checkbox"/> | |
| | QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant? | | |
| | Check all that apply | | Comments |
| | Principle 1: Human Rights | ✓ | The project in both its design and intended objectives thus mainstreams a human rights based approach. |
| | Principle 2: Gender Equality and Women's Empowerment | ✓ | Gender equality principles will be essential to the project success |
| | 1. Biodiversity Conservation and Natural Resource Management | ✓ | Sustainable use of biodiversity will be ensured through the project |
| | 2. Climate Change Mitigation and Adaptation | <input type="checkbox"/> | |
| | 3. Community Health, Safety and Working Conditions | <input type="checkbox"/> | |
| | 4. Cultural Heritage | <input type="checkbox"/> | |
| | 5. Displacement and Resettlement | <input type="checkbox"/> | |
| | 6. Indigenous Peoples | ✓ | The project will contribute to strengthening the capacity of indigenous peoples regarding ABS and the Nagoya Protocol, including the negotiation of ABS agreements, obtaining PIC, establishing MAT, and the sharing of benefits, and to ensuring that their rights and traditional livelihoods continue to be respected. |
| | 7. Pollution Prevention and Resource Efficiency | <input type="checkbox"/> | |

Final Sign Off

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

SESP Attachment 1. Social and Environmental Risk Screening Checklist

| Checklist Potential Social and Environmental Risks | |
|---|-----------------|
| 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? ³¹ | 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. 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? | No |
| 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? | Yes |
| 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 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 |
| 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 | |

³¹ 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.

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| 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? | No |
| 1.3 | Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5) | No |
| 1.4 | Would Project activities pose risks to endangered species? | No |
| 1.5 | Would the Project pose a risk of introducing invasive alien species? | No |
| 1.6 | Does the Project involve harvesting of natural forests, plantation development, or reforestation? | No |
| 1.7 | Does the Project involve the production and/or harvesting of fish populations or other aquatic species? | No |
| 1.8 | Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i> | No |
| 1.9 | Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development) | Yes |
| 1.10 | Would the Project generate potential adverse transboundary or global environmental concerns? | No |
| 1.11 | Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i> | No |
| Standard 2: Climate Change Mitigation and Adaptation | | |
| 2.1 | Will the proposed Project result in significant ³² 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 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 |

³²In 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.]

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| 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 | | |
| 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? ³³ | No |
| 5.4 | Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources? | No |
| Standard 6: Indigenous Peoples | | |
| 6.1 | Are indigenous peoples present in the Project area (including Project area of influence)? | Yes |
| 6.2 | Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples? | Yes |
| 6.3 | Would the proposed Project potentially affect the rights, lands and territories of indigenous peoples (regardless of whether Indigenous Peoples possess the legal titles to such areas)? | Yes |

³³ 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.

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| 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? | Yes |
| 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 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 |

11. India

Project Information

| Project Information | |
|-------------------------------------|---|
| 1. Project Title | Strengthening human resources, legal frameworks and institutional capacities to implement the Nagoya Protocol |
| 2. Project Number | PIMS 5381 |
| 3. Location (Global/Region/Country) | Global/ India |

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

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| 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> |
| Based on the ABS regime principles, PIC and MAT guidelines will be developed to ensure that local community rights over genetic resources and TK are secured and enforced. Local communities will be fully involved in the elaboration of the drafts and in the decision making process in order to address their possible concerns with a human rights based approach. |
| <i>Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment</i> |
| The project will ensure that the national ABS regime helps to improve gender equality and women's empowerment. The pilot and demonstration activities will also integrate gender focus and data in their design and monitoring processes to ensure that women are empowered to participate fully and also benefit from the use of genetic resources and TK. The focus of the project on the research community in the country would benefit from the direct involvement of the <i>Indian Women Scientists' Association</i> (IWSA) in order to obtain a direct involvement and empowerment of women from the project. |
| <i>Briefly describe in the space below how the Project mainstreams environmental sustainability</i> |
| The project will ensure that environmental sustainability principles are integrated into the project activities design and implementation to avoid harmful environmental impacts and reduce its environmental footprint. |

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)? | |
|--|---|---|---|--|--|
| <i>Risk Description</i> | <i>Impact and Probability (1-5)</i> | <i>Significance (Low, Moderate, High)</i> | <i>Comments</i> | <i>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.</i> | |
| Risk 1: Gender equality concerns | I = 3 P = 1 | Low | Indian Women Scientists' Association (IWSA) will be contacted and involved in order to program specific activities for the empowerment of women | Gender concerns have been integrated in the project design and implementation | |
| Risk 4: Utilization of genetic resources | I = 3 P = 1 | Low | The project will focus on the sustainable use of GR | Provisions for sustainable use and conservation of genetic resources is at the core of the project design and will be pursued through implementation | |
| | QUESTION 4: What is the overall Project risk categorization? | | | | |
| | Select one (see SESP for guidance) | | | Comments | |
| | <i>Low Risk</i> | | <input checked="" type="checkbox"/> | The project has incorporated the potential risks and mitigation measures in its design | |
| | <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 type="checkbox"/> | | | |
| | <i>Principle 2: Gender Equality and Women's Empowerment</i> | <input checked="" type="checkbox"/> | | Gender equality principles will be essential to the project success | |
| | <i>1. Biodiversity Conservation and Natural Resource Management</i> | <input checked="" type="checkbox"/> | | Sustainable use of biodiversity will be ensured through the project | |
| | <i>2. Climate Change Mitigation and Adaptation</i> | <input type="checkbox"/> | | | |

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

Final Sign Off

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

SESP Attachment 1. Social and Environmental Risk Screening Checklist

| Checklist Potential Social and Environmental Risks | |
|---|-----------------|
| 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? ³⁴ | 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. Are there measures or mechanisms in place to respond to local community grievances? | No |
| 6. Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project? | No |
| 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 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 |
| 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 | |

³⁴ 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.

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| 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? | No |
| 1.3 | Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5) | No |
| 1.4 | Would Project activities pose risks to endangered species? | No |
| 1.5 | Would the Project pose a risk of introducing invasive alien species? | No |
| 1.6 | Does the Project involve harvesting of natural forests, plantation development, or reforestation? | No |
| 1.7 | Does the Project involve the production and/or harvesting of fish populations or other aquatic species? | No |
| 1.8 | Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i> | No |
| 1.9 | Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development) | Yes |
| 1.10 | Would the Project generate potential adverse transboundary or global environmental concerns? | No |
| 1.11 | Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i> | No |
| Standard 2: Climate Change Mitigation and Adaptation | | |
| 2.1 | Will the proposed Project result in significant ³⁵ 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 |

³⁵ In regards to CO₂, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

| | | |
|--|---|----|
| 3.2 | 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 | | |
| 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? ³⁶ | 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 rights, lands and territories of indigenous peoples (regardless of whether Indigenous Peoples possess the legal titles to such areas)? | No |

³⁶ 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.

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| 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 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 |

12. Jordan

Project Information

| Project Information | |
|-------------------------------------|---|
| 1. Project Title | Strengthening human resources, legal frameworks and institutional capacities to implement the Nagoya Protocol |
| 2. Project Number | PIMS 5381 |
| 3. Location (Global/Region/Country) | Global/ Jordan |

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

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| 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> |
| Based on the ABS regime principles, PIC and MAT guidelines will be developed to ensure that local community rights over genetic resources, TK are secured and enforced. Local communities will be fully involved in the elaboration of the drafts and in the decision making process in order to address their concerns with a human rights based approach. |
| <i>Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment</i> |
| At the local level, the project will strengthen women's capacity as they are the gatekeepers of traditional knowledge and the primary providers/collectors/managers of natural and genetic resources. The project will ensure that the national ABS regime helps to improve gender equality and women's empowerment. The pilot and demonstration activities will also integrate gender focus and data in their design and monitoring processes to ensure that women are empowered to participate fully and also benefit from the use of genetic resources and TK. The following organizations have been involved in the preparation of the project in Jordan and have declared their willingness to be actively involved during the execution of the project with a specific role in the involvement of women at local community level (Women associations: General Federation of Jordanian Women; Jarasia Charity Women Association; The Jordanian Hashemite Fund for Human Development; Women Farmers Union; Women's Cooperative Society). |
| <i>Briefly describe in the space below how the Project mainstreams environmental sustainability</i> |
| The introduction of an effective national ABS regime that will contribute towards biodiversity conservation and encourage sustainable use of biological resources. The project will ensure that environmental sustainability principles are integrated into the project activities design and implementation to avoid harmful environmental impacts and reduce its environmental footprint. |

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: Local Community grievances | I=3 P=1 | Low | Local community will be engaged in the project on issues related to TK, genetic resources use. | The project will conduct duly informed community consultations and engagement to address concerns and grievances. |
| Risk 2: Gender equality concerns | I = 3 P = 1 | Low | Women already have a leading role in project activities on genetic resources use | Gender concerns have been integrated in the project design and implementation |
| Risk 3 : Activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas | I = 3 P = 2 | Moderate | Pilot activities may be conducted in protected areas | Environmental sustainability and sustainable use of biodiversity measures have been incorporated in the project design |
| Risk 4: Lands and resources use changes | I = 3 P = 1 | Low | Harvesting and cultivation of genetic resources as well as bioprospecting may lead to changes in natural resources use | The scale of the project will limit its environmental impacts. Safeguards measures are also integrated in the ABS regime. |
| Risk 5: Utilization of genetic resources | I = 3 P = 1 | Low | The project will focus on the sustainable use of GR | Provisions for sustainable use and conservation of genetic resources is at the core of the project design and will be pursued through implementation |
| QUESTION 4: What is the overall Project risk categorization? | | | | |
| Select one (see SESP for guidance) | | | Comments | |
| Low Risk | | | <input checked="" type="checkbox"/> | The project has incorporated the potential risks and mitigation measures in its design |
| Moderate Risk | | | <input type="checkbox"/> | |
| High Risk | | | <input type="checkbox"/> | |

| QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant? | | |
|---|-------------------------------------|---|
| Check all that apply | | Comments |
| <i>Principle 1: Human Rights</i> | <input type="checkbox"/> | |
| <i>Principle 2: Gender Equality and Women's Empowerment</i> | <input checked="" type="checkbox"/> | Gender equality principles will be essential to the project success |
| <i>1. Biodiversity Conservation and Natural Resource Management</i> | <input checked="" type="checkbox"/> | Sustainable use of biodiversity will be ensured through the project |
| <i>2. Climate Change Mitigation and Adaptation</i> | <input type="checkbox"/> | |
| <i>3. Community Health, Safety and Working Conditions</i> | <input type="checkbox"/> | |
| <i>4. Cultural Heritage</i> | <input type="checkbox"/> | |
| <i>5. Displacement and Resettlement</i> | <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

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SESP Attachment 1. Social and Environmental Risk Screening Checklist

| Checklist Potential Social and Environmental Risks | |
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| 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? ³⁷ | 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. 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? | No |
| 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 |
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| 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 |
| 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 | |
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| Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management | |

³⁷ 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.

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| 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) | Yes |
| 1.4 | Would Project activities pose risks to endangered species? | No |
| 1.5 | Would the Project pose a risk of introducing invasive alien species? | No |
| 1.6 | Does the Project involve harvesting of natural forests, plantation development, or reforestation? | No |
| 1.7 | Does the Project involve the production and/or harvesting of fish populations or other aquatic species? | No |
| 1.8 | Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i> | No |
| 1.9 | Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development) | Yes |
| 1.10 | Would the Project generate potential adverse transboundary or global environmental concerns? | No |
| 1.11 | Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i> | No |
| Standard 2: Climate Change Mitigation and Adaptation | | |
| 2.1 | Will the proposed Project result in significant ³⁸ 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 |

³⁸ 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.]

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| 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 | | |
| 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? ³⁹ | 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 rights, lands and territories of indigenous peoples (regardless of whether Indigenous Peoples possess the legal titles to such areas)? | No |

³⁹ 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.

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| 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 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 |

13. Kazakhstan

Project Information

| Project Information | |
|-------------------------------------|---|
| 1. Project Title | Strengthening human resources, legal frameworks and institutional capacities to implement the Nagoya Protocol |
| 2. Project Number | PIMS 5381 |
| 3. Location (Global/Region/Country) | Global/Kazakhstan |

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> |
| Based on the principles and objectives of the Nagoya Protocol, strengthening the capacities of the country to effectively implement the Protocol will be critical to ensure that the rights of the State and local community over genetic resources, TK are secured and enforced. Local communities will be fully involved in the elaboration of the drafts and in the decision making process in order to address their concerns with a human rights based approach. |
| <i>Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment</i> |
| At the local level, the project will strengthen women's capacity as they are the gatekeepers of traditional knowledge and the primary providers/collectors/managers of natural and genetic resources. The project will ensure that the national ABS framework and implementation of the framework helps to improve gender equality and women's empowerment. The activities will also integrate gender focus and data in their design and monitoring processes to ensure that women are empowered to participate fully and also benefit from the use of genetic resources. Specific attention will be focused on ensuring the active participation of women, particularly in drafting the ABS framework, providing PIC and MAT and ensuring the benefit sharing terms of equitable. Through the development of biocultural protocols as well and the implementation of social and economic development activities and ensuring that women have an equal participation in the project activities as men. The strong participatory role envisaged for the ethnic minority women in the project will also contribute to ensuring social security. |
| <i>Briefly describe in the space below how the Project mainstreams environmental sustainability</i> |
| The introduction of an effective national ABS regime that will contribute towards biodiversity conservation and encourage sustainable use of biological resources. The project will ensure that environmental sustainability principles are integrated into the project activities design and implementation to avoid harmful environmental impacts and reduce its environmental footprint. In particular, Component 2 focused on biodiscovery and product development and commercialization from genetic resources materials will include provisions for sustainable harvest, cultivation and use of natural resources. The project will also recommend set up of a benefit sharing mechanism to channel and reinvest proceeds from ABS agreements towards the conservation of biodiversity and sustainable use of its components. The capacity development component will also mitigate the potential negative impacts through the users and suppliers knowing the risk. |

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: Local Community grievances | I=3 P=3 | Low | Local community will be engaged in various components of the project on issues related to TK, and genetic resources use. | The project will conduct duly informed community consultations and engagement to address concerns and grievances. Social assessment has been conducted at the design stage |
| Risk 2: Gender equality concerns | I = 4 P =4 | Low | Women already have a leading role in project activities on genetic resources use | Gender concerns have been integrated in the project design and implementation |
| Risk 3: Activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas | I = 3 P = 3 | Low | Pilot activities will be conducted in an area near natural reserves and national parks. The role of protected areas providing opportunities for biodiscovery will be envisaged | Environmental sustainability and sustainable use of biodiversity measures have been incorporated in the project design |
| Risk 4: Lands and resources use changes | I = 3 P = 2 | Low | Harvesting and cultivation of genetic resources as well as bioprospecting may lead to changes in natural resources use | The scale of the project will limit its environmental impacts. Safeguards measures are also integrated in the ABS regime. |
| Risk 5: Harvesting of natural forests, plantation development, or reforestation; production and/or harvesting of fish populations or other aquatic species | I = 3 P = 2 | Low | Harvesting and cultivation of genetic resources as well as bioprospecting may lead to changes in natural resources use | The scale of the project will limit its environmental impacts. Safeguards measures are also integrated in the ABS regime. |
| Risk 6: Utilization of genetic resources | I = 3 P = 1 | Low | The project will focus on the sustainable use of GR | Provisions for sustainable use and conservation of genetic resources is at the core of the project design and will be pursued through implementation |

| Risk 7: Illegal utilization and/or commercialization of biological and genetic resources on lands and territories claimed by indigenous people | I = 2 P = 4 | Low | Indigenous people are key stakeholders of the project in the implementation of the Nagoya Protocol on ABS | The project will be implemented considering national policies and rights of indigenous peoples regarding their traditional lands and use of natural resources. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|--|-------------------------------------|---|---|---|--|--|----------|----------------------------------|-------------------------------------|--|---|-------------------------------------|---|---|-------------------------------------|---|--|--------------------------|--|---|--------------------------|--|-----------------------------|-------------------------------------|---|---|--------------------------|--|------------------------------|-------------------------------------|---|--|--------------------------|--|
| Risk 8. The project potentially affect the Cultural Heritage of indigenous peoples | I = 2 P = 1 | Low | Indigenous people are key stakeholders of the project in the implementation of the Nagoya Protocol on ABS | The project will be implemented considering national policies and rights of indigenous peoples regarding their traditional lands and use of natural resources, including the protection of their cultural heritage. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| QUESTION 4: What is the overall Project risk categorization? | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <table border="1"> <thead> <tr> <th colspan="2">Select one (see SESP for guidance)</th> <th>Comments</th> </tr> </thead> <tbody> <tr> <td>Low Risk</td> <td><input checked="" type="checkbox"/></td> <td>The project has incorporated the potential risks and mitigation measures in its design</td> </tr> <tr> <td>Moderate Risk</td> <td><input type="checkbox"/></td> <td></td> </tr> <tr> <td>High Risk</td> <td><input type="checkbox"/></td> <td></td> </tr> </tbody> </table> | | | | | Select one (see SESP for guidance) | | Comments | Low Risk | <input checked="" type="checkbox"/> | The project has incorporated the potential risks and mitigation measures in its design | Moderate Risk | <input type="checkbox"/> | | High Risk | <input type="checkbox"/> | | | | | | | | | | | | | | | | | | | |
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| QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant? | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
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Final Sign Off

| | | |
|------------------|-------------|--------------------|
| Signature | Date | Description |
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| 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? ⁴⁰ | No |
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| 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 transboundary or global environmental concerns? | No |
| 1.11 | Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i> | No |
| Standard 2: Climate Change Mitigation and Adaptation | | |
| 2.1 | Will the proposed Project result in significant ⁴¹ 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 |

⁴¹ 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.]

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| 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 | | |
| 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? ⁴² | 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 |

⁴² 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.

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| 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? | Yes |
| 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? | Yes |
| Standard 7: Pollution Prevention and Resource Efficiency | | |
| 7.1 | Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts? | No |
| 7.2 | Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)? | No |
| 7.3 | Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs? <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i> | No |
| 7.4 | Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health? | No |
| 7.5 | Does the Project include activities that require significant consumption of raw materials, energy, and/or water? | No |

14. Kenya

Project Information

| Project Information | |
|-------------------------------------|--|
| 1. Project Title | Strengthening human resources, legal frameworks, and institutional capacities to implement the Nagoya Protocol |
| 2. Project Number | PIMS 5381 |
| 3. Location (Global/Region/Country) | Global /Kenya |

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

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| 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 |
| <p>The project aims to support the development of legislative, administrative and policy measures to allow Kenya to meet its obligations under the Nagoya Protocol. The project will also support the identification, documentation and protection of traditional knowledge of indigenous and local communities, contributing both towards cultural reaffirmation and long term potential for commercial benefits. In this regard, the project will help put in place principled and transparent ABS frameworks that safeguard people's rights and respects their democratic right to full and effective participation in ABS transactions. The project in both its design and intended objectives, thus mainstreams human rights based approach.</p> |
| Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment |
| <p>It is expected that women who are often custodians of genetic resources and associated traditional knowledge, will be proactively engaged and involved in project-related activities with both participation and benefit-sharing arrangements to be at least proportionate in terms of gender balance. The project is therefore in line with the provisions Nagoya Protocol with recognizes the "vital role that women play in access and benefit-sharing and affirming the need for the full participation of women at all levels of policy-making and implementation for biodiversity conservation."</p> |
| Briefly describe in the space below how the Project mainstreams environmental sustainability |
| <p>The project responds directly to the need of the Nagoya Protocol which is create greater legal certainty and transparency for both providers and users of genetic resources by: a) establishing more predictable conditions for access to genetic resources; and b) helping to ensure benefit-sharing when genetic resources leave the country providing the genetic resources.</p> <p>In this regard, the project will create incentives to conserve and sustainably use genetic resources, and therefore enhances the contribution of biodiversity to development and human well-being. A key underlying feature of bio prospection is to ensure that exploitation of the genetic resources is conducted in a sustainable manner, and the government will include this condition in any related bio-prospecting agreements and permits. The risk of overharvesting will be mitigated by financially and technically supporting local communities to grow and sustainably use those resources needed (as done in some baseline activities). The sharing of benefits will in thus create further incentives for the conservation and sustainable use of genetic resources.</p> |

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)? |
|--|---|---|---|--|
| <i>Risk Description</i> | <i>Impact and Probability (1-5)</i> | <i>Significance (Low, Moderate, High)</i> | <i>Comments</i> | <i>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.</i> |
| Risk 1: Local Community grievances | I=3 P=1 | Low | Local community will be engaged in the project on issues related to TK, genetic resources use. | The project will conduct duly informed community consultations and engagement to address concerns and grievances. |
| Risk 2: Local communities or individuals, concerns related human rights regarding | I=3 P=1 | Low | The project in both its design and intended objectives thus mainstreams a human rights based approach. | The project will help put in place principled and transparent ABS frameworks that safeguard people's rights and respects their democratic right to full and effective participation in ABS transactions. |
| Risk 3: Utilization of genetic resources | I = 3 P = 1 | Low | The project will focus on the sustainable use of GR | Provisions for sustainable use and conservation of genetic resources is at the core of the project design and will be pursued through implementation |
| Risk 4: Illegal utilization and/or commercialization of biological and genetic resources on lands and territories claimed by indigenous people | I = 3 P = 2 | Moderate | The project will promote biodiscovery efforts that may include areas with presence of indigenous peoples and/or lands and territories claimed by indigenous peoples | The project will be implemented considering national policies and rights of indigenous peoples regarding their traditional lands and use of natural resources. |
| [add additional rows as needed] | | | | |
| | QUESTION 4: What is the overall Project risk categorization? | | | |
| | Select one (see SESP for guidance) | | | Comments |
| | <i>Low Risk</i> | <input checked="" type="checkbox"/> | | The project has incorporated the potential risks and mitigation measures in its design |
| | <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> | ✓ | The project in both its design and intended objectives thus mainstreams a human rights based approach. |
| <i>Principle 2: Gender Equality and Women's Empowerment</i> | ✓ | Gender equality principles will be essential to the project success |
| <i>1. Biodiversity Conservation and Natural Resource Management</i> | ✓ | Sustainable use of biodiversity will be ensured through the project |
| <i>2. Climate Change Mitigation and Adaptation</i> | <input type="checkbox"/> | |
| <i>3. Community Health, Safety and Working Conditions</i> | <input type="checkbox"/> | |
| <i>4. Cultural Heritage</i> | <input type="checkbox"/> | |
| <i>5. Displacement and Resettlement</i> | <input type="checkbox"/> | |
| <i>6. Indigenous Peoples</i> | ✓ | The project will contribute to strengthening the capacity of indigenous peoples regarding ABS and the Nagoya Protocol, including the negotiation of ABS agreements, obtaining PIC, establishing MAT, and the sharing of benefits, and to ensuring that their rights and traditional livelihoods continue to be respected. |
| <i>7. Pollution Prevention and Resource Efficiency</i> | <input type="checkbox"/> | |

Final Sign Off

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

SESP Attachment 1. Social and Environmental Risk Screening Checklist

| Checklist Potential Social and Environmental Risks | | Answer (Yes/No) |
|--|--|-----------------|
| Principles 1: Human Rights | | |
| 1. | Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups? | No |
| 2. | Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? ⁴³ | 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. | 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? | No |
| 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? | Yes |
| 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 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 |
| 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 | | |

⁴³ 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.

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| 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? | No |
| 1.3 | Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5) | No |
| 1.4 | Would Project activities pose risks to endangered species? | No |
| 1.5 | Would the Project pose a risk of introducing invasive alien species? | No |
| 1.6 | Does the Project involve harvesting of natural forests, plantation development, or reforestation? | No |
| 1.7 | Does the Project involve the production and/or harvesting of fish populations or other aquatic species? | No |
| 1.8 | Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i> | No |
| 1.9 | Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development) | Yes |
| 1.10 | Would the Project generate potential adverse transboundary or global environmental concerns? | No |
| 1.11 | Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i> | No |
| Standard 2: Climate Change Mitigation and Adaptation | | |
| 2.1 | Will the proposed Project result in significant ⁴⁴ 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 |

⁴⁴ 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.]

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| 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 | | |
| 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? ⁴⁵ | No |
| 5.4 | Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources? | No |
| Standard 6: Indigenous Peoples | | |
| 6.1 | Are indigenous peoples present in the Project area (including Project area of influence)? | Yes |
| 6.2 | Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples? | Yes |
| 6.3 | Would the proposed Project potentially affect the rights, lands and territories of indigenous peoples (regardless of whether Indigenous Peoples possess the legal titles to such areas)? | Yes |

⁴⁵ 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.

| | | |
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| 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? | Yes |
| 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 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 |

15. Mongolia

Project Information

| Project Information | |
|-------------------------------------|---|
| 1. Project Title | Strengthening human resources, legal frameworks and institutional capacities to implement the Nagoya Protocol |
| 2. Project Number | PIMS 5381 |
| 3. Location (Global/Region/Country) | Global/Mongolia |

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

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| 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> |
| Based on the principles and objectives of the Nagoya Protocol, strengthening the capacities of the country to effectively implement the Protocol will be critical to ensure that the rights of the State and local community over genetic resources, TK are secured and enforced. Local communities will be fully involved in the elaboration of the drafts and in the decision making process in order to address their concerns with a human rights based approach. |
| <i>Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment</i> |
| At the local level, the project will strengthen women's capacity as they are the gatekeepers of traditional knowledge and the primary providers/collectors/managers of natural and genetic resources. The project will ensure that the national ABS framework and implementation of the framework helps to improve gender equality and women's empowerment. The activities will also integrate gender focus and data in their design and monitoring processes to ensure that women are empowered to participate fully and also benefit from the use of genetic resources. Specific attention will be focused on ensuring the active participation of women, particularly in drafting the ABS framework, providing PIC and MAT and ensuring the benefit sharing terms of equitable. Through the development of biocultural protocols as well and the implementation of social and economic development activities and ensuring that women have an equal participation in the project activities as men. The strong participatory role envisaged for the ethnic minority women in the project will also contribute to ensuring social security. |
| <i>Briefly describe in the space below how the Project mainstreams environmental sustainability</i> |
| The introduction of an effective national ABS regime that will contribute towards biodiversity conservation and encourage sustainable use of biological resources. The project will ensure that environmental sustainability principles are integrated into the project activities design and implementation to avoid harmful environmental impacts and reduce its environmental footprint. In particular, Component 2 focused on biodiscovery and product development and commercialization from genetic resources materials will include provisions for sustainable harvest, cultivation and use of natural resources. The project will also recommend set up of a benefit sharing mechanism to channel and reinvest proceeds from ABS agreements towards the conservation of biodiversity and sustainable use of its components. The capacity development component will also mitigate the potential negative impacts through the users and suppliers knowing the risk. |

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)? |
|---|-------------------------------------|--|--|---|
| <i>Risk Description</i> | <i>Impact and Probability (1-5)</i> | <i>Significance (Low, Moderate, High)</i> | <i>Comments</i> | <i>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.</i> |
| Risk 1: Local Community grievances | I=3 P=3 | Low | Local community will be engaged in various components of the project on issues related to TK, and genetic resources use. | The project will conduct duly informed community consultations and engagement to address concerns and grievances. Social assessment has been conducted at the design stage |
| Risk 2: Gender equality concerns | I = 4 P =4 | Low | Women already have a leading role in project activities on genetic resources use | Gender concerns have been integrated in the project design and implementation |
| Risk 3: Activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas | I = 3 P = 3 | Low | Pilot activities will be conducted in an area near natural reserves and national parks. The role of protected areas providing opportunities for biodiscovery will be envisaged | Environmental sustainability and sustainable use of biodiversity measures have been incorporated in the project design |
| Risk 4: Lands and resources use changes | I = 3 P = 2 | Low | Harvesting and cultivation of genetic resources as well as bioprospecting may lead to changes in natural resources use | The scale of the project will limit its environmental impacts. Safeguards measures are also integrated in the ABS regime. |
| Risk 5: Harvesting of natural forests, plantation development, or reforestation; production and/or harvesting of fish populations or other aquatic species | I = 3 P = 2 | Low | Harvesting and cultivation of genetic resources as well as bioprospecting may lead to changes in natural resources use | The scale of the project will limit its environmental impacts. Safeguards measures are also integrated in the ABS regime. |
| Risk 6: Utilization of genetic resources | I = 3 P = 1 | Low | The project will focus on the sustainable use of GR | Provisions for sustainable use and conservation of genetic resources is at the core of the project design and will be pursued through implementation |

| | | | | |
|---|----------------|-----|---|---|
| Risk 7: Illegal utilization and/or commercialization of biological and genetic resources on lands and territories claimed by indigenous people | I = 2 P = 4 | Low | Indigenous people are key stakeholders of the project in the implementation of the Nagoya Protocol on ABS | The project will be implemented considering national policies and rights of indigenous peoples regarding their traditional lands and use of natural resources. |
| Risk 8. The project potentially affect the Cultural Heritage of indigenous peoples | I = 2 P = 1 | Low | Indigenous people are key stakeholders of the project in the implementation of the Nagoya Protocol on ABS | The project will be implemented considering national policies and rights of indigenous peoples regarding their traditional lands and use of natural resources, including the protection of their cultural heritage. |
| QUESTION 4: What is the overall Project risk categorization? | | | | |
| <div> <div>Select one (see SESP for guidance)</div> <div> <div>Low Risk</div> <div>Moderate Risk</div> <div>High Risk</div> </div> <div> <div>✓</div> <div><input type="checkbox"/></div> <div><input type="checkbox"/></div> </div> <div> <div>The project has incorporated the potential risks and mitigation measures in its design</div> <div></div> <div></div> </div> </div> | | | | |
| QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant? | | | | |
| <div> <div>Check all that apply</div> <div> <div>Principle 1: Human Rights</div> <div>Principle 2: Gender Equality and Women's Empowerment</div> <div>1. Biodiversity Conservation and Natural Resource Management</div> <div>2. Climate Change Mitigation and Adaptation</div> <div>3. Community Health, Safety and Working Conditions</div> <div>4. Cultural Heritage</div> <div>5. Displacement and Resettlement</div> <div>6. Indigenous Peoples</div> <div>7. Pollution Prevention and Resource Efficiency</div> </div> <div> <div></div> <div>✓</div> <div>✓</div> <div><input type="checkbox"/></div> <div><input type="checkbox"/></div> <div>✓</div> <div><input type="checkbox"/></div> <div>✓</div> <div><input type="checkbox"/></div> </div> <div> <div></div> <div>Gender equality principles will be essential to the project success</div> <div>Sustainable use of biodiversity will be ensured through the project</div> <div></div> <div></div> <div>Rights and engagement of indigenous people in the project activities will be undertaken based on FPIC, MAT principles</div> <div></div> <div>Rights and engagement of indigenous people in the project activities will be undertaken based on FPIC, MAT principles</div> <div></div> </div> </div> | | | | |

Final Sign Off

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|-----------|------|-------------|
| Signature | Date | Description |
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| | | |
|-------------|--|---|
| 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? ⁴⁶ | 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. 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? | No |
| 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 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 |
| 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 | |

⁴⁶ 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.

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| 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) | Yes |
| 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? | Yes |
| 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 transboundary or global environmental concerns? | No |
| 1.11 | Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i> | No |
| Standard 2: Climate Change Mitigation and Adaptation | | |
| 2.1 | Will the proposed Project result in significant ⁴⁷ 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 |

⁴⁷ 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.]

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| 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 | | |
| 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? ⁴⁸ | 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 |

⁴⁸ 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.

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| 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? | Yes |
| 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? | Yes |
| Standard 7: Pollution Prevention and Resource Efficiency | | |
| 7.1 | Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts? | No |
| 7.2 | Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)? | No |
| 7.3 | Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs? <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i> | No |
| 7.4 | Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health? | No |
| 7.5 | Does the Project include activities that require significant consumption of raw materials, energy, and/or water? | No |

16. Myanmar

Project Information

| Project Information | |
|-------------------------------------|---|
| 1. Project Title | Strengthening human resources, legal frameworks and institutional capacities to implement the Nagoya Protocol |
| 2. Project Number | PIMS 5381 |
| 3. Location (Global/Region/Country) | Global/Myanmar |

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

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| 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 |
| Based on the principles and objectives of the Nagoya Protocol, strengthening the capacities of the country to effectively implement the Protocol will be critical to ensure that the rights of the State and local community over genetic resources, TK are secured and enforced. Local communities will be fully involved in the elaboration of the drafts and in the decision making process in order to address their concerns with a human rights based approach. |
| Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment |
| At the local level, the project will strengthen women's capacity as they are the gatekeepers of traditional knowledge and the primary providers/collectors/managers of natural and genetic resources. The project will ensure that the national ABS framework and implementation of the framework helps to improve gender equality and women's empowerment. The activities will also integrate gender focus and data in their design and monitoring processes to ensure that women are empowered to participate fully and also benefit from the use of genetic resources. Specific attention will be focused on ensuring the active participation of women, particularly in drafting the ABS framework, providing PIC and MAT and ensuring the benefit sharing terms of equitable. Through the development of biocultural protocols as well and the implementation of social and economic development activities and ensuring that women have an equal participation in the project activities as men. The strong participatory role envisaged for the ethnic minority women in the project will also contribute to ensuring social security. |
| Briefly describe in the space below how the Project mainstreams environmental sustainability |
| The introduction of an effective national ABS regime that will contribute towards biodiversity conservation and encourage sustainable use of biological resources. The project will ensure that environmental sustainability principles are integrated into the project activities design and implementation to avoid harmful environmental impacts and reduce its environmental footprint. In particular, Component 2 focused on biodiscovery and product development and commercialization from genetic resources materials will include provisions for sustainable harvest, cultivation and use of natural resources. The project will also recommend set up of a benefit sharing mechanism to channel and reinvest proceeds from ABS agreements towards the conservation of biodiversity and sustainable use of its components. The capacity development component will also mitigate the potential negative impacts through the users and suppliers knowing the risk. |

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)? |
|---|-------------------------------------|--|--|---|
| <i>Risk Description</i> | <i>Impact and Probability (1-5)</i> | <i>Significance (Low, Moderate, High)</i> | <i>Comments</i> | <i>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.</i> |
| Risk 1: Local Community grievances | I=3 P=3 | Low | Local community will be engaged in various components of the project on issues related to TK, and genetic resources use. | The project will conduct duly informed community consultations and engagement to address concerns and grievances. Social assessment has been conducted at the design stage |
| Risk 2: Gender equality concerns | I = 4 P =4 | Low | Women already have a leading role in project activities on genetic resources use | Gender concerns have been integrated in the project design and implementation |
| Risk 3: Activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas | I = 3 P = 3 | Low | Pilot activities will be conducted in an area near natural reserves and national parks. The role of protected areas providing opportunities for biodiscovery will be envisaged | Environmental sustainability and sustainable use of biodiversity measures have been incorporated in the project design |
| Risk 4: Lands and resources use changes | I = 3 P = 2 | Low | Harvesting and cultivation of genetic resources as well as bioprospecting may lead to changes in natural resources use | The scale of the project will limit its environmental impacts. Safeguards measures are also integrated in the ABS regime. |
| Risk 5: Harvesting of natural forests, plantation development, or reforestation; production and/or harvesting of fish populations or other aquatic species | I = 3 P = 2 | Low | Harvesting and cultivation of genetic resources as well as bioprospecting may lead to changes in natural resources use | The scale of the project will limit its environmental impacts. Safeguards measures are also integrated in the ABS regime. |
| Risk 6: Utilization of genetic resources | I = 3 P = 1 | Low | The project will focus on the sustainable use of GR | Provisions for sustainable use and conservation of genetic resources is at the core of the project design and will be pursued through implementation |

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| Risk 7: Illegal utilization and/or commercialization of biological and genetic resources on lands and territories claimed by indigenous people | I = 2 P = 4 | Low | Indigenous people are key stakeholders of the project in the implementation of the Nagoya Protocol on ABS | The project will be implemented considering national policies and rights of indigenous peoples regarding their traditional lands and use of natural resources. |
| Risk 8. The project potentially affect the Cultural Heritage of indigenous peoples | I = 2 P = 1 | Low | Indigenous people are key stakeholders of the project in the implementation of the Nagoya Protocol on ABS | The project will be implemented considering national policies and rights of indigenous peoples regarding their traditional lands and use of natural resources, including the protection of their cultural heritage. |
| QUESTION 4: What is the overall Project risk categorization? | | | | |
| Select one (see SESP for guidance) | | | Comments | |
| Low Risk | | | <input checked="" type="checkbox"/> | The project has incorporated the potential risks and mitigation measures in its design |
| Moderate Risk | | | <input type="checkbox"/> | |
| High Risk | | | <input type="checkbox"/> | |
| QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant? | | | | |
| Check all that apply | | | Comments | |
| Principle 1: Human Rights | | | | |
| Principle 2: Gender Equality and Women's Empowerment | | | <input checked="" type="checkbox"/> | Gender equality principles will be essential to the project success |
| 1. Biodiversity Conservation and Natural Resource Management | | | <input checked="" type="checkbox"/> | Sustainable use of biodiversity will be ensured through the project |
| 2. Climate Change Mitigation and Adaptation | | | <input type="checkbox"/> | |
| 3. Community Health, Safety and Working Conditions | | | <input type="checkbox"/> | |
| 4. Cultural Heritage | | | <input checked="" type="checkbox"/> | Rights and engagement of indigenous people in the project activities will be undertaken based on FPIC, MAT principles |
| 5. Displacement and Resettlement | | | <input type="checkbox"/> | |
| 6. Indigenous Peoples | | | <input checked="" type="checkbox"/> | Rights and engagement of indigenous people in the project activities will be undertaken based on FPIC, MAT principles |
| 7. Pollution Prevention and Resource Efficiency | | | <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 | | Answer (Yes/No) |
|--|--|--------------------|
| Principles 1: Human Rights | | |
| 1. | Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups? | No |
| 2. | Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? ⁴⁹ | 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. | 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? | No |
| 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 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 |
| 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 | | |

⁴⁹ 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.

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| 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) | Yes |
| 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? | Yes |
| 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 transboundary or global environmental concerns? | No |
| 1.11 | Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i> | No |
| Standard 2: Climate Change Mitigation and Adaptation | | |
| 2.1 | Will the proposed Project result in significant ⁵⁰ 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 |

⁵⁰ 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.]

| | | |
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| 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 | | |
| 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? ⁵¹ | 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 |

⁵¹ Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

| | | |
|---|---|-----|
| 6.4 | Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned? | No |
| 6.4 | Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples? | Yes |
| 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? | Yes |
| Standard 7: Pollution Prevention and Resource Efficiency | | |
| 7.1 | Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts? | No |
| 7.2 | Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)? | No |
| 7.3 | Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs? <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i> | No |
| 7.4 | Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health? | No |
| 7.5 | Does the Project include activities that require significant consumption of raw materials, energy, and/or water? | No |

17. Panama

Project Information

| Project Information | |
|-------------------------------------|---|
| 1. Project Title | Strengthening human resources, legal frameworks and institutional capacities to implement the Nagoya Protocol |
| 2. Project Number | PIMS 5381 |
| 3. Location (Global/Region/Country) | Global/Panama |

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 |
| <p>The project aims to support the capacity building of the governmental and other stakeholders to allow the country to meet its obligations under the Nagoya Protocol. The Project will work with local communities in the collection and research and development on genetic resources located in two regions of the Country. Training, capacity building, employment, information sharing, among other benefits, will be shared between the research institutions and the local people contributing both towards the creation of local capacities to manage and use biodiversity in a sustainable manner and to reaffirm the local values and visions on the role of biodiversity for sustainable development. In this regard, the project will help to put into practice the principles of the ABS Frameworks that safeguard people's rights and respects their democratic right to full and effective participation in ABS transactions. The project in both its design and intended objectives thus mainstreams a human rights based approach.</p> |
| Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment |
| <p>It is expected that women in the regions where the pilot will take place will be proactively engaged and involved in project-related activities The project is therefore in line with the provisions Nagoya Protocol with recognizes the "vital role that women play in access and benefit-sharing and affirming the need for the full participation of women at all levels of policy-making and implementation for biodiversity conservation." In the implementation of the ABS pilot/partnership, specific attention will be paid on ensuring the active participation of women as well as in the implementation of capacity building and awareness-raising activities ensuring that women are beneficiaries of the project outcomes.</p> |
| Briefly describe in the space below how the Project mainstreams environmental sustainability |
| <p>The Project recognizes the economic potential of biodiversity in socio-economic development and has a strategy to develop and implement policies for conservation and sustainable use of biological resources. To achieve these objectives, it also recognizes the need to establish conditions which facilitate the creation and development of linkage between stakeholders based on the sustainable use of biodiversity, particularly the use of biological and genetic resources, and of biotechnology, which also ensure the fair and equitable distribution of those benefits derived from the use of those resources between the users and providers of the biodiversity. Sustainable use of genetic resources through the project will have direct socioeconomics benefits for the national economy through an improved control over the benefits accruing from the use and commercialization of genetic resources. This will have a positive impact on the national economy and will help to drive innovation. In this regard, the project will create incentives to conserve and</p> |

sustainably use genetic resources, and therefore enhances the contribution of biodiversity to development and human well-being. The sharing of benefits will in thus create further incentives for the conservation and sustainable use of genetic resources.

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)? |
|--|---|---|---|--|
| <i>Risk Description</i> | <i>Impact and Probability (1-5)</i> | <i>Significance (Low, Moderate, High)</i> | <i>Comments</i> | <i>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.</i> |
| Risk 1: Local Community grievances | I=3 P=1 | Low | Local community will be engaged in the project on issues related to TK, genetic resources use. | The project will conduct duly informed community consultations and engagement to address concerns and grievances. |
| Risk 2. Local communities or individuals, concerns related human rights regarding | I=3 P=1 | Low | The project in both its design and intended objectives thus mainstreams a human rights based approach. | The project will help put in place principled and transparent ABS frameworks that safeguard people’s rights and respects their democratic right to full and effective participation in ABS transactions. |
| Risk 3: Utilization of genetic resources | I = 3 P = 1 | Low | The project will focus on the sustainable use of GR | Provisions for sustainable use and conservation of genetic resources is at the core of the project design and will be pursued through implementation |
| Risk 4: Illegal utilization and/or commercialization of biological and genetic resources on lands and territories claimed by indigenous people | I = 3 P = 2 | Moderate | The project will promote biodiscovery efforts that may include areas with presence of indigenous peoples and/or lands and territories claimed by indigenous peoples | The project will be implemented considering national policies and rights of indigenous peoples regarding their traditional lands and use of natural resources. |
| | QUESTION4: What is the overall Project risk categorization? | | | |
| | Select one (see SESP for guidance) | | | Comments |
| | Low Risk | <input checked="" type="checkbox"/> | The project has incorporated the potential risks and mitigation measures in its design | |
| | Moderate Risk | <input type="checkbox"/> | | |

| | | | |
|--|--|--------------------------|---|
| | High Risk | <input type="checkbox"/> | |
| | QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant? | | |
| | Check all that apply | | Comments |
| | Principle 1: Human Rights | ✓ | The project in both its design and intended objectives thus mainstreams a human rights based approach. |
| | Principle 2: Gender Equality and Women's Empowerment | ✓ | Gender equality principles will be essential to the project success |
| | 1. Biodiversity Conservation and Natural Resource Management | ✓ | Sustainable use of biodiversity will be ensured through the project |
| | 2. Climate Change Mitigation and Adaptation | <input type="checkbox"/> | |
| | 3. Community Health, Safety and Working Conditions | <input type="checkbox"/> | |
| | 4. Cultural Heritage | <input type="checkbox"/> | |
| | 5. Displacement and Resettlement | <input type="checkbox"/> | |
| | 6. Indigenous Peoples | ✓ | The project will contribute to strengthening the capacity of indigenous peoples regarding ABS and the Nagoya Protocol, including the negotiation of ABS agreements, obtaining PIC, establishing MAT, and the sharing of benefits, and to ensuring that their rights and traditional livelihoods continue to be respected. |
| 7. Pollution Prevention and Resource Efficiency | <input type="checkbox"/> | | |

Final Sign Off

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

SESP Attachment 1. Social and Environmental Risk Screening Checklist

| Checklist Potential Social and Environmental Risks | | Answer (Yes/No) |
|--|--|--------------------|
| Principles 1: Human Rights | | |
| 1. | Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups? | No |
| 2. | Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? ⁵² | 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. | 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? | No |
| 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? | Yes |
| 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 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 |
| 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 | | |

⁵² 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.

| | | |
|--|--|-----|
| 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? | No |
| 1.3 | Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5) | No |
| 1.4 | Would Project activities pose risks to endangered species? | No |
| 1.5 | Would the Project pose a risk of introducing invasive alien species? | No |
| 1.6 | Does the Project involve harvesting of natural forests, plantation development, or reforestation? | No |
| 1.7 | Does the Project involve the production and/or harvesting of fish populations or other aquatic species? | No |
| 1.8 | Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i> | No |
| 1.9 | Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development) | Yes |
| 1.10 | Would the Project generate potential adverse transboundary or global environmental concerns? | No |
| 1.11 | Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i> | No |
| Standard 2: Climate Change Mitigation and Adaptation | | |
| 2.1 | Will the proposed Project result in significant ⁵³ 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 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 |

⁵³In regards to CO₂, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

| | | |
|--|---|-----|
| 3.2 | 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 | | |
| 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? ⁵⁴ | No |
| 5.4 | Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources? | No |
| Standard 6: Indigenous Peoples | | |
| 6.1 | Are indigenous peoples present in the Project area (including Project area of influence)? | Yes |
| 6.2 | Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples? | Yes |
| 6.3 | Would the proposed Project potentially affect the rights, lands and territories of indigenous peoples (regardless of whether Indigenous Peoples possess the legal titles to such areas)? | Yes |

⁵⁴ Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

| | | |
|---|---|-----|
| 6.4 | Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned? | No |
| 6.4 | Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples? | Yes |
| 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 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 |

18. Rwanda

Project Information

| Project Information | |
|-------------------------------------|--|
| 1. Project Title | Strengthening human resources, legal frameworks, and institutional capacities to implement the Nagoya Protocol |
| 2. Project Number | PIMS 5381 |
| 3. Location (Global/Region/Country) | Global /Rwanda |

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 |
| <p>In the specific case of Rwanda, the project aims to support the development of legislative, administrative and policy measures to allow the country to meet its obligations under the Nagoya Protocol. The project will also support the identification, documentation and protection of traditional knowledge of indigenous and local communities, contributing both towards cultural reaffirmation and long term potential for commercial benefits. In this regard, the project will help put in place principled and transparent ABS frameworks that safeguard people's rights and respects their democratic right to full and effective participation in ABS transactions. The project in both its design and intended objectives, thus mainstreams human rights based approach.</p> |
| Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment |
| <p>It is expected that women who are often custodians of genetic resources and associated traditional knowledge, will be proactively engaged and involved in project-related activities with both participation and benefit-sharing arrangements to be at least proportionate in terms of gender balance. The project is therefore in line with the provisions Nagoya Protocol with recognizes the "vital role that women play in access and benefit-sharing and affirming the need for the full participation of women at all levels of policy-making and implementation for biodiversity conservation."</p> |
| Briefly describe in the space below how the Project mainstreams environmental sustainability |
| <p>The project responds directly to the need of the Nagoya Protocol which is create greater legal certainty and transparency for both providers and users of genetic resources by: a) establishing more predictable conditions for access to genetic resources; and b) helping to ensure benefit-sharing when genetic resources leave the country providing the genetic resources.</p> <p>In this regard, the project will create incentives to conserve and sustainably use genetic resources, and therefore enhances the contribution of biodiversity to development and human well-being. A key underlying feature of bio prospection is to ensure that exploitation of the genetic resources is conducted in a sustainable manner, and the government will include this condition in any related bio-prospecting agreements and permits. The risk of overharvesting will be mitigated by financially and technically supporting local communities to grow and sustainably use those resources needed (as done in some baseline activities). The sharing of benefits will in thus create further incentives for the conservation and sustainable use of genetic resources.</p> |

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: Local Community grievances | I=3 P=1 | Low | Local community will be engaged in the project on issues related to TK, genetic resources use. | The project will conduct duly informed community consultations and engagement to address concerns and grievances. |
| Risk 2. Local communities or individuals, concerns related human rights regarding | I=3 P=1 | Low | The project in both its design and intended objectives thus mainstreams a human rights based approach. | The project will help put in place principled and transparent ABS frameworks that safeguard people's rights and respects their democratic right to full and effective participation in ABS transactions. |
| Risk 3: Utilization of genetic resources | I = 3 P = 1 | Low | The project will focus on the sustainable use of GR | Provisions for sustainable use and conservation of genetic resources is at the core of the project design and will be pursued through implementation |
| Risk 4: Illegal utilization and/or commercialization of biological and genetic resources on lands and territories claimed by indigenous people | I = 3 P = 2 | Moderate | The project will promote biodiscovery efforts that may include areas with presence of indigenous peoples and/or lands and territories claimed by indigenous peoples | The project will be implemented considering national policies and rights of indigenous peoples regarding their traditional lands and use of natural resources. |
| | QUESTION 4: What is the overall Project risk categorization? | | | |
| | Select one (see SESP for guidance) | | | Comments |
| | Low Risk | <input checked="" type="checkbox"/> | | The project has incorporated the potential risks and mitigation measures in its design |
| | Moderate Risk | <input type="checkbox"/> | | |
| | High Risk | <input type="checkbox"/> | | |
| | QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant? | | | |

| | Check all that apply | | Comments |
|--|---|--------------------------|---|
| | <i>Principle 1: Human Rights</i> | ✓ | The project in both its design and intended objectives thus mainstreams a human rights based approach. |
| | <i>Principle 2: Gender Equality and Women's Empowerment</i> | ✓ | Gender equality principles will be essential to the project success |
| | <i>1. Biodiversity Conservation and Natural Resource Management</i> | ✓ | Sustainable use of biodiversity will be ensured through the project |
| | <i>2. Climate Change Mitigation and Adaptation</i> | <input type="checkbox"/> | |
| | <i>3. Community Health, Safety and Working Conditions</i> | <input type="checkbox"/> | |
| | <i>4. Cultural Heritage</i> | <input type="checkbox"/> | |
| | <i>5. Displacement and Resettlement</i> | <input type="checkbox"/> | |
| | <i>6. Indigenous Peoples</i> | ✓ | The project will contribute to strengthening the capacity of indigenous peoples regarding ABS and the Nagoya Protocol, including the negotiation of ABS agreements, obtaining PIC, establishing MAT, and the sharing of benefits, and to ensuring that their rights and traditional livelihoods continue to be respected. |
| | <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? ⁵⁵ | 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. 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? | No |
| 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? | Yes |
| 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 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 |
| 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? | No |

⁵⁵ Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

| | | |
|--|--|-----|
| | <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i> | |
| 1.2 | Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities? | No |
| 1.3 | Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5) | No |
| 1.4 | Would Project activities pose risks to endangered species? | No |
| 1.5 | Would the Project pose a risk of introducing invasive alien species? | No |
| 1.6 | Does the Project involve harvesting of natural forests, plantation development, or reforestation? | No |
| 1.7 | Does the Project involve the production and/or harvesting of fish populations or other aquatic species? | No |
| 1.8 | Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i> | No |
| 1.9 | Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development) | Yes |
| 1.10 | Would the Project generate potential adverse transboundary or global environmental concerns? | No |
| 1.11 | Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i> | No |
| Standard 2: Climate Change Mitigation and Adaptation | | |
| 2.1 | Will the proposed Project result in significant ⁵⁶ 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 |

⁵⁶ 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.]

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| 3.3 | Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)? | No |
| 3.4 | Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure) | No |
| 3.5 | Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions? | No |
| 3.6 | Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)? | No |
| 3.7 | Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning? | No |
| 3.8 | Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)? | No |
| 3.9 | Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)? | No |
| Standard 4: Cultural Heritage | | |
| 4.1 | Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts) | No |
| 4.2 | Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes? | No |
| Standard 5: Displacement and Resettlement | | |
| 5.1 | Would the Project potentially involve temporary or permanent and full or partial physical displacement? | No |
| 5.2 | Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)? | No |
| 5.3 | Is there a risk that the Project would lead to forced evictions? ⁵⁷ | No |
| 5.4 | Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources? | No |
| Standard 6: Indigenous Peoples | | |
| 6.1 | Are indigenous peoples present in the Project area (including Project area of influence)? | Yes |
| 6.2 | Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples? | Yes |
| 6.3 | Would the proposed Project potentially affect the rights, lands and territories of indigenous peoples (regardless of whether Indigenous Peoples possess the legal titles to such areas)? | Yes |
| 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 |

⁵⁷ 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.

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| 6.4 | Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples? | Yes |
| 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 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 |

19. Samoa

Project Information

| Project Information | |
|-------------------------------------|---|
| 1. Project Title | Strengthening human resources, legal frameworks and institutional capacities to implement the Nagoya Protocol |
| 2. Project Number | PIMS 5381 |
| 3. Location (Global/Region/Country) | Global/Samoa |

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? |
|---|
| <p>Briefly describe in the space below how the Project mainstreams the human-rights based approach</p> <p>Based on the principles and objectives of the Nagoya Protocol, strengthening the capacities of the country to effectively implement the Protocol will be critical to ensure that the rights of the State and local community over genetic resources, TK are secured and enforced. Local communities will be fully involved in the elaboration of the drafts and in the decision making process in order to address their concerns with a human rights based approach.</p> |
| <p>Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment</p> <p>At the local level, the project will strengthen women's capacity as they are the gatekeepers of traditional knowledge and the primary providers/collectors/managers of natural and genetic resources. The project will ensure that the national ABS framework and implementation of the framework helps to improve gender equality and women's empowerment. The activities will also integrate gender focus and data in their design and monitoring processes to ensure that women are empowered to participate fully and also benefit from the use of genetic resources. Specific attention will be focused on ensuring the active participation of women, particularly in drafting the ABS framework, providing PIC and MAT and ensuring the benefit sharing terms of equitable. Through the development of biocultural protocols as well and the implementation of social and economic development activities and ensuring that women have an equal participation in the project activities as men. The strong participatory role envisaged for the ethnic minority women in the project will also contribute to ensuring social security.</p> |
| <p>Briefly describe in the space below how the Project mainstreams environmental sustainability</p> <p>The introduction of an effective national ABS regime that will contribute towards biodiversity conservation and encourage sustainable use of biological resources. The project will ensure that environmental sustainability principles are integrated into the project activities design and implementation to avoid harmful environmental impacts and reduce its environmental footprint. In particular, Component 2 focused on biodiscovery and product development and commercialization from genetic resources materials will include provisions for sustainable harvest, cultivation and use of natural resources. The project will also recommend set up of a benefit sharing mechanism to channel and reinvest proceeds from ABS agreements towards the conservation of biodiversity and sustainable use of its components. The capacity development component will also mitigate the potential negative impacts through the users and suppliers knowing the risk.</p> |

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: Local Community grievances | I=3 P=3 | Low | Local community will be engaged in various components of the project on issues related to TK, and genetic resources use. | The project will conduct duly informed community consultations and engagement to address concerns and grievances. Social assessment has been conducted at the design stage |
| Risk 2: Gender equality concerns | I = 4 P =4 | Low | Women already have a leading role in project activities on genetic resources use | Gender concerns have been integrated in the project design and implementation |
| Risk 3: Activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas | I = 3 P = 3 | Low | Pilot activities will be conducted in an area near natural reserves and national parks. The role of protected areas providing opportunities for biodiscovery will be envisaged | Environmental sustainability and sustainable use of biodiversity measures have been incorporated in the project design |
| Risk 4: Lands and resources use changes | I = 3 P = 2 | Low | Harvesting and cultivation of genetic resources as well as bioprospecting may lead to changes in natural resources use | The scale of the project will limit its environmental impacts. Safeguards measures are also integrated in the ABS regime. |
| Risk 5: Harvesting of natural forests, plantation development, or reforestation; production and/or harvesting of fish populations or other aquatic species | I = 3 P = 2 | Low | Harvesting and cultivation of genetic resources as well as bioprospecting may lead to changes in natural resources use | The scale of the project will limit its environmental impacts. Safeguards measures are also integrated in the ABS regime. |
| Risk 6: Utilization of genetic resources | I = 3 P = 1 | Low | The project will focus on the sustainable use of GR | Provisions for sustainable use and conservation of genetic resources is at the core of the project design and will be pursued through implementation |

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|--|---|-------------------------------------|---|---|
| Risk 7: Illegal utilization and/or commercialization of biological and genetic resources on lands and territories claimed by indigenous people | I = 2 P = 4 | Low | Indigenous people are key stakeholders of the project in the implementation of the Nagoya Protocol on ABS | The project will be implemented considering national policies and rights of indigenous peoples regarding their traditional lands and use of natural resources. |
| Risk 8. The project potentially affect the Cultural Heritage of indigenous peoples | I = 2 P = 1 | Low | Indigenous people are key stakeholders of the project in the implementation of the Nagoya Protocol on ABS | The project will be implemented considering national policies and rights of indigenous peoples regarding their traditional lands and use of natural resources, including the protection of their cultural heritage. |
| | QUESTION 4: What is the overall Project risk categorization? | | | |
| | Select one (see SESP for guidance) | | | Comments |
| | Low Risk | <input checked="" type="checkbox"/> | The project has incorporated the potential risks and mitigation measures in its design | |
| | Moderate Risk | <input type="checkbox"/> | | |
| | High Risk | <input type="checkbox"/> | | |
| | QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant? | | | |
| | Check all that apply | | | Comments |
| | Principle 1: Human Rights | <input type="checkbox"/> | | |
| | Principle 2: Gender Equality and Women's Empowerment | <input checked="" type="checkbox"/> | Gender equality principles will be essential to the project success | |
| | 1. Biodiversity Conservation and Natural Resource Management | <input checked="" type="checkbox"/> | Sustainable use of biodiversity will be ensured through the project | |
| | 2. Climate Change Mitigation and Adaptation | <input type="checkbox"/> | | |
| | 3. Community Health, Safety and Working Conditions | <input type="checkbox"/> | | |
| | 4. Cultural Heritage | <input checked="" type="checkbox"/> | Rights and engagement of indigenous people in the project activities will be undertaken based on FPIC, MAT principles | |
| | 5. Displacement and Resettlement | <input type="checkbox"/> | | |
| | 6. Indigenous Peoples | <input checked="" type="checkbox"/> | Rights and engagement of indigenous people in the project activities will be undertaken based on FPIC, MAT principles | |
| | 7. Pollution Prevention and Resource Efficiency | <input type="checkbox"/> | | |

Final Sign Off

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

SESP Attachment 1. Social and Environmental Risk Screening Checklist

| Checklist Potential Social and Environmental Risks | |
|---|------------------------|
| 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? ⁵⁸ | 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. 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? | No |
| 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 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 |
| 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 | |

⁵⁸ 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.

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| 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) | Yes |
| 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? | Yes |
| 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 transboundary or global environmental concerns? | No |
| 1.11 | Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i> | No |
| Standard 2: Climate Change Mitigation and Adaptation | | |
| 2.1 | Will the proposed Project result in significant ⁵⁹ 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 |

⁵⁹ In regards to CO₂, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

| | | |
|--|---|-----|
| 3.2 | 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 | | |
| 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? ⁶⁰ | 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 |

⁶⁰ Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

| | | |
|---|---|-----|
| 6.4 | Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned? | No |
| 6.4 | Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples? | Yes |
| 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? | Yes |
| Standard 7: Pollution Prevention and Resource Efficiency | | |
| 7.1 | Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts? | No |
| 7.2 | Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)? | No |
| 7.3 | Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs? <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i> | No |
| 7.4 | Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health? | No |
| 7.5 | Does the Project include activities that require significant consumption of raw materials, energy, and/or water? | No |

20. Seychelles

Project Information

| Project Information | |
|-------------------------------------|--|
| 1. Project Title | Strengthening human resources, legal frameworks, and institutional capacities to implement the Nagoya Protocol |
| 2. Project Number | PIMS 5381 |
| 3. Location (Global/Region/Country) | Global /Seychelles |

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 aims to support the development of legislative, administrative and policy measures to allow the Seychelles to meet its obligations under the Nagoya Protocol. The project will also support the identification, documentation and protection of traditional knowledge of indigenous and local communities, contributing both towards cultural reaffirmation and long term potential for commercial benefits. In this regard, the project will help put in place principled and transparent ABS frameworks that safeguard people's rights and respects their democratic right to full and effective participation in ABS transactions. The project in both its design and intended objectives, thus mainstreams human rights based approach.

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

It is expected that women who are often custodians of genetic resources and associated traditional knowledge, will be proactively engaged and involved in project-related activities with both participation and benefit-sharing arrangements to be at least proportionate in terms of gender balance. The project is therefore in line with the provisions Nagoya Protocol with recognizes the "vital role that women play in access and benefit-sharing and affirming the need for the full participation of women at all levels of policy-making and implementation for biodiversity conservation."

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

The project responds directly to the need of the Nagoya Protocol which is create greater legal certainty and transparency for both providers and users of genetic resources by: a) establishing more predictable conditions for access to genetic resources; and b) helping to ensure benefit-sharing when genetic resources leave the country providing the genetic resources.

In this regard, the project will create incentives to conserve and sustainably use genetic resources, and therefore enhances the contribution of biodiversity to development and human well-being. A key underlying feature of bio prospection is to ensure that exploitation of the genetic resources is conducted in a sustainable manner, and the government will include this condition in any related bio-prospecting agreements and permits. The risk of overharvesting will be mitigated by financially and technically supporting local communities to grow and sustainably use those resources needed (as done in some baseline activities). The sharing of benefits will in thus create further incentives for the conservation and sustainable use of genetic resources.

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)? |
|---|--|---|---|--|
| <i>Risk Description</i> | <i>Impact and Probability (1-5)</i> | <i>Significance (Low, Moderate, High)</i> | <i>Comments</i> | <i>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.</i> |
| Risk 1: Local Community grievances | I=3 P=1 | Low | Local community will be engaged in the project on issues related to TK, genetic resources use. | The project will conduct duly informed community consultations and engagement to address concerns and grievances. |
| Risk 2: Local communities or individuals, concerns related human rights regarding | I=3 P=1 | Low | The project in both its design and intended objectives thus mainstreams a human rights based approach. | The project will help put in place principled and transparent ABS frameworks that safeguard people’s rights and respects their democratic right to full and effective participation in ABS transactions. |
| Risk 3: Utilization of genetic resources | I = 3 P = 1 | Low | The project will focus on the sustainable use of GR | Provisions for sustainable use and conservation of genetic resources is at the core of the project design and will be pursued through implementation |
| Risk 4: Illegal utilization and/or commercialization of biological and genetic resources on lands and territories claimed by indigenous people | I = 3 P = 2 | Moderate | The project will promote biodiscovery efforts that may include areas with presence of indigenous peoples and/or lands and territories claimed by indigenous peoples | The project will be implemented considering national policies and rights of indigenous peoples regarding their traditional lands and use of natural resources. |
| | QUESTION 4: What is the overall Project risk categorization? | | | |
| | Select one (see SESP for guidance) | | | Comments |
| | Low Risk | <input checked="" type="checkbox"/> | | The project has incorporated the potential risks and mitigation measures in its design |
| | Moderate Risk | <input type="checkbox"/> | | |
| | High Risk | <input type="checkbox"/> | | |
| | QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant? | | | |
| | Check all that apply | | | Comments |

| | | | |
|--|---|--------------------------|---|
| | Principle 1: Human Rights | ✓ | The project in both its design and intended objectives thus mainstreams a human rights based approach. |
| | Principle 2: Gender Equality and Women's Empowerment | ✓ | Gender equality principles will be essential to the project success |
| | 1. Biodiversity Conservation and Natural Resource Management | ✓ | Sustainable use of biodiversity will be ensured through the project |
| | 2. Climate Change Mitigation and Adaptation | <input type="checkbox"/> | |
| | 3. Community Health, Safety and Working Conditions | <input type="checkbox"/> | |
| | 4. Cultural Heritage | <input type="checkbox"/> | |
| | 5. Displacement and Resettlement | <input type="checkbox"/> | |
| | 6. Indigenous Peoples | ✓ | The project will contribute to strengthening the capacity of indigenous peoples regarding ABS and the Nagoya Protocol, including the negotiation of ABS agreements, obtaining PIC, establishing MAT, and the sharing of benefits, and to ensuring that their rights and traditional livelihoods continue to be respected. |
| | 7. Pollution Prevention and Resource Efficiency | <input type="checkbox"/> | |

Final Sign Off

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

SESP Attachment 1. Social and Environmental Risk Screening Checklist

| Checklist Potential Social and Environmental Risks | | Answer (Yes/No) |
|--|--|-----------------|
| Principles 1: Human Rights | | |
| 1. | Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups? | No |
| 2. | Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? ⁶¹ | 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. | 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? | No |
| 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? | Yes |
| 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 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 |
| 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 | | |

⁶¹ 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.

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| 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? | No |
| 1.3 | Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5) | No |
| 1.4 | Would Project activities pose risks to endangered species? | No |
| 1.5 | Would the Project pose a risk of introducing invasive alien species? | No |
| 1.6 | Does the Project involve harvesting of natural forests, plantation development, or reforestation? | No |
| 1.7 | Does the Project involve the production and/or harvesting of fish populations or other aquatic species? | No |
| 1.8 | Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i> | No |
| 1.9 | Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development) | Yes |
| 1.10 | Would the Project generate potential adverse transboundary or global environmental concerns? | No |
| 1.11 | Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i> | No |
| Standard 2: Climate Change Mitigation and Adaptation | | |
| 2.1 | Will the proposed Project result in significant ⁶² 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 |

⁶² In regards to CO₂, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

| | | |
|--|---|-----|
| 3.2 | 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 | | |
| 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? ⁶³ | No |
| 5.4 | Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources? | No |
| Standard 6: Indigenous Peoples | | |
| 6.1 | Are indigenous peoples present in the Project area (including Project area of influence)? | Yes |
| 6.2 | Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples? | Yes |
| 6.3 | Would the proposed Project potentially affect the rights, lands and territories of indigenous peoples (regardless of whether Indigenous Peoples possess the legal titles to such areas)? | Yes |

⁶³ Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

| | | |
|---|---|-----|
| 6.4 | Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned? | No |
| 6.4 | Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples? | Yes |
| 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 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 |

21. South Africa

Project Information

| Project Information | |
|-------------------------------------|--|
| 1. Project Title | Strengthening human resources, legal frameworks, and institutional capacities to implement the Nagoya Protocol |
| 2. Project Number | PIMS 5381 |
| 3. Location (Global/Region/Country) | Global /South Africa |

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 aims to support the development of legislative, administrative and policy measures to allow South Africa to meet its obligations under the Nagoya Protocol. The project will also support the identification, documentation and protection of traditional knowledge of indigenous and local communities, contributing both towards cultural reaffirmation and long term potential for commercial benefits. In this regard, the project will help put in place principled and transparent ABS frameworks that safeguard people's rights and respects their democratic right to full and effective participation in ABS transactions. The project in both its design and intended objectives, thus mainstreams human rights based approach.

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

It is expected that women who are often custodians of genetic resources and associated traditional knowledge, will be proactively engaged and involved in project-related activities with both participation and benefit-sharing arrangements to be at least proportionate in terms of gender balance. The project is therefore in line with the provisions Nagoya Protocol with recognizes the "vital role that women play in access and benefit-sharing and affirming the need for the full participation of women at all levels of policy-making and implementation for biodiversity conservation."

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

The project responds directly to the need of the Nagoya Protocol which is create greater legal certainty and transparency for both providers and users of genetic resources by: a) establishing more predictable conditions for access to genetic resources; and b) helping to ensure benefit-sharing when genetic resources leave the country providing the genetic resources.

In this regard, the project will create incentives to conserve and sustainably use genetic resources, and therefore enhances the contribution of biodiversity to development and human well-being. A key underlying feature of bio prospection is to ensure that exploitation of the genetic resources is conducted in a sustainable manner, and the government will include this condition in any related bio-prospecting agreements and permits. The risk of overharvesting will be mitigated by financially and technically supporting local communities to grow and sustainably use those resources needed (as done in some baseline activities). The sharing of benefits will in thus create further incentives for the conservation and sustainable use of genetic resources.

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)? |
|--|---|---|---|--|
| <i>Risk Description</i> | <i>Impact and Probability (1-5)</i> | <i>Significance (Low, Moderate, High)</i> | <i>Comments</i> | <i>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.</i> |
| Risk 1: Local Community grievances | I=3 P=1 | Low | Local community will be engaged in the project on issues related to TK, genetic resources use. | The project will conduct duly informed community consultations and engagement to address concerns and grievances. |
| Risk 2: Local communities or individuals, concerns related human rights regarding | I=3 P=1 | Low | The project in both its design and intended objectives thus mainstreams a human rights based approach. | The project will help put in place principled and transparent ABS frameworks that safeguard people's rights and respects their democratic right to full and effective participation in ABS transactions. |
| Risk 3: Utilization of genetic resources | I = 3 P = 1 | Low | The project will focus on the sustainable use of GR | Provisions for sustainable use and conservation of genetic resources is at the core of the project design and will be pursued through implementation |
| Risk 4: Illegal utilization and/or commercialization of biological and genetic resources on lands and territories claimed by indigenous people | I = 3 P = 2 | Moderate | The project will promote biodiscovery efforts that may include areas with presence of indigenous peoples and/or lands and territories claimed by indigenous peoples | The project will be implemented considering national policies and rights of indigenous peoples regarding their traditional lands and use of natural resources. |
| [add additional rows as needed] | | | | |
| | QUESTION 4: What is the overall Project risk categorization? | | | |
| | Select one (see SESP for guidance) | | | Comments |
| | Low Risk | <input checked="" type="checkbox"/> | | The project has incorporated the potential risks and mitigation measures in its design |
| | Moderate Risk | <input type="checkbox"/> | | |
| | High Risk | <input type="checkbox"/> | | |

| | QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant? | | |
|--|---|--------------------------|---|
| | Check all that apply | | Comments |
| | <i>Principle 1: Human Rights</i> | ✓ | The project in both its design and intended objectives thus mainstreams a human rights based approach. |
| | <i>Principle 2: Gender Equality and Women's Empowerment</i> | ✓ | Gender equality principles will be essential to the project success |
| | <i>1. Biodiversity Conservation and Natural Resource Management</i> | ✓ | Sustainable use of biodiversity will be ensured through the project |
| | <i>2. Climate Change Mitigation and Adaptation</i> | <input type="checkbox"/> | |
| | <i>3. Community Health, Safety and Working Conditions</i> | <input type="checkbox"/> | |
| | <i>4. Cultural Heritage</i> | <input type="checkbox"/> | |
| | <i>5. Displacement and Resettlement</i> | <input type="checkbox"/> | |
| | <i>6. Indigenous Peoples</i> | ✓ | The project will contribute to strengthening the capacity of indigenous peoples regarding ABS and the Nagoya Protocol, including the negotiation of ABS agreements, obtaining PIC, establishing MAT, and the sharing of benefits, and to ensuring that their rights and traditional livelihoods continue to be respected. |
| | <i>7. Pollution Prevention and Resource Efficiency</i> | <input type="checkbox"/> | |

Final Sign Off

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

SESP Attachment 1. Social and Environmental Risk Screening Checklist

| Checklist Potential Social and Environmental Risks | | Answer (Yes/No) |
|--|--|-----------------|
| Principles 1: Human Rights | | |
| 1. | Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups? | No |
| 2. | Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? ⁶⁴ | 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. | 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? | No |
| 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? | Yes |
| 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 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 |
| 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 | | |

⁶⁴ 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.

| | | |
|--|--|-----|
| 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? | No |
| 1.3 | Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5) | No |
| 1.4 | Would Project activities pose risks to endangered species? | No |
| 1.5 | Would the Project pose a risk of introducing invasive alien species? | No |
| 1.6 | Does the Project involve harvesting of natural forests, plantation development, or reforestation? | No |
| 1.7 | Does the Project involve the production and/or harvesting of fish populations or other aquatic species? | No |
| 1.8 | Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i> | No |
| 1.9 | Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development) | Yes |
| 1.10 | Would the Project generate potential adverse transboundary or global environmental concerns? | No |
| 1.11 | Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i> | No |
| Standard 2: Climate Change Mitigation and Adaptation | | |
| 2.1 | Will the proposed Project result in significant ⁶⁵ 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 |

⁶⁵ In regards to CO₂, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

| | | |
|--|---|-----|
| 3.2 | 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 | | |
| 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? ⁶⁶ | No |
| 5.4 | Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources? | No |
| Standard 6: Indigenous Peoples | | |
| 6.1 | Are indigenous peoples present in the Project area (including Project area of influence)? | Yes |
| 6.2 | Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples? | Yes |
| 6.3 | Would the proposed Project potentially affect the rights, lands and territories of indigenous peoples (regardless of whether Indigenous Peoples possess the legal titles to such areas)? | Yes |

⁶⁶ Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

| | | |
|---|---|-----|
| 6.4 | Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned? | No |
| 6.4 | Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples? | Yes |
| 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 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 |

22. SUDAN

Project Information

| Project Information | |
|-------------------------------------|---|
| 1. Project Title | Strengthening human resources, legal frameworks and institutional capacities to implement the Nagoya Protocol |
| 2. Project Number | PIMS 5381 |
| 3. Location (Global/Region/Country) | Global/ Sudan |

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> |
| Based on the ABS regime principles, PIC and MAT guidelines will be developed to ensure that local community rights over genetic resources and TK are secured and enforced. Local communities will be fully involved in the elaboration of the drafts and in the decision making process in order to address their concerns with a human rights based approach. |
| <i>Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment</i> |
| The project will ensure that the national ABS regime helps to improve gender equality and women's empowerment. The pilot and demonstration activities will also integrate gender focus and data in their design and monitoring processes to ensure that women are empowered to participate fully and also benefit from the use of genetic resources. Specific attention will be focused on ensuring the active participation of women, particularly in growing and harvest of plants, product development and marketing, monitoring and evaluation of MAT provisions and community TK protection protocols, as well and the implementation of social and economic development activities and ensuring that women have an equal participation in the project activities as men. Most institutions involved in the project are directed by women and the participation of women in these institutions is very high. At the local level the contact with different NGOs, in particular the Sudanese Environment Conservation Society and their experience involving women at the local level, will be used to promote women participation. |
| <i>Briefly describe in the space below how the Project mainstreams environmental sustainability</i> |
| The introduction of an effective national ABS regime that will contribute towards biodiversity conservation and encourage sustainable use of biological resources. The project will ensure that environmental sustainability principles are integrated into the project activities design and implementation to avoid harmful environmental impacts and reduce its environmental footprint. |

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: Local Community grievances | I=3 P=1 | Low | Local community will be engaged in the project on issues related to TK, genetic resources use. | The project will conduct duly informed community consultations and engagement to address concerns and grievances. |
| Risk 1: Gender equality concerns | I = 3 P = 1 | Low | Women already have a leading role in project activities on genetic resources use | Gender concerns have been integrated in the project design and implementation |
| Risk 2 : Activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas | I = 3 P = 2 | Moderate | Pilot activities may be conducted in protected areas | Environmental sustainability and sustainable use of biodiversity measures have been incorporated in the project design |
| Risk 3: Lands and resources use changes | I = 3 P = 1 | Low | Harvesting and cultivation of genetic resources as well as bioprospecting may lead to changes in natural resources use | The scale of the project will limit its environmental impacts. Safeguards measures are also integrated in the ABS regime. |
| Risk 4: Utilization of genetic resources | I = 3 P = 1 | Low | The project will focus on the sustainable use of GR | Provisions for sustainable use and conservation of genetic resources is at the core of the project design and will be pursued through implementation |
| QUESTION 4: What is the overall Project risk categorization? | | | | |
| Select one (see SESP for guidance) | | | Comments | |
| Low Risk | | | ✓ | The project has incorporated the potential risks and mitigation measures in its design |
| Moderate Risk | | | | |
| High Risk | | | | |

| | 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 type="checkbox"/> | |
| | <i>Principle 2: Gender Equality and Women's Empowerment</i> | <input checked="" type="checkbox"/> | Gender equality principles will be essential to the project success |
| | <i>1. Biodiversity Conservation and Natural Resource Management</i> | <input checked="" type="checkbox"/> | Sustainable use of biodiversity will be ensured through the project |
| | <i>2. Climate Change Mitigation and Adaptation</i> | <input type="checkbox"/> | |
| | <i>3. Community Health, Safety and Working Conditions</i> | <input type="checkbox"/> | |
| | <i>4. Cultural Heritage</i> | <input type="checkbox"/> | |
| | <i>5. Displacement and Resettlement</i> | <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

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

SESP Attachment 1. Social and Environmental Risk Screening Checklist

| Checklist Potential Social and Environmental Risks | |
|---|-----------------|
| 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? ⁶⁷ | 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. 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? | No |
| 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 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 |
| 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 | |

⁶⁷ 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.

| | | |
|--|--|-----|
| 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) | Yes |
| 1.4 | Would Project activities pose risks to endangered species? | No |
| 1.5 | Would the Project pose a risk of introducing invasive alien species? | No |
| 1.6 | Does the Project involve harvesting of natural forests, plantation development, or reforestation? | No |
| 1.7 | Does the Project involve the production and/or harvesting of fish populations or other aquatic species? | No |
| 1.8 | Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i> | No |
| 1.9 | Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development) | Yes |
| 1.10 | Would the Project generate potential adverse transboundary or global environmental concerns? | No |
| 1.11 | Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i> | No |
| Standard 2: Climate Change Mitigation and Adaptation | | |
| 2.1 | Will the proposed Project result in significant ⁶⁸ 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 |

⁶⁸ 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.]

| | | |
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| 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 | | |
| 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? ⁶⁹ | 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 rights, lands and territories of indigenous peoples (regardless of whether Indigenous Peoples possess the legal titles to such areas)? | No |

⁶⁹ 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.

| | | |
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| 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 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 |

23. Tajikistan

Project Information

| Project Information | |
|-------------------------------------|---|
| 1. Project Title | Strengthening human resources, legal frameworks and institutional capacities to implement the Nagoya Protocol |
| 2. Project Number | PIMS 5381 |
| 3. Location (Global/Region/Country) | Global/Tajikistan |

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> |
| Based on the principles and objectives of the Nagoya Protocol, strengthening the capacities of the country to effectively implement the Protocol will be critical to ensure that the rights of the State and local community over genetic resources, TK are secured and enforced. Local communities will be fully involved in the elaboration of the drafts and in the decision making process in order to address their concerns with a human rights based approach. |
| <i>Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment</i> |
| At the local level, the project will strengthen women's capacity as they are the gatekeepers of traditional knowledge and the primary providers/collectors/managers of natural and genetic resources. The project will ensure that the national ABS framework and implementation of the framework helps to improve gender equality and women's empowerment. The activities will also integrate gender focus and data in their design and monitoring processes to ensure that women are empowered to participate fully and also benefit from the use of genetic resources. Specific attention will be focused on ensuring the active participation of women, particularly in drafting the ABS framework, providing PIC and MAT and ensuring the benefit sharing terms of equitable. Through the development of biocultural protocols as well and the implementation of social and economic development activities and ensuring that women have an equal participation in the project activities as men. The strong participatory role envisaged for the ethnic minority women in the project will also contribute to ensuring social security. |
| <i>Briefly describe in the space below how the Project mainstreams environmental sustainability</i> |
| The introduction of an effective national ABS regime that will contribute towards biodiversity conservation and encourage sustainable use of biological resources. The project will ensure that environmental sustainability principles are integrated into the project activities design and implementation to avoid harmful environmental impacts and reduce its environmental footprint. In particular, Component 2 focused on biodiscovery and product development and commercialization from genetic resources materials will include provisions for sustainable harvest, cultivation and use of natural resources. The project will also recommend set up of a benefit sharing mechanism to channel and reinvest proceeds from ABS agreements towards the conservation of biodiversity and sustainable use of its components. The capacity development component will also mitigate the potential negative impacts through the users and suppliers knowing the risk. |

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: Local Community grievances | I=3 P=3 | Low | Local community will be engaged in various components of the project on issues related to TK, and genetic resources use. | The project will conduct duly informed community consultations and engagement to address concerns and grievances. Social assessment has been conducted at the design stage |
| Risk 2: Gender equality concerns | I = 4 P = 4 | Low | Women already have a leading role in project activities on genetic resources use | Gender concerns have been integrated in the project design and implementation |
| Risk 3: Activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas | I = 3 P = 3 | Low | Pilot activities will be conducted in an area near natural reserves and national parks. The role of protected areas providing opportunities for biodiscovery will be envisaged | Environmental sustainability and sustainable use of biodiversity measures have been incorporated in the project design |
| Risk 4: Lands and resources use changes | I = 3 P = 2 | Low | Harvesting and cultivation of genetic resources as well as bioprospecting may lead to changes in natural resources use | The scale of the project will limit its environmental impacts. Safeguards measures are also integrated in the ABS regime. |
| Risk 5: Harvesting of natural forests, plantation development, or reforestation; production and/or harvesting of fish populations or other aquatic species | I = 3 P = 2 | Low | Harvesting and cultivation of genetic resources as well as bioprospecting may lead to changes in natural resources use | The scale of the project will limit its environmental impacts. Safeguards measures are also integrated in the ABS regime. |
| Risk 6: Utilization of genetic resources | I = 3 P = 1 | Low | The project will focus on the sustainable use of GR | Provisions for sustainable use and conservation of genetic resources is at the core of the project design and will be pursued through implementation |

| Risk 7: Illegal utilization and/or commercialization of biological and genetic resources on lands and territories claimed by indigenous people | I = 2 P = 4 | Low | Indigenous people are key stakeholders of the project in the implementation of the Nagoya Protocol on ABS | The project will be implemented considering national policies and rights of indigenous peoples regarding their traditional lands and use of natural resources. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|--|-------------------------------------|---|---|---|--|--|----------|----------------------------------|-------------------------------------|--|---|-------------------------------------|---|---|-------------------------------------|---|--|--------------------------|--|---|--------------------------|--|-----------------------------|-------------------------------------|---|---|--------------------------|--|------------------------------|-------------------------------------|---|--|--------------------------|--|
| Risk 8. The project potentially affect the Cultural Heritage of indigenous peoples | I = 2 P = 1 | Low | Indigenous people are key stakeholders of the project in the implementation of the Nagoya Protocol on ABS | The project will be implemented considering national policies and rights of indigenous peoples regarding their traditional lands and use of natural resources, including the protection of their cultural heritage. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| QUESTION 4: What is the overall Project risk categorization? | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <table border="1"> <thead> <tr> <th colspan="2">Select one (see SESP for guidance)</th> <th>Comments</th> </tr> </thead> <tbody> <tr> <td>Low Risk</td> <td><input checked="" type="checkbox"/></td> <td>The project has incorporated the potential risks and mitigation measures in its design</td> </tr> <tr> <td>Moderate Risk</td> <td><input type="checkbox"/></td> <td></td> </tr> <tr> <td>High Risk</td> <td><input type="checkbox"/></td> <td></td> </tr> </tbody> </table> | | | | | Select one (see SESP for guidance) | | Comments | Low Risk | <input checked="" type="checkbox"/> | The project has incorporated the potential risks and mitigation measures in its design | Moderate Risk | <input type="checkbox"/> | | High Risk | <input type="checkbox"/> | | | | | | | | | | | | | | | | | | | |
| Select one (see SESP for guidance) | | Comments | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Low Risk | <input checked="" type="checkbox"/> | The project has incorporated the potential risks and mitigation measures in its design | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Moderate Risk | <input type="checkbox"/> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| High Risk | <input type="checkbox"/> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant? | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <table border="1"> <thead> <tr> <th colspan="2">Check all that apply</th> <th>Comments</th> </tr> </thead> <tbody> <tr> <td colspan="3">Principle 1: Human Rights</td> </tr> <tr> <td>Principle 2: Gender Equality and Women's Empowerment</td> <td><input checked="" type="checkbox"/></td> <td>Gender equality principles will be essential to the project success</td> </tr> <tr> <td>1. Biodiversity Conservation and Natural Resource Management</td> <td><input checked="" type="checkbox"/></td> <td>Sustainable use of biodiversity will be ensured through the project</td> </tr> <tr> <td>2. Climate Change Mitigation and Adaptation</td> <td><input type="checkbox"/></td> <td></td> </tr> <tr> <td>3. Community Health, Safety and Working Conditions</td> <td><input type="checkbox"/></td> <td></td> </tr> <tr> <td>4. Cultural Heritage</td> <td><input checked="" type="checkbox"/></td> <td>Rights and engagement of indigenous people in the project activities will be undertaken based on FPIC, MAT principles</td> </tr> <tr> <td>5. Displacement and Resettlement</td> <td><input type="checkbox"/></td> <td></td> </tr> <tr> <td>6. Indigenous Peoples</td> <td><input checked="" type="checkbox"/></td> <td>Rights and engagement of indigenous people in the project activities will be undertaken based on FPIC, MAT principles</td> </tr> <tr> <td>7. Pollution Prevention and Resource Efficiency</td> <td><input type="checkbox"/></td> <td></td> </tr> </tbody> </table> | | | | | Check all that apply | | Comments | Principle 1: Human Rights | | | Principle 2: Gender Equality and Women's Empowerment | <input checked="" type="checkbox"/> | Gender equality principles will be essential to the project success | 1. Biodiversity Conservation and Natural Resource Management | <input checked="" type="checkbox"/> | Sustainable use of biodiversity will be ensured through the project | 2. Climate Change Mitigation and Adaptation | <input type="checkbox"/> | | 3. Community Health, Safety and Working Conditions | <input type="checkbox"/> | | 4. Cultural Heritage | <input checked="" type="checkbox"/> | Rights and engagement of indigenous people in the project activities will be undertaken based on FPIC, MAT principles | 5. Displacement and Resettlement | <input type="checkbox"/> | | 6. Indigenous Peoples | <input checked="" type="checkbox"/> | Rights and engagement of indigenous people in the project activities will be undertaken based on FPIC, MAT principles | 7. Pollution Prevention and Resource Efficiency | <input type="checkbox"/> | |
| Check all that apply | | Comments | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Principle 1: Human Rights | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Principle 2: Gender Equality and Women's Empowerment | <input checked="" type="checkbox"/> | Gender equality principles will be essential to the project success | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 1. Biodiversity Conservation and Natural Resource Management | <input checked="" type="checkbox"/> | Sustainable use of biodiversity will be ensured through the project | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2. Climate Change Mitigation and Adaptation | <input type="checkbox"/> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 3. Community Health, Safety and Working Conditions | <input type="checkbox"/> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 4. Cultural Heritage | <input checked="" type="checkbox"/> | Rights and engagement of indigenous people in the project activities will be undertaken based on FPIC, MAT principles | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 5. Displacement and Resettlement | <input type="checkbox"/> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 6. Indigenous Peoples | <input checked="" type="checkbox"/> | Rights and engagement of indigenous people in the project activities will be undertaken based on FPIC, MAT principles | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 7. Pollution Prevention and Resource Efficiency | <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 | | Answer (Yes/No) |
|--|--|--------------------|
| Principles 1: Human Rights | | |
| 1. | Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups? | No |
| 2. | Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? ⁷⁰ | 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. | 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? | No |
| 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 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 |
| 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 | | |

⁷⁰ 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.

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| 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) | Yes |
| 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? | Yes |
| 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 transboundary or global environmental concerns? | No |
| 1.11 | Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i> | No |
| Standard 2: Climate Change Mitigation and Adaptation | | |
| 2.1 | Will the proposed Project result in significant ⁷¹ 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 |

⁷¹ 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.]

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| 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 | | |
| 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? ⁷² | 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 |

⁷² 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.

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| 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? | Yes |
| 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? | Yes |
| Standard 7: Pollution Prevention and Resource Efficiency | | |
| 7.1 | Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts? | No |
| 7.2 | Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)? | No |
| 7.3 | Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs? <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i> | No |
| 7.4 | Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health? | No |
| 7.5 | Does the Project include activities that require significant consumption of raw materials, energy, and/or water? | No |

24. Uruguay

Project Information

| Project Information | |
|-------------------------------------|---|
| 1. Project Title | Strengthening human resources, legal frameworks and institutional capacities to implement the Nagoya Protocol |
| 2. Project Number | PIMS 5381 |
| 3. Location (Global/Region/Country) | Global/Uruguay |

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 aims to support the capacity building of the governmental and other stakeholders to allow the country to meet its obligations under the Nagoya Protocol. The Project will work with local communities in the collection and research and development on genetic resources located in two regions of the Country. Training, capacity building, employment, information sharing, among other benefits, will be shared between the research institutions and the local people contributing both towards the creation of local capacities to manage and use biodiversity in a sustainable manner and to reaffirm the local values and visions on the role of biodiversity for sustainable development. In this regard, the project will help to put into practice the principles of the ABS Frameworks that safeguard people's rights and respects their democratic right to full and effective participation in ABS transactions. The project in both its design and intended objectives thus mainstreams a human rights based approach.

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

It is expected that women in the regions where the pilot will take place will be proactively engaged and involved in project-related activities. The project is therefore in line with the provisions Nagoya Protocol which recognizes the "vital role that women play in access and benefit-sharing and affirming the need for the full participation of women at all levels of policy-making and implementation for biodiversity conservation." In the implementation of the ABS pilot/partnership, specific attention will be paid on ensuring the active participation of women as well as in the implementation of capacity building and awareness-raising activities ensuring that women are beneficiaries of the project outcomes.

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

The Project recognizes the economic potential of biodiversity in socio-economic development and has a strategy to develop and implement policies for conservation and sustainable use of biological resources. To achieve these objectives, it also recognizes the need to establish conditions which facilitate the creation and development of linkage between stakeholders based on the sustainable use of biodiversity, particularly the use of biological and genetic resources, and of biotechnology, which also ensure the fair and equitable distribution of those benefits derived from the use of those resources between the users and providers of the biodiversity. Sustainable use of genetic resources through the project will have direct socioeconomic benefits for the national economy through an improved control over the benefits accruing from the use and commercialization of genetic resources. This will have a positive impact on the national economy and will help to drive innovation. In this regard, the project will create incentives to conserve and sustainably use genetic resources, and therefore enhances the contribution of biodiversity to development and human well-being. The sharing of benefits will in thus create further incentives for the conservation and sustainable use of genetic resources.

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)? |
|--|---|---|---|--|
| <i>Risk Description</i> | <i>Impact and Probability (1-5)</i> | <i>Significance (Low, Moderate, High)</i> | <i>Comments</i> | <i>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.</i> |
| Risk 1: Local Community grievances | I=3 P=1 | Low | Local community will be engaged in the project on issues related to TK, genetic resources use. | The project will conduct duly informed community consultations and engagement to address concerns and grievances. |
| Risk 2: Local communities or individuals, concerns related human rights regarding | I=3 P=1 | Low | The project in both its design and intended objectives thus mainstreams a human rights based approach. | The project will help put in place principled and transparent ABS frameworks that safeguard people's rights and respects their democratic right to full and effective participation in ABS transactions. |
| Risk 3: Utilization of genetic resources | I = 3 P = 1 | Low | The project will focus on the sustainable use of GR | Provisions for sustainable use and conservation of genetic resources is at the core of the project design and will be pursued through implementation |
| Risk 4: Illegal utilization and/or commercialization of biological and genetic resources on lands and territories claimed by indigenous people | I = 3 P = 2 | Moderate | The project will promote biodiscovery efforts that may include areas with presence of indigenous peoples and/or lands and territories claimed by indigenous peoples | The project will be implemented considering national policies and rights of indigenous peoples regarding their traditional lands and use of natural resources. |
| | QUESTION4: What is the overall Project risk categorization? | | | |
| | Select one (see SESP for guidance) | | | Comments |
| | <i>Low Risk</i> | <input checked="" type="checkbox"/> | | The project has incorporated the potential risks and mitigation measures in its design |
| | <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> | ✓ | The project in both its design and intended objectives thus mainstreams a human rights based approach. |
| | <i>Principle 2: Gender Equality and Women's Empowerment</i> | ✓ | Gender equality principles will be essential to the project success |
| | <i>1. Biodiversity Conservation and Natural Resource Management</i> | ✓ | Sustainable use of biodiversity will be ensured through the project |
| | <i>2. Climate Change Mitigation and Adaptation</i> | <input type="checkbox"/> | |
| | <i>3. Community Health, Safety and Working Conditions</i> | <input type="checkbox"/> | |
| | <i>4. Cultural Heritage</i> | <input type="checkbox"/> | |
| | <i>5. Displacement and Resettlement</i> | <input type="checkbox"/> | |
| | <i>6. Indigenous Peoples</i> | ✓ | The project will contribute to strengthening the capacity of indigenous peoples regarding ABS and the Nagoya Protocol, including the negotiation of ABS agreements, obtaining PIC, establishing MAT, and the sharing of benefits, and to ensuring that their rights and traditional livelihoods continue to be respected. |
| | <i>7. Pollution Prevention and Resource Efficiency</i> | <input type="checkbox"/> | |

Final Sign Off

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

SESP Attachment 1. Social and Environmental Risk Screening Checklist

| Checklist Potential Social and Environmental Risks | |
|---|-----------------|
| 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? ⁷³ | 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. 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? | No |
| 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? | Yes |
| 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 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 |
| 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 | |

⁷³ 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.

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| 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? | No |
| 1.3 | Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5) | No |
| 1.4 | Would Project activities pose risks to endangered species? | No |
| 1.5 | Would the Project pose a risk of introducing invasive alien species? | No |
| 1.6 | Does the Project involve harvesting of natural forests, plantation development, or reforestation? | No |
| 1.7 | Does the Project involve the production and/or harvesting of fish populations or other aquatic species? | No |
| 1.8 | Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i> | No |
| 1.9 | Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development) | Yes |
| 1.10 | Would the Project generate potential adverse transboundary or global environmental concerns? | No |
| 1.11 | Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i> | No |
| Standard 2: Climate Change Mitigation and Adaptation | | |
| 2.1 | Will the proposed Project result in significant ⁷⁴ 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 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 |

⁷⁴In 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.]

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| 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 | | |
| 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? ⁷⁵ | No |
| 5.4 | Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources? | No |
| Standard 6: Indigenous Peoples | | |
| 6.1 | Are indigenous peoples present in the Project area (including Project area of influence)? | Yes |
| 6.2 | Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples? | Yes |
| 6.3 | Would the proposed Project potentially affect the rights, lands and territories of indigenous peoples (regardless of whether Indigenous Peoples possess the legal titles to such areas)? | Yes |

⁷⁵ 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.

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| 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? | Yes |
| 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 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 |