

Annex E (part A): Social and Environmental Screening Template

The completed template, which constitutes the Social and Environmental Screening Report, must be included as an annex to the Project Document. Please refer to the [Social and Environmental Screening Procedure](#) for guidance on how to answer the 6 questions.]

Project Information

Project Information	
1. Project Title	Enhancing conservation of globally significant biodiversity through PA system strengthening in Gansu (China's Protected Areas System Reform – Child Project #2 (CPAR2))
2. Project Number	5689
3. Location (Global/Region/Country)	People's Republic of China

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 focuses on individual rights to a functional natural environment. Integrating biodiversity conservation and ecological issues into government and sectoral planning and increasing the effectiveness of protected areas in the West Qinling Mountains – Minshan Mountains Landscape will promote resilience and a functional natural environment across these critical ecosystems. At the site level, component 2 of the project will provide community livelihoods support and conservation incentives (such as eco-tourism and Sustainable Non-Timber Forest Product (NTFP) collection) to increase community participation and inclusion in conservation and diversify incomes for vulnerable people. It will also establish community co-management agreements to foster collaborative conservation management and sustainable livelihoods within the targeted nature reserves. The project will also implement measures to reduce human-wildlife conflicts in the target landscape, including improvement and piloting of an eco-compensation scheme to help mitigate socio-economic impacts on local livelihoods. This component will also provide training to PA managers and staff to support effective community engagement, with special attention to vulnerable and marginalized groups within the target landscape. During the PPG, the project stakeholders at the local and provincial levels have been widely consulted during the design of project interventions that are inclusive and sustainable.

As the project supports the extension of Yuhe NR to include a corridor area that will form part of the new Giant Panda National Park, residents in this area will be affected by the formation of the corridor including restrictions on economic activities and use of natural resources. Secondly, the Gansu Project also seeks to extend the area of Chagangliang NR, connecting two currently separate blocks of forested land by the inclusion of intervening land that is largely under forestry land use. Similar concerns regarding the rights of current users of this land will be addressed by the project as these government plans develop. Thirdly, the Gansu Project plans to demonstrate the establishment and operation of two forested ecological corridors in Liangdang and Hezheng Counties. As there is no definition of ecological corridors in the Chinese administrative and legal systems at present, the potential impacts of these pilot corridors are not clear at present. However,

based on experience in other countries, such corridors are likely to impose some restrictions on development in order to prevent the fragmentation of existing forested lands (e.g. associated with development of infrastructure, industry and urban centres) and certain land uses that would conflict with the objectives of the corridors in allowing the free movement of wildlife (especially certain targeted globally threatened and endemic species). As far as possible, conflicts with existing land users and owners would be avoided during the design of the corridors through adequate consultation and consideration of alternatives, with further options for mitigation considered in the development of the management regime for the Ecological Corridor system.

While the transboundary (with Qinghai province) Qilian Mountains National Park (NP), approved as an NP pilot in June 2017, is part of the NP system pilot implementation currently being led by the National Development and Reform Commission (NDRC), and is well covered by CPAR 3 project in Qinghai, its area in Gansu Province lies outside the project demonstration landscape, and GEF project support will be limited to provincial level TA for the National Park administration covering both the Giant Panda NP and the Qilian Mountains NP, limited capacity development and planning for snow leopard conservation led by WWF and GFD.

The overall implementation plan for the NP system that was released in September 2017 indicates that local communities situated within key conservation zones will be gradually resettled and collectively held land normatively transferred through leasing, land exchange, and other approaches. The C-PAR programme is well positioned to assist the governmental partners in implementing these envisaged actions according to human rights related standards and practices according to national and international laws, through participatory community consultations, demonstration of collaborative management arrangements that involve local communities in the management of the protected areas, and development of sustainable alternative livelihood opportunities.

An environmental and social management framework (ESMF) has been developed during the project preparation phase for four CPAR projects including this project. An environmental and social impact assessment (ESIA) will be carried out during project inception to further evaluate potential impacts associated with the project activities, and management measures will be built into an environmental and social management plan (ESMP) to guide the implementation processes. These measures seek to provide an adequate response to the management of these risks in line with UNDP policy. A project-level GRM will be developed as part of this process.

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

This project is a child project under the China's Protected Area System Reform (C-PAR) Program of the Chinese Government. In order to achieve gender mainstreaming in the program, as the Program coordinating agency, UNDP included a gender specialist in the PPG team to ensure full accounting of the different perspectives, priorities and socio-economic realities that women and men face. See **Annex G** of the Project Document for the gender analysis and action plan.

Program design pertaining to systemic and institutional strengthening and capacity building has ensured that targeted trainees will include both sexes and institutional development will mainstream gender in the institutional system and decision-making mechanisms. At the site level, the program has carefully examined the local conditions pertaining to local livelihoods, resource use and land tenure and management systems, and factors affecting the livelihoods of women and men in relevant communities. Consultation sessions have been held to obtain views and inputs of a wide range of local stakeholders at the demonstration landscape sites to develop project plans including a robust stakeholder involvement plan with full gender considerations. Gender disaggregated targets and baselines have been established as part of the project monitoring plan. At the site level, the capacity development of staff and those involved with protected area management or natural resource extraction will focus on equitable distribution of this training.

Efforts will be made to ensure that gender-specific targets are built into community involvement programs and activities and training activities in accordance with the gender mainstreaming plan. Eco-compensation mechanisms will be applied to reward local communities for environmental contributions and any loss of access to traditional resources. Agreements with local communities will include greater sharing of benefits from eco-tourism revenues and eco-compensation payments.

The project results framework contains measurable indicators related to gender equality and women's empowerment; an ATLAS gender marker of 2 has been applied to the project. For example, a target of 40% women representation among direct project beneficiaries has been applied in the project design, e.g., local co-management committees should have at least 40% women members. Sustainable alternative livelihoods will be developed that facilitate equitable participation by women, and attention will be given towards reduction of workloads for "left-behind"* women especially. Gender and social inclusion training will be mandatory for project implementation staff and service providers, and resources have been allocated to monitor and evaluate socioeconomic benefits as part of the programme environmental and social management plan (ESMP), which will be developed during project inception after the ESIA is complete. Moreover, knowledge products will be developed and disseminated according to the literacy and cultural circumstances of the local project communities, to ensure equitable gender and social inclusion.

As the program coordinating agency, UNDP will ensure that the projects under the CPAR program will have active participation of men and women, considering the different perspectives, priorities and socio-economic realities that women and men face. Specific gender roles have been integrated into the project and program level implementation arrangements, including but not limited to the following:

- a. The Project Manager will appoint a gender focal point in the PMO who will implement and monitor the project level gender action plan (**Annex G**) and support project focal points at PA Administration and site levels to mainstream gender into all project activities.
- b. Project-recruited gender experts will support the project with gender training, monitoring & evaluation of site activities, and consultations with local communities.
- c. The gender mainstreaming objectives for the project will be championed and monitored by the project-recruited gender experts and the project gender focal points, with back-up from the UNDP country office gender experts.

**Women in households whose men have out-migrated for labour elsewhere, leaving them to cover family care, domestic chores, and agricultural and other work single-handedly*

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

The project focuses on the conservation of globally significant biodiversity in Gansu province, through three project components. Component 1 will strengthen the safeguard and enforcement framework (including legislation, policies and enforcement system, and mainstreaming into the 14th Five-year Plan) in place for protection of endangered species and Key Biodiversity Areas (KBAs), and Component 2 will strengthen the protected area network in West Qinling Mountains – Minshan Mountains Landscape and reduce threats to habitats and species. Component 3 supports knowledge management, monitoring and evaluation and gender mainstreaming across the whole project, enabling its results to be shared, replicated and upscaled. The project is also designed to strengthen the environmental management capacities of the GFD, PA management agencies, other provincial sectors, local governments, the civil society, and community groups.

Consistent with the overarching C-PAR program, this projects is closely aligned with the ecological conservation objectives outlined in the 13th Five-Year Plan for Economic and Social Development of the People's Republic of China (2016-2020), which further mainstreams the principle of eco-civilization into the socioeconomic development priorities for the country; the National Biodiversity Strategy and Action Plan (NBSAP) for 2011-2030; the Aichi targets under the UN Convention on Biological Diversity; and the UN Development Assistance Framework (UNDAF) for China, specifically Priority Area No. 2: "Improved and Sustainable Environment", Outcome 2: "More people enjoy a cleaner, healthier and safer environment as a result of improved environmental protection and sustainable green growth". The project also contributes towards achievement of the UN Sustainable Development Goals for China, specifically Goal 15: "Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss".

The 13th National Five-year Plan (2016-2020) urges stronger environmental protection, movement towards the development of an ‘ecological civilization’ and a ‘Beautiful China’ and deepened reforms for ecological protection and redlining (prioritization of ecological function zones). Further very recent advances have included the release of the National Master Plan for the National Park System on 26 September 2017 and President Xi Jinping’s powerful statement at the 19th CPCC in October 2017 that marks the way for PA system reform and development of biodiversity networks to preserve habitats and biodiversity. The project will assist Gansu Province to upgrade its environmental legislative and planning frameworks in line with these very rapid advances in national policy, and to demonstrate the application of new concepts for reformed PA management and introduction of ecological corridors. It will therefore contribute directly towards reducing major drivers for biodiversity loss of habitat loss, degradation and fragmentation, and direct threats to globally threatened species associated with human wildlife conflict and the isolation of subpopulations, reducing related extinction risks. In addition, the project will seek to support greater inclusiveness of local communities in nature reserve management and the enhancement of the sustainability of local livelihoods such that greater local support can be secured for nature conservation. Thus, in line with the project’s biodiversity conservation objectives, its environmental impacts are expected to be overwhelmingly positive. Overall, the project will assist China to meet its commitments under the Convention on Biological Diversity, with the opportunity to showcase initial project achievements during CBD COP15 which is to be hosted by China in 2020.

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). If no risks have been identified in Attachment 1 then note “No Risks Identified” and skip to Question 4 and Select “Low Risk”. Questions 5 and 6 not required for Low Risk Projects.</i>	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 communities (including ethnic minorities) living in key conservation zones of NP pilots could be gradually resettled. Voluntary resettlement is proposed in the zoning plan for Giant Panda NP pilot. <i>SESP Principle 3: Environmental Sustainability Standard 5: Displacement and Resettlement, question 1. Would the Project potentially involve</i>	I = 4 P = 4	High	The implementation plan for the national park (NP) system issued by the government in September 2017 notes that in key conservation zones resettlement of local communities would support the full achievement of	During the project preparation phase, consultations with local communities, local government and provincial government agencies, and civil society representatives have contributed to the design of project activities focussed on participatory planning and management of natural resources in the West Qinling – Minshan Mountains landscape.

<p><i>temporary or permanent and full or partial physical displacement?</i></p> <p><i>SESP Principle 3: Environmental Sustainability Standard 5: Displacement and Resettlement, question 4. Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?</i></p> <p><i>SESP Principle 3: Environmental Sustainability Standard 6: Indigenous Peoples, question 6. Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)?</i></p>			<p>conservation objectives. The plan notes that any such resettlement would be gradual and in full solicitation with owners and users, i.e. the intent is that resettlement would be voluntary in nature. Collectively held land would in turn be normatively transferred through leasing, land exchange, and other approaches, again based on full solicitation with owners and users. The implementation of the Overall Plan will be supported by more detailed master planning for individual NP sites. The Giant Panda National Park pilot in Sichuan, Shaanxi and Gansu provinces will cover some 56,690 ha in Gansu and be implemented from 2017-2020. The latest estimate of the number of residents that will be offered resettlement is 651 for Wudu District (Yuhe NR). Of the 651 residents, 458 are in the NP core zone and 193 in the ecological restoration zone. The resettlement is voluntary and those residents that choose to stay will be provided with assistance from the government in finding compatible livelihoods locally. The government is currently finalizing its targeted plan for resettlement in the Gansu component of the Giant Panda NP, which will be submitted to the provincial government for approval.</p>	<p>Community livelihood and engagement activities have been included within the project. Indicative community level activities for the CPAR2 project include the development of co-management agreements with the respective NRs, support for sustainable livelihood activities, engagement of local people in NR management and awareness campaigns. These activities will have a positive impact in reinforcing the inherent linkages between local communities and conservation objectives, thus reducing the need for displacement and voluntary resettlement.</p> <p>Moreover, an environmental and social management framework (ESMF) has been prepared during the PPG phase. In accordance with the ESMF an environmental and social impact assessment (ESIA) will be carried out at project inception to assess this and all other environmental and social risks, followed by a subsequent environmental and social management plan (ESMP).</p> <p>Further information regarding the approved national park, including the master plan and the draft government voluntary resettlement plan, are expected to be available at project inception. The ESIA process will draw upon this information to assess the associated impacts, and to inform the specific management measures outlined in the ensuing ESMP.</p> <p>GEF funds will not be used for resettlement. Resettlement will be voluntary in nature and conducted by and financed by the government of China. Involuntary resettlement is not planned under the ongoing establishment of the NP system in China and will not be supported by this project.</p>
---	--	--	--	--

			Tibetan communities are predominant in Gannan Prefecture, and Hui and Dongxiang ethnic minorities are present in Hezheng county, and are likely to feel these impacts (see risk 3).	
<p>Risk 2: Communities in the project area (including ethnic minorities) could face economic displacement, changes to land rights and/or restricted access to resources because of the expansion of the NP and PA system, stronger PA controls and creation of ecological corridor areas. These impacts could impact women differently than men.</p> <p><i>SESP Principle 1: Human Rights, question 3. Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?</i></p> <p><i>SESP Principle 2: Gender Equality and Women's Empowerment Principle 2, question 2. 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></p> <p><i>SESP Principle 3: Environmental Sustainability Standard 5: Displacement and Resettlement, question 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)?</i></p> <p><i>SESP Principle 3: Environmental Sustainability Standard 5: Displacement and Resettlement, question 4. Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?</i></p>	I = 4 P = 4	High	<p>The project design includes establishing 25,000 ha of protected area expansion and ecological corridor land, and, therefore, there is a risk of possible economic displacement, e.g., through the loss of land use rights. Certain land use activities would likely be prohibited as part of the process of transferring collectively held land to the state, but the residents might be allowed to continue to live in their dwellings. Some 651 people within the 5,000ha proposed corridor section of the Giant Panda NP linking Yuhe NR to Baishuijiang NR will be subject to land use restrictions and offered voluntary resettlement (see risk 1). Those that remain will be assisted to transition to sustainable livelihoods that do not conflict with NP management goals (such as community ranger positions).</p> <p>The requirements for the establishment of ecological corridors are unclear at the present time, but are likely to include controls over certain land uses within the corridors.</p>	<p>During the project preparation phase, consultations with local communities, local government and provincial government agencies, and civil society representatives have contributed to the design of project activities focus on participatory planning and management of natural resources in the West Qinling – Minshan Mountains landscape.</p> <p>As noted above, the ESIA process will further address the possible socioeconomic impacts, including those related to land rights, associated with the national park and ecological corridor establishment, and management measures integrated into the project interventions, to ensure that local communities are duly informed and participate in key decisions.</p> <p>The ESIA process will also include additional consultations with local communities regarding the planned project interventions, and management measures (i.e. the ESMP and/or stand-alone management plans) will be integrated into project implementation to ensure socioeconomic impacts are positive and to prevent adverse impacts.</p> <p>The project will work with Yuhe and Chaganliang NRs to raise awareness, provide sustainable livelihood support (eg for community-based tourism) and develop co-management agreements with targeted communities.</p>

<p><i>SESP Principle 3: Environmental Sustainability Standard 6: Indigenous Peoples, question 6. Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)?</i></p>			<p>Local communities around the existing NRs are widely socialized to living and working inside and near conservation areas, while those in proposed PA/EC areas will require more adjustment. The existing four target NRs are managed under sustainable use arrangements, with local communities having access to firewood, grazing lands and NTFPs within the protected areas. The reduction of threats in existing NR lands is likely to reduce firewood collection from natural forests, reduce grazing damage and potentially other local resource uses.</p> <p>Tibetan communities are predominant in Gannan Prefecture, and Hui and Dongxiang ethnic minorities are present in Hezheng county, and are likely to feel these impacts (see risk 3).</p>	
<p>Risk 3: Expansion of existing PAs and development of ecological corridors have the potential to affect the rights, lands and livelihoods (e.g. potential economic displacement, reduced access to resources, resettlement) of ethnic minority populations within and adjacent to the four project demonstration PAs and Hezheng County</p> <p><i>SESP Principle 3: Environmental Sustainability Standard 6: Indigenous Peoples, question 1. Are indigenous peoples present in the Project area (including Project area of influence)?</i></p>	<p>I = 4 P = 4</p>	<p>High</p>	<p>Many of the local rural communities within the West Qinling – Minshan Mountains demonstration landscape are predominantly comprised of ethnic minorities. For example, Tibetan people comprise over 90% of the populations at Duoer, Axia and Chagangliang NRs, while in Hezheng County there are 33% Hui and 24% Dongxiang. Only 2.6% of the population at Yuhe NR are of ethnic minorities. The project aims to extend the area of</p>	<p>Corridors are likely to include activities such as community forestry, managed grazing and collection of NTFPs, which will mitigate potential impacts.</p> <p>During the project preparation phase consultations were made with local communities. Additional consultations will be made as part of the ESIA, during which Free and Prior Informed Consent (FPIC) will be applied as necessary. Then management measures will be developed to ensure effective participation by local Tibetan and other ethnic minority communities. For example, facilitators that speak the local languages will support community engagement, key documents will be prepared in local languages, and communication and knowledge management techniques will be designed consistent with cultural norms and literacy</p>

<p><i>SESP Principle 3: Environmental Sustainability Standard 6: Indigenous Peoples, question 3. Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)?</i></p> <p><i>SESP Principle 3: Environmental Sustainability Standard 6: Indigenous Peoples, question 6. Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?</i></p>			<p>Chagangliang NR, an area with over 90% Tibetan minority population. In addition, the project will support the development of an ecological corridor in Hezheng County where the population consists of 33% Hui and 24% Dongxiang ethnic minorities.</p> <p>Potential impacts on ethnic minorities related to project activities may include: displacement and voluntary resettlement from core zones of new protected area lands (see Risk 1 above), reduced access to lands within existing nature reserves and new corridor areas for grazing, collection of timber, firewood and NTFPs (see Risk 2) – although corridor boundaries have yet to be defined and management plans have yet to be developed. In other countries, corridors may include activities such as community forestry, managed grazing and collection of NTFPs, so this might not have a large impact in practice.</p>	<p>circumstances. These and all other necessary management measures will be detailed in the ESMP and stand-alone management plans for livelihoods, resettlement and/or indigenous peoples as required.</p> <p>Culturally appropriate consultations will be carried out with the objective of achieving agreement and FPIC will be ensured on any matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned. Project activities that may adversely affect the existence, value, use or enjoyment of indigenous lands, resources or territories shall not be conducted unless agreement has been achieved through the FPIC process.</p> <p>GEF funds will not be used for resettlement. Resettlement will be voluntary in nature and conducted by and financed by the government of China. Involuntary resettlement is not planned under the ongoing establishment of the NP system in China and will not be supported by this project.</p>
<p>Risk 4: There are Tibetan and other ethnic minority communities living inside and near the four project demonstration PAs including the proposed Giant Panda NP. The generally low literacy rates and gender disparities among ethnic minority communities do pose a risk that rights-holders do not have the capacity to claim their rights, or that the project may exclude any potentially affected stakeholders, in particular marginalized groups, from fully</p>	<p>I = 3 P = 2</p>	<p>Moderate</p>	<p>Literacy rates among ethnic Tibetan minority communities at the project sites in Gannan Prefecture are considerably lower than average rates in the province. The socioeconomic assessment (Annex U) describes clear adult literacy and gender disparities among Tibetan communities in and around the project demonstration sites.</p>	<p>Consultations during the PPG phase included marginalized communities and have received some support from Tibetan NR staff. Tibetan speaking facilitators are planned to support activities during project implementation at these sites. Knowledge products will be developed according to the literacy and cultural circumstances of the local project communities. Gender and social inclusion training will be mandatory for project implementation staff and service providers.</p>

<p>participating in decisions that may affect them</p> <p><i>SESP Principle 1: Human Rights, question 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?</i></p> <p><i>SESP Principle 1: Human Rights, question 6. Is there a risk that rights-holders do not have the capacity to claim their rights?</i></p> <p><i>SESP Principle 2: Gender Equality and Women's Empowerment Principle 2, question 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?</i></p> <p><i>SESP Standard 6: Indigenous Peoples, question 4. Specific communities and/or villages have been recommended for intervention during the project preparation phase, but FPIC consultations have not been conducted comprehensively.</i></p>			<p>This includes limited ability to speak Mandarin among some older residents. These communication barriers present the risk that rights-holders do not have the capacity to claim their rights. Several communities/villages have been considered for project interventions within and near the NP pilot sites. Proposals for extensions to protected areas and development of ecological corridors are currently still under consideration by the Chinese government, therefore exact requirements for FPIC remain unclear and are dynamic.</p>	<p>Further community consultations will be required during project inception, as part of the ESIA, to ensure that ethnic minority communities are fully consulted and involved in development of all project interventions and plans at the target sites (with application of FPIC throughout). Project activities that may adversely affect the existence, value, use or enjoyment of indigenous lands, resources or territories shall not be conducted unless agreement has been achieved through the FPIC process.</p> <p>The ESMP will provide specific protocols for managing this continued involvement during project implementation, as well as monitoring, evaluation, and reporting, and project budget has been allocated for these purposes.</p>
<p>Risk 5: Project appointed duty-bearers could lack the capacity to implement the project according to UNDP and GEF standards regarding human rights, public participation, gender mainstreaming and attention to social and environmental safeguards.</p> <p><i>SESP Principle 1: Human Rights, question 5. Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?</i></p>	<p>I = 4 P = 2</p>	<p>Moderate</p>	<p>Provincial level duty-bearers generally have higher capacities than representatives at the county and township levels. Furthermore, there is a relatively high level of uncertainty regarding the regulatory and management arrangements of the new national park system, compared to the current arrangements associated with nature reserves. This risk could be a compounding factor for other identified social and gender risks in the project.</p>	<p>A capacity needs assessment of the Gansu Forestry Department (GFD), Bailongjiang Forestry Administration (BFA) and Gansu Endangered Animals Protection Centre (EAPC) was undertaken during the project preparation phase, and trainings are planned during the implementation phase to enhance duty-bearers' capacities. Capacities will be further assessed as part of the ESIA, and specific management measures designed in the ESMP for ensuring that duty-bearers are capacitated to facilitate implementation of the project activities to UNDP and GEF standards and to ensure that project results are sustained after GEF funding ceases. Local staff will be offered training on safeguards, gender and FPIC to build local capacity, and engaged in activities related to gender and social safeguards mainstreaming.</p>

<p>Risk 6: There are large disparities between men and women in the patriarchal culture of most Tibetan communities in and around the project sites that could potentially be reproduced by project activities, limiting engagement and involvement of women in project implementation.</p> <p><i>SESP Principle 2: Gender Equality and Women’s Empowerment Principle 2, question 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?</i></p>	<p>I = 3 P = 2</p>	<p>Moderate</p>	<p>This risk applies for the establishment of new NP, NR and EC lands totaling 25,000 ha. Also, reduction of threats in existing NR lands will reduce firewood collection from natural forests, reduce grazing damage and potentially other local resource uses. In Gansu province over 30% of rural households are led by “left behind” women who are responsible for all tasks as the men are absent, including firewood and water collection, grazing and other agricultural activities. There are large disparities between men and women in the patriarchal culture of most Tibetan communities in and around the project sites, and income generating potential within rural communities in China in general is lower for women than for men.</p>	<p>A gender analysis and action plan was completed during the PPG phase and will guide proactive women’s empowerment efforts during implementation (Annex G). Please see this plan for further detail of specific project gender mainstreaming actions and targets.</p> <p>The ESIA completed in accordance with the ESMF will also look at gender angles, including how gender intersects with the multiple risks in this SESP. The gender mainstreaming plan will be updated as required after the completion of the ESIA. Gender mainstreaming actions will also be incorporated into the ESMP as required.</p>
<p>Risk 7: Project activities will occur within/adjacent to environmentally sensitive areas, posing potential risk to sensitive habitats and species if not designed and undertaken appropriately.</p> <p><i>SESP Principle 3: Environmental Sustainability Standard 1: Biodiversity Conservation and Natural Resource Management, question 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?</i></p>	<p>I = 2 P = 1</p>	<p>Low</p>	<p>The objective of the project is to strengthen the effectiveness of the PA system in Gansu Province and specifically within the West Qinling Mountains-Minshan Mountains landscape, and this will be achieved through establishing new protected areas and ecological corridors and improving land use practices within and around existing reserves. The project aims to support improved protection and management of protected areas and critical habitats of</p>	



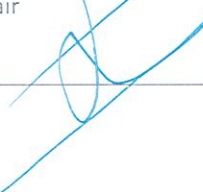
			endangered species and therefore will have an overall positive impact. This is a biodiversity project and the risk of damage/disruption to sensitive habitats is very low.	
<p>Risk 8: At the site level, the project will involve some species reintroductions (supported by co-financing), restoration of degraded habitats and reforestation to support the integrity of ecological corridors, which could pose an environmental risk if not designed and undertaken appropriately</p> <p><i>SESP Principle 3: Environmental Sustainability Standard 1: Biodiversity Conservation and Natural Resource Management, question 6. Does the Project involve harvesting of natural forests, plantation development, or reforestation?</i></p> <p><i>SESP Principle 3: Environmental Sustainability Standard 1: Biodiversity Conservation and Natural Resource Management, question 4. Would Project activities pose risks to endangered species?</i></p>	<p>I = 2 P = 1</p>	<p>Low</p>	<p>The project seeks to sustain and improved the integrity of habitat for globally threatened species through developing the PA and ecological corridor network. This will involve managing, rehabilitating and restoring habitats in and around protected areas, and targeted reintroduction of threatened species in others. The proposed ecological corridor areas in Hezheng and Liangdang Counties are under the management of the County Forest Bureaus, with the aim of providing landscape connectivity associated with existing nature reserves. In addition, the new Giant Panda NP will include a new corridor area adjacent to Yuhe NR that will require forest habitat restoration work. The project will support the rehabilitation of natural forests in these areas, and reforestation where such forests have been cleared using native plant species. These activities have been carefully scoped using the PPG and will be implemented with specialist biodiversity expertise. Technical expertise will be provided to support species reintroductions, such as guiding and building</p>	

			<p>capacity for the reintroduction, habitat protection and conservation management of the Przewalski's horse (EN), Bactrian camel (CR) and saiga antelope (CR). The project will provide training and information on international standards and guidelines for species reintroduction processes such as the IUCN Guidelines to Reintroduction and Other Conservation Translocations (http://www.iucn-whsg.org/node/1471). The risk of perverse environmental impacts, e.g. through inappropriate species selection, failed reintroductions, is considered very low.</p>	
<p>Risk 9: Climate change has the potential to impact the NP and PA system in Gansu, e.g., through habitat loss because of prolonged droughts or from devastating floods, impacting project outcomes in the longer-term.</p> <p><i>SESP Principle 3: Environmental Sustainability Standard 2: Climate Change Mitigation and Adaptation, question 2. Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?</i></p>	<p>I = 2 P = 3</p>	<p>Moderate</p>	<p>Climate change trends have been documented for the project area and have the potential to impact habitats and species populations in the long term, and therefore may affect the intended outcome of achieving increased or stable populations of indicator species - well after the project has been completed. Recent monitoring has indicated a range extension to the north of the Bailongjiang River for the Giant Panda and use of habitats at higher elevations. The impacts of climate change are highly uncertain, and it is therefore necessary to develop adaptation plans informed through climate responsive monitoring feedback.</p>	<p>The project design includes climate change vulnerability assessment for key species and habitats to inform planning for the Gansu PA sub-system and ecological corridor network development. These plans will address the need to increase connectivity of critical ecosystems and other climate adaptive actions. In addition, improved land use practices and ecological stewardship will provide strengthened ecosystem-based adaptation that will benefit the resilience of local communities and wildlife to cope with the forecasted impacts of climate change.</p> <p>The ESIA will further assess these aspects and specific management measures incorporated into the ESMP, as a guide for ensuring that sufficient checks and balances are in place to integrate climate change adaptation into the project and to bolster the enabling conditions for achieving sustainability of project results after GEF funding ceases.</p>

<p>Risk 10: The project demonstration area is vulnerable to natural disasters, which could restrict the project's success and long-term outcomes.</p> <p><i>SESP Principle 3: Environmental Sustainability Standard 3: Community Health, Safety and Working Conditions, question 5. Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?</i></p>	<p>I = 3 P = 2</p>	<p>Moderate</p>	<p>Changliang NR Office was seriously impacted by a huge debris flow in Zhouqu county on 8th August 2010, resulting in damage to property and loss of monitoring data. The risk of similar occurrences exists.</p>	<p>This risk will be considered by the ESIA and management measures detailed in the ESMP as required.</p> <p>The project interventions aim to increase the overall resilience of PA management in the demonstration landscape area. This includes increased financial resources and sustainability for PA management and improved monitoring and information management systems that include off-site data storage (eg cloud storage) – these project activities will help prevent some of the potential negative impacts associated with natural disasters, such as loss of ecological monitoring data that occurred in 2010.</p>
<p>QUESTION 4: What is the overall Project risk categorization?</p>				
<p>Select one (see SESP for guidance)</p>				
<p>Comments</p>				
<p style="text-align: right;"><i>Low Risk</i> <input type="checkbox"/></p>				
<p style="text-align: right;"><i>Moderate Risk</i> <input type="checkbox"/></p>				
<p style="text-align: right;"><i>High Risk</i> <input checked="" type="checkbox"/></p> <p>10 risks have been identified, of which their overall impact and probability have been assessed as High (3 risks), Moderate (5 risks), and Low (2 risks). The risks with High rating relate to the voluntary resettlement (Risk 2) and economic displacement (Risk 1) of communities from project sites – both risks are expected to apply to ethnic minorities (Risk 3).</p> <p>It is considered that the remaining project activities with low – moderate potential adverse social risks are limited in scale, can be identified with a reasonable degree of certainty, and can be addressed through application of standard best practice, mitigation measures and stakeholder engagement during project implementation – measures of which are captured in the project design (i.e. ProDoc and its annexes).</p> <p>In line with UNDP's SES, an environmental and social management framework (ESMF) has been developed during the project preparation phase (see Annex E). Resources have been allocated in the project budget for implementation of the ESMF via carrying out an environmental and social impact assessment (ESIA), with an ESIA report – developing specific management measures that will be incorporated into an environmental and social management plan (ESMP).</p>				

		<p>Consistent with the overall C-PAR program, the project will implement other safeguard plans, including but not limited to the following:</p> <ul style="list-style-type: none"> • Implementation of the project gender action plan (Annex G) in capacity building, livelihoods, and other activities to ensure gender equity and women’s empowerment. • Implementation of a stakeholder engagement plan (Annex F) that identifies the roles and responsibilities of implementing partners, beneficiaries, enabling stakeholders, and others. • Implementation of a grievance and accountability mechanism that will allow local communities and other stakeholders to raise concerns and grievances, and facilitate follow-up corrective action responses (the GRM will be detailed in the ESMP). <p>Standard M&E and adaptive management procedures will be applied during project implementation. And, the independent Mid-term Review and Terminal Evaluation will assess whether appropriate risk mitigation measures have been taken, and how the ESMP has been implemented.</p>																														
	<p>QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?</p> <p>Check all that apply</p> <table border="1"> <thead> <tr> <th data-bbox="734 1027 1296 1059"></th> <th data-bbox="1296 1027 1368 1059"></th> <th data-bbox="1368 1027 1982 1059">Comments</th> </tr> </thead> <tbody> <tr> <td data-bbox="734 1059 1296 1091">Principle 1: Human Rights</td> <td data-bbox="1296 1059 1368 1091"><input checked="" type="checkbox"/></td> <td data-bbox="1368 1059 1982 1091">See Risks 2, 4, 5</td> </tr> <tr> <td data-bbox="734 1091 1296 1123">Principle 2: Gender Equality and Women’s Empowerment</td> <td data-bbox="1296 1091 1368 1123"><input checked="" type="checkbox"/></td> <td data-bbox="1368 1091 1982 1123">See Risks 2, 4, 6</td> </tr> <tr> <td data-bbox="734 1123 1296 1155">1. Biodiversity Conservation and Natural Resource Management</td> <td data-bbox="1296 1123 1368 1155"><input type="checkbox"/></td> <td data-bbox="1368 1123 1982 1155"></td> </tr> <tr> <td data-bbox="734 1155 1296 1187">2. Climate Change Mitigation and Adaptation</td> <td data-bbox="1296 1155 1368 1187"><input checked="" type="checkbox"/></td> <td data-bbox="1368 1155 1982 1187">See Risk 9</td> </tr> <tr> <td data-bbox="734 1187 1296 1219">3. Community Health, Safety and Working Conditions</td> <td data-bbox="1296 1187 1368 1219"><input checked="" type="checkbox"/></td> <td data-bbox="1368 1187 1982 1219">See Risk 10</td> </tr> <tr> <td data-bbox="734 1219 1296 1251">4. Cultural Heritage</td> <td data-bbox="1296 1219 1368 1251"><input type="checkbox"/></td> <td data-bbox="1368 1219 1982 1251"></td> </tr> <tr> <td data-bbox="734 1251 1296 1283">5. Displacement and Resettlement</td> <td data-bbox="1296 1251 1368 1283"><input checked="" type="checkbox"/></td> <td data-bbox="1368 1251 1982 1283">See Risks 1, 2, 3</td> </tr> <tr> <td data-bbox="734 1283 1296 1315">6. Indigenous Peoples</td> <td data-bbox="1296 1283 1368 1315"><input checked="" type="checkbox"/></td> <td data-bbox="1368 1283 1982 1315">See Risks 1, 2, 3, 4</td> </tr> <tr> <td data-bbox="734 1315 1296 1347">7. Pollution Prevention and Resource Efficiency</td> <td data-bbox="1296 1315 1368 1347"><input type="checkbox"/></td> <td data-bbox="1368 1315 1982 1347"></td> </tr> </tbody> </table>			Comments	Principle 1: Human Rights	<input checked="" type="checkbox"/>	See Risks 2, 4, 5	Principle 2: Gender Equality and Women’s Empowerment	<input checked="" type="checkbox"/>	See Risks 2, 4, 6	1. Biodiversity Conservation and Natural Resource Management	<input type="checkbox"/>		2. Climate Change Mitigation and Adaptation	<input checked="" type="checkbox"/>	See Risk 9	3. Community Health, Safety and Working Conditions	<input checked="" type="checkbox"/>	See Risk 10	4. Cultural Heritage	<input type="checkbox"/>		5. Displacement and Resettlement	<input checked="" type="checkbox"/>	See Risks 1, 2, 3	6. Indigenous Peoples	<input checked="" type="checkbox"/>	See Risks 1, 2, 3, 4	7. Pollution Prevention and Resource Efficiency	<input type="checkbox"/>		
		Comments																														
Principle 1: Human Rights	<input checked="" type="checkbox"/>	See Risks 2, 4, 5																														
Principle 2: Gender Equality and Women’s Empowerment	<input checked="" type="checkbox"/>	See Risks 2, 4, 6																														
1. Biodiversity Conservation and Natural Resource Management	<input type="checkbox"/>																															
2. Climate Change Mitigation and Adaptation	<input checked="" type="checkbox"/>	See Risk 9																														
3. Community Health, Safety and Working Conditions	<input checked="" type="checkbox"/>	See Risk 10																														
4. Cultural Heritage	<input type="checkbox"/>																															
5. Displacement and Resettlement	<input checked="" type="checkbox"/>	See Risks 1, 2, 3																														
6. Indigenous Peoples	<input checked="" type="checkbox"/>	See Risks 1, 2, 3, 4																														
7. Pollution Prevention and Resource Efficiency	<input type="checkbox"/>																															

Final Sign Off

<i>Signature</i>	<i>Date</i>	<i>Description</i>
QA Assessor 	Feb. 1, 2019	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.