# SECTION IV, PART VI: 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*](http://www.undp.org/content/undp/en/home/librarypage/operations1/undp-social-and-environmental-screening-procedure.html) *for guidance on how to answer the 6 questions.]*

**Project Information**

|  |  |
| --- | --- |
| ***Project Information*** |  |
| 1. Project Title | Strengthening the protected area network for migratory bird conservation along the East Asian-Australasian Flyway (EAAF) in China |
| 1. Project Number | PIMS 6110 |
| 1. Location (Global/Region/Country) | 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 will support enhanced protection and management of important wetland sites. These sites provide important resources that support community livelihoods, along with harbouring significant biodiversity including globally significant migratory bird species. The project will engage stakeholders including communities in the better management and use of these important wetland sites to ensure that the benefits of these resources to communities continue into the future. |
| ***Briefly describe in the space below how the Project is likely to improve gender equality and women’s empowerment*** |
| A gender analysis will be conducted during the PPG phase, in accordance with standard UNDP procedure, to identify the differences, needs, roles and priorities of women and men as it relates to wetland conservation, management and resource use along the EAAF. Specific project activities are also proposed to support the engagement of women. The results of the gender analysis conducted during PPG will be integrated into project design to ensure that gender-based differences are built into project activities as appropriate, and gender-disaggregated targets will be developed as indicators of project’s success. |
| ***Briefly describe in the space below how the Project mainstreams environmental sustainability*** |
| There are various threats to China’s coastal wetlands that support migratory bird populations. The project will enhance the management of these areas by local communities, raising their awareness of the need to protect wetlands and the value of migratory birds as indicators of ecosystem health, promote sustainable management of their resources, and improve PA management, financing and management of sites as a network for migratory birds along the EAAF. These activities will support enhanced area of critical wetlands for globally significant migratory birds in the PA network and enhance management effectiveness and support the conservation of numerous significant bird species. |

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

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **QUESTION 2: What are the Potential Social and Environmental Risks?**  *Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “Yes” responses).* | **QUESTION 3: What is the level of significance of the potential social and environmental risks?**  *Note: Respond to Questions 4 and 5 below before proceeding to Question 6* | | | **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: establishment of new wetland PAs or enhanced management of existing PAs could restrict the use of wetland resources in a way that disproportionately disadvantages women*  (Principle 2) | I = 3  P = 2 | **Moderate** | The project will support the establishment of new wetland PAs and strengthen management of existing PAs.  While not yet clear, it is possible that the establishment of these new PAs could bring in place restriction/alteration of existing resource use. These impacts could impact on local community users and there is a chance that these impacts will be felt disproportionately by women. | Full gender analysis to be conducted during the PPG phase along with development of a gender mainstreaming plan to ensure roles and needs of women are considered in the project and that women effectively participate in project activities.  This should consider existing wetland resource use by women and identify any potential disproportionate impacts on women, along with actions to avoid, mitigate and manage these impacts. | |
| *Risk 2: project activities could have adverse impacts on critical habitats for globally significant migratory bird habitats, challenging achievement of project objective*  (Standard 1) | I = 3  P = 1 | **Low** | The project is designed to support enhanced conservation, protection and management of these critical wetland sites. The probability that activities will be perverse and impact negatively on these sites is very low and will be mitigated by best practice review and extensive discussions with stakeholders and experts during the PPG phase. Even if activities were poorly designed/unsuccessful the impact on environment would be likely to be very low and this would be felt through failure to achieve enhanced conservation outcomes rather than adverse impacts *per se*. |  | |
| *Risk 3: climate change impacts could degrade coastal wetland availability and quality and put at risk populations of migratory waterbirds, adversely impacting achievement of project objective*  (Standard 2) | I = 4  P = 2 | **Moderate** | Project activities are aiming to establish new wetland PAs, increase mgt of existing PAs and enhance sustainability of wetland resource use. There is a risk that climate change will degrade coastal wetlands and put at risk populations of important migratory waterbirds, challenging success of project activities and achievement of objective. | Further assessment is required during PPG phase to consider potential climate change impacts and identify ways that project activities can support ecosystem resilience/adaptation including to build a climate-resilient network of wetland PA sites. | |
| *Risk 4: establishment of new wetland PAs/strengthened management of existing PAs could restrict access to and use of wetland resources by local communities, affecting livelihoods. This could include restriction of access/use by disadvantaged/vulnerable groups or by ethnic minorities*  (Standard 5, Principle 1, Standard 6) | I = 3  P = 3 | **Moderate** | The project will support the establishment of new wetland PAs and strengthen management of existing PAs.  There is that chance that such designation and implementation of associated new management plans and rules could restrict/amend current use of resources by communities, including potentially disadvantaged/vulnerable people and/or ethnic minorities (currently only known to be present at one demonstration site: Dashanbao Black-necked Crane National Nature Reserve). | Further assessment is required during PPG phase to identify potential restricted/altered access and use to wetland resources at project sites and which users/user groups might be affected.  If assessment indicates impacts, a livelihood action plan should be prepared for affected sites.  Further assessment during PPG of presence of ethnic minorities at demonstration sites. Preparation of Indigenous Peoples Plan if needed and application of FPIC on any matters that may affect rights and interests, lands, territories, resources, and traditional livelihoods. | |
| *Risk 5: establishment of new wetland PAs/strengthened management of existing PAs could result in/lead to voluntary resettlement, including of ethnic minorities at project sites (if present)*  (Standard 5, Standard 6) | I = 4  P = 2 | **High** | The project will support the establishment of new wetland PAs and strengthen management of existing PAs.  There is a potential risk of government-conducted and financed resettlement as part of this PA strengthening and establishment.  There are no government plans for resettlement at any of the four demonstration sites.  A preliminary list of PA expansion sites has been developed: Dagang (Tianjin Province), Nanpu and Huanghua (Hebei), Rudong (Jiangsu), Dongshan (Fujian), and Dapeng Bay (Guangdong). There is no government resettlement planned at any of these sites. These sites are coastal wetlands with no residents living within them. However, the final decision on PA expansion sites will not be made until the PPG phase and therefore there is some uncertainty in the likelihood of the risk of physical displacement. Reflecting this uncertainty, the probability of the potential risk has been conservatively escalated to a risk rating of High. The high rating has been given on a precautionary basis given the large amount of resettlement taking place in China (including with new PA establishment) and the fast pace with which resettlement plans change. The project will not be directly involved in any resettlement and no GEF funds will be used for settlement.  The risk of physical displacement could apply to ethnic minorities at PA expansion sites although the likelihood of this occurring is currently low. There are not any ethnic minorities at the indicative PA expansion sites that have been identified. Further assessments will be conducted during the PPG phase as part of the process to finalize PA expansion sites. | Further assessment is required early in the PPG phase to confirm new PA sites and identify if any resettlement is proposed by government at project sites, linked to PA establishment and/or linked government initiatives (e.g. poverty alleviation). This will be considered in the determination of project sites.  If assessment indicates potential resettlement, a resettlement plan and ESIA/ESMF (if required) should be prepared.  Project will not directly support resettlement. No GEF funds will be used to support resettlement.  In accordance with the above assessments, PPG phase will also confirm if any indigenous peoples/ethnic minorities are present at project sites. If yes and if impacts could apply to ethnic minorities, development of indigenous peoples plan may be required with application of FPIC on any matters that may affect rights and interests, lands, territories, resources, and traditional livelihoods. | |
| *Risk 6: not all key user groups of wetland resources at project sites are consulted in project design/implementation*  (Principle 1) | I = 2  P = 3 | **Moderate** | The project will be creating new wetland PAs and enhancing management of existing PAs, and supporting sustainable management of wetland resources in a range of wetland, coastal fringing and inshore marine/estuarine environments. These activities could affect current use of these wetland sites by a range of stakeholders that need to be consulted during project design. | Local communities and wetland users to be consulted during PPG phase.  Stakeholder Engagement Plan to be developed during PPG and Annexed to ProDoc. | |
| *Risk 7: project activities to control IAS could fail or be mis-applied, leading to increased spread of IAS in wetlands*  (Standard 1) | I = 2  P = 1 | **Low** | The project will be developing stronger methods for control of high-risk IAS at coastal wetlands. There is the potential that if these are not well-designed or scientifically rigorous that they will fail – or be misapplied by land landholders – leading to increased spread of IAS.  PPG design phase will include IAS specialist to design activities. Project design (and implementation) will be closely coordinated with the UNDP-GEF IAS project to ensure it replicates best practices. Training and capacity building will be provided to PA staff and community members. |  | |
| *Risk 8: sustainable fishing activities and certification could fail or lead to perverse incentives that put extra pressure on marine, coastal and wetland resources*  (Standard 1) | I = 2  P = 1 | **Low** | Project will encourage the uptake of sustainable fishing, aquaculture and mariculture practices along Eastern Coast of China. There is a chance that these could fail or be mis-applied leading to extra pressure on fish populations. The likelihood of this happening is very low. Project activities will be designed with specialist input during PPG phase and link to international certification schemes such as MSC. Training and capacity development will be provided to fishing communities and alternative livelihood support will be provided by the project where overall fishing pressure is too high. |  | |
|  | **QUESTION 4: What is the overall Project risk categorization?** | | | | |
| **Select one (see** [**SESP**](http://www.undp.org/content/undp/en/home/librarypage/operations1/undp-social-and-environmental-screening-procedure.html) **for guidance)** | | | **Comments** | |
| ***Low Risk*** | | | **☐** |  |
| ***Moderate Risk*** | | | **☐** |  |
| ***High Risk*** | | | **X**  **x** | **Eight *potential* risks are identified at pre-screening stage, one of which is assessed as HIGH, four as MODERATE and three as LOW. Further assessment of risks is required during PPG to confirm the UNDP SESP requirements that apply. Depending on PPG revised assessments of risks, detailed assessments and management plans could be needed. ESIA/ESMF may be required if there are any indications of government-conducted resettlement at project sites. This will be determined during PPG phase.** |
|  | **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*** | | |  |  |
| ***1. Biodiversity Conservation and Natural Resource Management*** | | |  |  |
| ***2. Climate Change Mitigation and Adaptation*** | | |  |  |
| ***3. Community Health, Safety and Working Conditions*** | | | **☐** |  |
| ***4. Cultural Heritage*** | | | **☐** |  |
| ***5. Displacement and Resettlement*** | | |  |  |
| ***6. Indigenous Peoples*** | | |  |  |
| ***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** |  |
| **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? | N |
| 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]](#footnote-1) | N |
| 3. Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups? | Y – there is the potential that new PAs could restrict use of wetland resources |
| 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? | Y – there is the chance that not all wetland user groups will be consulted and engaged in design of project activities |
| 5. Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project? | N |
| 6. Is there a risk that rights-holders do not have the capacity to claim their rights? | N |
| 7. Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process? | N |
| 8. Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals? | N |
| **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? | N |
| 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? | N |
| 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? | N |
| 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?  *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* | Y – there is the potential that new PAs could restrict use of wetland resources, including use by women |
| **Principle 3: Environmental Sustainability:** Screeningquestions regarding environmental risks are encompassed by the specific Standard-related questions below |  |
|  |  |
| **Standard 1: Biodiversity Conservation and Sustainable** [**Natural**](#SustNatResManGlossary) **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?  *For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes* | N |
| 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? | Y – project activities will take place in existing PAs and areas to be established as new PAs |
| 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) | Y – there is the potential that new PAs could restrict use of wetland resources which could impact on livelihoods (see Standard 5) |
| 1.4 Would Project activities pose risks to endangered species? | N |
| 1.5 Would the Project pose a risk of introducing invasive alien species? | Y – project will include activities to control IAS, that if fail, could result in increased IAS risk |
| 1.6 Does the Project involve harvesting of natural forests, plantation development, or reforestation? | N |
| 1.7 Does the Project involve the production and/or harvesting of fish populations or other aquatic species? | Y – project will support sustainable use of coastal wetland resources including fishing |
| 1.8 Does the Project involve significant extraction, diversion or containment of surface or ground water?  *For example, construction of dams, reservoirs, river basin developments, groundwater extraction* | N |
| 1.9 Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development) | N |
| 1.10 Would the Project generate potential adverse transboundary or global environmental concerns? | N |
| 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?  *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.* | N |
| **Standard 2: Climate Change Mitigation and Adaptation** |  |
| 2.1 Will the proposed Project result in significant[[2]](#footnote-2) greenhouse gas emissions or may exacerbate climate change? | N |
| 2.2 Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change? | Y – climate change will be a threat to coastal habitats and wetlands |
| 2.3 Is the proposed Project likely to directly or indirectly increase social and environmental [vulnerability to climate change](#CCVulnerabilityGlossary) now or in the future (also known as maladaptive practices)?  *For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population’s vulnerability to climate change, specifically flooding* | N |
| **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? | N |
| 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)? | N |
| 3.3 Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)? | N |
| 3.4 Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure) | N |
| 3.5 Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions? | N |
| 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)? | N |
| 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? | N |
| 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)? | N |
| 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)? | N |
| **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) | N |
| 4.2 Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes? | N |
| **Standard 5: Displacement and Resettlement** |  |
| 5.1 Would the Project potentially involve temporary or permanent and full or partial physical displacement? | Y – the project will establish new PAs /strengthen PA management which could result in voluntary resettlement conducted by and financed by government. This is not anticipated at PIF stage but is included as a risk on a precautionary basis |
| 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)? | Y – the project will establish new PAs / strengthen PA management which could restrict use to wetland resources |
| 5.3 Is there a risk that the Project would lead to forced evictions?[[3]](#footnote-3) | N |
| 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? | N |
| **Standard 6: Indigenous Peoples** |  |
| 6.1 Are indigenous peoples present in the Project area (including Project area of influence)? | Y – at the Dashanbao Black-necked Crane NNR |
| 6.2 Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples? | N |
| 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)? | N |
| 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? | N |
| 6.4 Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples? | N |
| 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? | Y – same risks on physical/economic displacement listed under Standard 5 could apply to ethnic minorities |
| 6.6 Would the Project adversely affect the development priorities of indigenous peoples as defined by them? | N |
| 6.7 Would the Project potentially affect the traditional livelihoods, physical and cultural survival of indigenous peoples? | N |
| 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? | N |
| **Standard 7: Pollution Prevention and Resource Efficiency** |  |
| 7.1 Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or [trans-boundary impacts](#TransboundaryImpactsGlossary)? | N |
| 7.2 Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)? | N |
| 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?  *For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol* | N |
| 7.4 Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health? | N |
| 7.5 Does the Project include activities that require significant consumption of raw materials, energy, and/or water? | N |

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. [↑](#footnote-ref-1)
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.] [↑](#footnote-ref-2)
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. [↑](#footnote-ref-3)