

Annex E. Social and Environmental Screening Template

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

Project Information

Project Information	
1. Project Title	Strengthening the PA system in the Qilian Mountains-Qinghai Lake landscape (China's Protected Areas System Reform – Child Project #3 (C-PAR3))
2. Project Number	PIMS 5690
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 design follows a human-rights based approach. Consolidation of the protected area system in the Qilian Mountains-Qinghai Lake landscape to conserve globally significant biodiversity and development of landscape level management will promote resilience and a functional natural environment across these critical ecosystems. The project aims to strengthen the enabling conditions both at the institutional and site level, to enhance the participation of local communities in natural resource management towards achieving mutually beneficial conservation and socioeconomic outcomes. Although the current protected areas in the Qilian Mountains-Qinghai Lake landscape, namely the Qinghai Lake national nature reserve (NNR) and the Qilian Mountains provincial nature reserve (PNR), are managed under sustainable use arrangements, e.g., access for local Tibetan herders to grassland ecosystems, there remain threats to globally significant biodiversity that are not being effectively managed. The project is designed to increase participation of local ethnic minority communities in collaborative management and innovative conservation financing arrangements, including but not limited to: (1) expansion of the PA system and management under collaborative community arrangements; (2) community and/or herder group agreements to remove or adjust fencing to reduce threats to Przewalski's gazelle and increase habitat connectivity; (3) development of community jobs in support of PA management; (4) support for sustainable alternative livelihoods linked to conservation incentives, e.g., biodiversity friendly eco-tourism; (5) collaborative implementation of grassland restoration, utilizing local herders to patrol and management the process; (5) collaborative livestock management in high mountain grasslands, reducing seasonal fragmentation of habitat for key species, including the snow leopard; and (6) pilot implementation of innovative conservation financing, e.g., through conservation easement arrangements, including transfer of tenure and/or land use rights, to support restoration and improve habitat management. Inclusive consultations during the project preparation phase with local communities, local governments, civil society, and provincial agencies have socialized the key stakeholders to the proposed interventions. An environmental and social management framework (ESMF) has also been developed during the project preparation phase, to provide practical guidance to the implementation team for ensuring participation and inclusion, equity and non-discrimination, accountability and rule of law.

The 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). The overall implementation plan for the NP system that was released in September 2017 indicates that local communities situated with key conservation zones will be gradually resettled and collectively held land normatively transferred through leasing, land exchange, and other approaches. The C-PAR program, including the C-PAR3 project, are 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

At the site level, the direct beneficiaries of the C-PAR3 project are the local communities and management stations where the project interventions are planned within the Qilian Mountains-Qinghai Lake landscape, where rural villages are predominantly comprised of ethnic minorities, particularly Tibetan minorities. Literacy rates among ethnic Tibetan minorities are considerably lower than average rates in the province, and there are marked disparities between men and women under the patriarchal Tibetan households. A separate gender analysis and action plan were completed for the project by a Community Development and Gender Specialist during the PPG phase.

During the project preparation phase, consultations were made with local communities, as well as representatives of provincial government agencies and civil society organizations. Some of the interviews were held only with women, with the assistance of Tibetan speaking facilitators, who are also planned to support activities during project implementation. 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 50% women representation among direct project beneficiaries has been applied in the project design, e.g., local collaborative management committees should have at least 40% women members. Sustainable alternative livelihoods will be developed that facilitate equitable participation by women. 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 program 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.

Specific roles have been integrated into the project team, including but not limited to the following:

- a. The project Monitoring & Evaluation / Safeguards Officer will champion overall gender mainstreaming on the project, with back-up from the Program Alignment Officer and the UNDP country office.
- b. The Project Manager will appoint a gender focal point in the PMO who will implement and monitor the project level gender mainstreaming action plan and support project focal points at PA Administration and site levels to mainstream gender into all project activities.
- c. The Qilian Mountain NP and the Qinghai Lake NNR will each designate a staff member as a gender focal point who will assist in the implementation of the gender mainstreaming plan and support the project-recruited gender experts.
- d. Project-recruited gender experts will support the project with gender training, monitoring & evaluation of site activities, and consultations with local communities.
- e. 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.

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

The project seeks to improve the effectiveness of the protected area system in the Qilian Mountains-Qinghai Lake landscape to conserve globally significant biodiversity, including snow leopard and Przewalski's gazelle. Component 1 will consolidate the PA system in this landscape by increasing coverage of Key Biodiversity Areas (KBAs) and increasing connectivity. To complement PA consolidation and address threats across the wider landscape, a landscape-level management plan will be developed through stakeholder engagement. Component 2 will operationalize the consolidated PA system in the target landscape and strengthen community participation in natural resource management, with the goal of mutually beneficial conservation and socioeconomic outcomes, along the poverty-environment nexus and consistent with the precautionary principle in biodiversity conservation and natural resource management, respecting priorities of both conservation and sustainable development. Under Component 3 the requisite enabling conditions for sustaining the project results will be strengthened through targeted knowledge management, monitoring & evaluation, and gender mainstreaming and social inclusion. The

project is also designed to strengthen the environmental management capacities of the QFD, PA management agencies, other provincial sectors, local governments, the civil society, and community groups.

Consistent with the overarching C-PAR program, this project 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”.

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 pilot (Qilian Mountains) could be gradually (and voluntarily) resettled. <i>SESP Principle 3: Environmental Sustainability</i> <i>Standard 5: Displacement and Resettlement</i> <i>5.1. Would the potential outcomes of the Project potentially involve temporary or permanent and full or partial physical displacement?</i> <i>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?</i>	I = 4 P = 3	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 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	Based on initial assessments, an environmental and social management framework (ESMF) has been prepared during the PPG phase to put in place measures for the management of the project’s social and environmental risks. 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). Free and Prior Informed Consent (FPIC)

<p><i>Standard 6: Indigenous Peoples</i> 6.6. Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?</p>			<p>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.</p> <p>The approved Qilian Mountains National Park covers an approximate cumulative area of 50,000 km² in Gansu and Qinghai provinces, and the Qinghai section is about 15,800 km², which is more than double the current size of the PNR. The master plan for the national park has not yet been completed, but there is a high likelihood that establishment of the national park will entail some voluntary resettlement, probably focusing on voluntary eco-migration in communities situated in the core zone of the park. The master plan for the Qilian Mountains NP is expected to be in draft form by project inception, providing further clarity regarding potential voluntary resettlement.</p> <p>Tibetan ethnic minorities make up a significant proportion of the inhabitants in the communities where project interventions are planned and therefore these impacts could apply to ethnic minorities (see Risk 3).</p>	<p>must be applied throughout the ESIA/ESMP; no voluntary resettlement will take place without FPIC.</p> <p>Further information regarding the approved national park, including the master plan and any resettlement plans (if any resettlement is proposed), 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>Indicative community level activities for the C-PAR3 project include strengthening the existing community ranger program, implementing participatory grassland restoration, and initiating collaborative livestock management in high mountain grassland ecosystems. These activities will have a positive impact in reinforcing the inherent linkages between the herder communities and conservation objectives, thus reducing the need for displacement and voluntary resettlement.</p> <p>If resettlement is proposed by the government GEF funds will not be used for resettlement. Any resettlement would be 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 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 = 3 P = 4</p>	<p>High</p>	<p>Through the planned establishment of new protected area(s) and adjustments to land use practices to improve grazing management, certain restrictions to resources could be applied, including to ethnic Tibetan communities which make up most residents in the project area. The planned PA expansion is envisaged to be achieved through sustainable use</p>	<p>During the project preparation phase consultations with local communities, local government units, 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 Qilian Mountains-Qinghai Lake landscape. Local awareness has been further strengthened through the approval</p>

<p><i>Principle 1: Human Rights, 1.3. 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>Principle 2 Gender Equality and Women's Empowerment, 2.4: Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services?</i></p> <p><i>Standard 5: Displacement and Resettlement 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)?</i></p> <p><i>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?</i></p> <p><i>Standard 6: Indigenous Peoples, 6.6. Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?</i></p>			<p>arrangements, with local herders having access to grasslands within the protected areas, like the current operation of the Qinghai Lake NNR and the Qilian Mountains PNR. The project is proposing some innovative approaches, e.g., through conservation easements and other incentive mechanisms that will require changes in behaviour and current land use practices.</p> <p>For the Qinghai Lake NNR, the project design includes pilot implementation of innovative conservation financing, e.g., through conservation easements, that might involve changes in land tenure arrangements. Communities inside and near the Qinghai Lake NNR have been socialized to the issue of fencing and habitat fragmentation of the Przewalski's gazelle (<i>Procapra przewalskii</i>); although fencing continues to be an issue, local herders have participated in earlier interventions aimed at removing and/or lowering the fences.</p> <p>For the Qilian Mountains PA, participatory grassland restoration and livestock management arrangements are planned, with mutually beneficial conservation and socioeconomic benefits. For the Qilian Mountains PA, the situation is a bit different as compared to Qinghai Lake; there has been less engagement with local communities, considering that PA management was first put in place in 2014 and the PNR has been upgraded to a national park in 2017.</p> <p>The implementation plan for national NP reform issued by the Chinese government in September 2017 for the national park</p>	<p>of the Qilian Mountains National Park pilot in June 2017.</p> <p>As noted above, the ESIA process will further assess the possible socioeconomic impacts, including those related to economic displacement and land rights, associated with the national park establishment and project activities, 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) will be integrated into project implementation to ensure socioeconomic impacts are positive and to prevent adverse impacts. Free and Prior Informed Consent (FPIC) must be applied in line with the UNDP SES Guidance Note on Indigenous Peoples.</p> <p>There will also be a grievance redress mechanism put in place for project-affected communities to raise any grievances and for implementation partners to respond to accordingly.</p>
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<p>Risk 3: Expansion of existing PAs has 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 project demonstration PAs (including the Qilian Mountains NP pilot).</p> <p><i>Standard 6: Indigenous Peoples, 6.1. Are indigenous peoples present in the Project area (including Project area of influence)?</i> 6.3: Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by</p>	<p>I = 4 P = 4</p>	<p>High</p>	<p>Most of the local rural communities within the Qilian Mountains-Qinghai Lake landscape are predominantly comprised of ethnic minorities. For example, 63.4% of the inhabitants in Gangcha County (Qinghai Lake catchment) were Tibetan in 2016, and 79.2% of Qilian County (Qilian Mountains ecosystem) were made of ethnic minorities, including 29.6% Tibetan, 34.9% Hui, and 10.3% Mongolian¹. Considering the planned establishment of new protected area(s) and adjustments to land use practices to enhance conservation outcomes, the project could potentially affect the human rights, lands, natural resources, and traditional livelihoods of ethnic minorities. Several communities/villages</p>	<p>During the project preparation phase consultations were made with local communities, local government officials, the QFD, other provincial government agencies, and the civil society representatives. Further community consultations will be required during project inception, as part of the ESIA, during which Free and Prior Informed Consent (FPIC) will be applied as necessary to ensure that ethnic minority communities are fully consulted and involved in development of all project interventions and plans at the target sites. 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. For example, facilitators that speak the local languages will support community engagement, key documents</p>

¹ Source: Qinghai Provincial Poverty Alleviation Office: Poverty Investigation in 2015.

<p><i>the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)?</i></p> <p><i>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?</i></p> <p><i>6.6. Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?</i></p>			<p>have been considered for project interventions within the Qilian Mountains-Qinghai Lake landscape. The selection has been progressed to the township level, with specific communities and/or villages identified and to be finalized in the inception phase.</p>	<p>will be prepared in local languages, and communication and knowledge management techniques will be designed consistent with cultural norms and literacy circumstances. These and all other necessary management measures will be detailed in the ESMP and stand-alone management plans 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>If resettlement is proposed by the government GEF funds will not be used for resettlement. Any resettlement would be 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: Marginalized stakeholder groups, including women and ethnic minorities, could face barriers to full, meaningful participation in project activities (e.g. planned expansion of PA subsystem) that could affect them negatively.</p> <p><i>Principle 1: Human Rights</i></p> <p><i>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>Question 6. Is there a risk that rights-holders do not have the capacity to claim their rights?</i></p>	<p>I = 3 P = 2</p>	<p>Moderate</p>	<p>Literacy rates among ethnic Tibetan minority communities are considerably lower than average rates in the province. Also, there are large disparities between men and women in the patriarchal culture of most Tibetan communities.</p> <p>Further, in the past, master plans for PAs have been developed in a largely top-down fashion, with high participation of the protected areas but low participation of other relevant agencies and local communities.</p>	<p>Consultations during the PPG phase have been supported by Tibetan assistants and some interviews were held only with women. A gender analysis was undertaken, and a gender action plan developed, which will be implemented for the duration of the project.</p> <p>Tibetan speaking facilitators are also planned to support activities during project implementation. Knowledge products will be developed according to the literacy and cultural circumstances of the local project communities.</p> <p>Further community consultations will be required during project inception, as part of the ESIA, with application of FPIC throughout, to ensure that</p>

<p><i>Principle 2: Gender Equality and Women's Empowerment, 2.2: 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>Standard 6: Indigenous Peoples</i> 6.1. Are indigenous peoples present in the Project area (including Project area of influence)? 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?</p>				<p>ethnic minority communities are fully consulted and involved in development of all project interventions and plans at the target sites. 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 at the county and township level (e.g. community mobilisers) could lack the capacity to implement the project according to UNDP standards regarding human rights, public participation, gender mainstreaming and attention to social and environmental safeguards.</p> <p><i>Principle 1: Human Rights, 1.5. Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?</i></p>	<p>I = 3 P = 2</p>	<p>Moderate</p>	<p>While Provincial level duty-bearers have reasonably high capacities, representatives at the county and township levels could lack capacity to implement the project activities to required standards. Furthermore, there is a relatively high level of uncertainty regarding the regulatory and management arrangements of the national park system, compared to the current arrangements associated with nature reserves, and therefore some unknowns about the extent to which these will require new skills/knowledge/experiences.</p> <p>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 Qinghai Forestry Department (QFD) was undertaken during the project preparation phase, and trainings are planned during the implementation phase to enhance duty-bearers' capacities.</p> <p>Local 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 and to ensure that project results are sustained after GEF funding ceases.</p> <p>Compounding nature of this risk with others is to be further assessed as part of the ESIA.</p> <p>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 = 3 P = 2</p>	<p>Moderate</p>	<p>This risk applies for the establishment of the new Qilian Mountains NP and the ecological corridor near the Qinghai Lake NNR.</p> <p>There are large disparities between men and women in the patriarchal culture of most Tibetan communities, and income generating potential within rural</p>	<p>A gender analysis and action plan were completed during the PPG phase and will guide proactive women's empowerment efforts during implementation. 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</p>

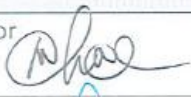


<p><i>Principle 2: Gender Equality and Women's Empowerment, question 2: Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?</i></p>			<p>communities in China in general is lower for women than for men.</p>	<p>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 and the Gender Action Plan updated 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>Standard 1: Biodiversity Conservation and Natural Resource Management,</i> <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?</i> <i>1.5 Would the Project pose a risk of introducing invasive alien species?</i> <i>1.6. Does the Project involve harvesting of natural forests, plantation development, or reforestation?</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 within the Qilian Mountains-Qinghai Lake landscape, and this will be achieved through establishing new protected areas and improving land use practices within and near existing ones. The project is specifically designed to support better protection and management of protected areas and critical habitats of endangered species.</p> <p>Regarding restoration, the project provides incremental support to grassland restoration programs planned by the Qinghai Agricultural-Animal Husbandry Department, promoting natural regeneration or introduction of native species, reducing the risk for introduction of invasive alien species.</p> <p>This biodiversity project was developed with specialist expertise and the risk of adverse outcomes to habitats is considered low.</p>	
<p>Risk 8: Climate change has potential to negatively impact species populations and targeted habitats/protected areas.</p> <p><i>Standard 2: Climate Change Mitigation and Adaptation, 2.2. Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?</i></p>	<p>I = 2 P = 2</p>	<p>Low</p>	<p>Climate change projects are uncertain and most likely to impact the project in the longer-term, with lower probability and scope of impact during the project term itself.</p> <p>The project will build upon the climate change adaptation strategy for the Qinghai PA system that was developed under the recently closed GEF-4 financed project. Project activities are likely to help</p>	

		<p>build resilience of habitats and communities to climate change. For example, the project design includes preparation of a PA sub-system consolidation plan for the Qilian Mountains-Qinghai Lake landscape, and this plan will address increasing connectivity of critical ecosystems and promoting protection of climate refugia. Moreover, improved land use practices and ecological stewardship by local communities are envisaged to result in improved quality of grasslands, thus strengthening the resilience of local herders and wildlife to cope with the forecast impacts of climate change.</p>	
QUESTION 4: What is the overall Project risk categorization?			
Select one (see SESP for guidance)			Comments
<i>Low Risk</i>		<input type="checkbox"/>	
<i>Moderate Risk (high end)</i>		<input type="checkbox"/>	
<i>High Risk</i>		<input checked="" type="checkbox"/>	<p>Eight project risks have been identified, of which their overall impact and probability have been assessed as High (3 risks), Moderate (3 risks), and Low (2 risks). The risks with High rating relate to the voluntary resettlement (Risk 1) and economic displacement (Risk 2) of communities from project sites and the likelihood that both risks relate 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 F). 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 relevant management plans, which may be updated as part of the ESIA/ESMP process, including but not limited to the following:</p> <ul style="list-style-type: none"> • Implementation of the project gender action plan (Annex I) in capacity building, livelihoods, and other activities to ensure gender equity and women’s empowerment. • Implementation of a stakeholder engagement plan (Annex G) that identifies the roles and responsibilities of implementing partners, beneficiaries, enabling stakeholders, and others. • Implementation of a grievance redress 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. A project M&E/Safeguards Officer will support the project team to oversee coordination and implementation of risk management measures. And, the independent Midterm Review and Terminal Evaluation assess whether appropriate risk mitigation measures have</p>
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			been taken, and how the ESMP has been implemented.
	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	X	See Risks 2, 4, 5
	Principle 2: Gender Equality and Women's Empowerment	X	See Risks 2, 6
	1. Biodiversity Conservation and Natural Resource Management	<input type="checkbox"/>	
	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	X	See Risks 1, 2
	6. Indigenous Peoples	X	See Risks 1, 2, 3
	7. Pollution Prevention and Resource Efficiency	<input type="checkbox"/>	

Final Sign Off

Signature	Date	Description
QA Assessor 	Jan. 31, 2019	UNDP staff member responsible for the Project, typically a UNDP Program 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 	2019.1.31	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.