## **Annex 5: UNDP Social and Environmental Screening Procedure (SESP)**

**Project Information**

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| ***Project Information***  |  |
| 1. Project Title
 | Seventh Operational Phase of the GEF Small Grants Program in Malaysia |
| 1. Project Number
 | 6477 |
| 1. Location
 | Malaysia |

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

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| **QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?** |
| ***Briefly describe in the space below how the Project mainstreams the human-rights based approach***  |
| The project will advance principles of inclusion and participation by promoting the engagement and capacity of local organizations and community groups. The project will work towards equality, in particular gender equality, by implementing interventions that will benefit the most vulnerable and marginalized. The project is structured to meet local community needs for a more resilient landscape in the face of negative climate change impacts. The National Steering Committee and multi-stakeholder landscape management groups will ensure inclusion of women, youth, and indigenous peoples. The SGP/GEF Malaysia Country Programme recognizes community organizations as the key actors for the implementation of this initiative, considering their own development objectives (at the local and landscape levels) building on the multi-stakeholder landscape approach. Community level organizations are assisted in the identification, design and implementation of grant projects within an overall strategic landscape management framework they participate in developing. This process is monitored, accompanied and evaluated periodically to comply with the proposed objectives and quality of implementation. This project has been designed considering their needs, rights, obligations and knowledge, and systematized through the M&E system and disseminated with a stakeholder-oriented communication strategy. The proposed project integrates the principles of respect for human rights within several aspects of its objectives and activities, including through the following: ➢ Supporting meaningful stakeholder engagement and inclusion of all stakeholders (including local communities, marginalized populations, women, ethnic minorities, indigenous groups etc.) throughout the project. A Stakeholder Engagement Plan is developed and will be implemented. Public consultation will take place before, during and after project implementation. The process will involve the following consultative processes and mechanisms: village and district level consultations; engagement and meetings with specific groups (traditional authorities, farmers, affected persons, Forest Departments, local NGOs, local development committees, elected officials and other stakeholders such as, youth, traders, farmers, women’s cooperatives, local indigenous heads etc.); consultation meetings bringing together the relevant local institutions (traditional authorities, sector-specific administrations, women’ groups youth, local indigenous heads) on an ad hoc basis, including during inception phase and closure of the project, with the active participation of all stakeholders; meetings will be held to verify concerns raised by the interested parties and the recommended mitigation measures. ➢ Strengthening community and customary rights in line with applicable national and international law ➢ Promoting and strengthening traditional community forest governance and management structures ➢ Capacity building, knowledge management and training on good governance, gender mainstreaming, natural resource management skills, and business and enterprise development for communities participating ➢ Capacity building for women, youth and indigenous peoples to improve access to benefits and finance from engagement. This project builds on and draws from a series of multi-stakeholder engagement processes, assessments and background studies of relevance, undertaken during the readiness phase which included consultations and the participatory development of this project. In Malaysia, there are substantial legal and policy frameworks that strive to protect, promote and respect human rights constitutionally that will underpin the design and implementation of this project. In addition to the numerous international agreements and instruments that have been ratified, Malaysia has made significant efforts in the last decades towards reforming and creating national laws relevant to resource management, conservation, sustainable economic development, and the enjoyment of rights and freedoms, including that of self-determination of Indigenous Peoples and Traditional Communities. These are fundamental to the realization, inclusivity and permeance of REDD+ efforts, particularly with respect to IPs and traditional communities who are stewards of forest ecosystems, and are key stakeholders in the maintenance of forest cover and the ecosystem services with which this is associated. In addition to conserving and restoring forest cover across the landscapes, the project also seeks to improve the well-being of those whose livelihoods and cultures are tightly linked to natural resources, supporting the right to an adequate standard of living, the right to health, the right to water and the right of IPs to the lands, territories and resources which they have traditionally owned, occupied or otherwise used or acquired. Integrating stakeholders from the private, public, and non-profit sectors into the project as equal partners or as leaders is recognized as pivotal to the success of the project. In particular, measures are taken to support the participation of indigenous peoples and traditional communities, as well as marginalized groups such as poor rural farmers and women, in the design, implementation, and monitoring/evaluation of project activities in ways that value their knowledge and respond to their needs. The meaningful, effective, inclusive and voluntary participation of these stakeholders will strengthen ownership and build local support of REDD+ related activities. The project will build on the general UNDP’s approach on mainstreaming human rights through universality and inalienability; indivisibility; inter-dependence and interrelatedness; equality and non-discrimination; participation and inclusion; accountability and rule of law. In practice, this project will facilitate communities’- including vulnerable people, access to equitable service delivery, by extending and deepening participation with special emphasis on women participation, ensuring local ownership of development processes and strengthening accountability of all actors. The project will also support duty bearers in public sector to improve the delivery of services to communities (e.g. by a set of capacity building interventions that will improve skills and competencies to design, implement and operate integrated fuel switch interventions and improved local design of programmes and policies) The project will specifically respond to the need of a paradigm shift towards low emission climate resilient development pathways in the context of sustainable development, where no one is left behind. |
| ***Briefly describe in the space below how the Project is likely to improve gender equality and women’s empowerment*** |
| Gender has been considered throughout this project’s design as well as during implementation. The project strategy includes prioritization of work with women’s groups, youth and indigenous peoples for the development and implementation of grant projects. By empowering women, they become leaders with power of decision regarding community agreements. Their involvement contributes meaningfully to the family’s economy as they have a key role in agricultural activities. With SGP support, women have increased their incomes, been involved in activities of conservation and sustainable management, and involved other women in economic and ecological efforts. Women’s interests in regard to landscape resilience will be part of logical framework development during project preparation, and women will form a key constituency for community consultations designed to understand the links between environmental and development concerns and how best to address them together. In particular, women’s priorities for food security and other issues of their choosing shall be considered, and these will be included in the project design.The project focuses on gender sensitive planning and implementation to ensure the highest gains are made for gender equity. In the food insecure and disaster- prone communities, women often bear the brunt of the vagaries of the weather, low productivity, and disrupted livelihoods. By focusing on tailored products that include gender-sensitive adoption strategies, the project ensures that women are empowered to benefit from the information and can cope with climate change impacts. Women are crucial in the translation of the products of a vibrant agriculture sector into food and nutrition security for their households. Women would benefit from increased awareness and support on climate change risks and how to incorporate the information in their trades thereby protecting their livelihoods and enhancing adaptive capacities which will transform them from being mere producers to key players in marketing of products. Climate change and its impacts are not gender-neutral. Climate change impacts as well as coping opportunities, capacities and mechanisms for men and women are strongly dictated by the prevailing socio-cultural norms and gender stereotypes, poverty level including control over productive assets and resources, etc. Climate change is likely to magnify existing patterns of gender-based disadvantages. The Gender Action Plan will provide suggested entry points for gender-responsive actions to be taken under each of the Activity areas of the project. The following are some of the areas that the project is likely to improve in terms of gender equality and women’s empowerment: participation in consultation to ensure adequate responses to needs and challenges, gender mainstreaming in existing policies, sensitizing National level policy makers to gender parity needs, tailored capacity building, women’s inclusion in technical trainings, provision of access to markets, pricing policy and climate information, and creation of financing mechanisms that promote and ensure women’s involvement.Key entry points and recommendations for gender action within project design and implementation are listed below: • Build capacity of women and provide them with adequate resources (e.g. technology, financing, know-how, etc.); • Ensure efforts to build capacity of stakeholders and project beneficiaries are gender-responsive and equitably engage women and men (and youth, when applicable); • Promote women’s involvement in the Project’s decision-making bodies and structures; • Develop specific activities and strategies in the project to include / target women and female-headed households (with defined targets); • Develop intervention approaches that take into account the gender-specific differences within the project as well as differing conservation efforts faced by women; • Identify gaps in gender through the use of sex-disaggregated data and gender-sensitive indicators enabling development of a gender action plan to close those gaps; • Devote and allocate adequate funds, resources and expertise for implementing gender-related strategies, monitoring the results of implementation, and holding individuals and institutions accountable for outcomes that promote gender equality; • Utilize existing gender-focused groups and integrate them into the management structures of the project; • Advocate and raise awareness on gender and reducing emissions from deforestation and forest degradation and the role of conservation, sustainable management of forests among project staff involved in the design and implementation of the project; • Include a Gender and Safeguards position within the project to implement gender related activities. • During project implementation conduct qualitative assessments on the gender-specific benefits that can be directly associated to the project. |
| ***Briefly describe in the space below how the Project mainstreams environmental sustainability*** |
| The premise of the GEF Small Grants Program is that communities will adopt environmentally sustainable production practices that produce global environmental benefits if the financial risk of innovation can be lowered with a small grant and technical assistance from SGP and its partners. The SGP finances community organizations to design and implement sustainable development projects using a participatory multi-stakeholder, multi-sectoral landscape management approach that involves government, private sector and civil society. Lessons learned from projects and implementation of landscape management strategies are codified and presented to authorities for discussion and possible use in policy reform. The SGP aims to strengthen environmental management capacities of country partners at the community level, facilitating the implementation of improved management practices, sustainable utilization of natural resources, and community collaborative management of critical ecosystems.Moreover, all GEF SGP proposals are reviewed and approved by the National Steering Committee comprised of experts in different fields, including biodiversity conservation, ecosystem service, sustainable resource management, clean energy and others. The project strategy includes engaging with specialized civil society partners through awarding thematic strategic grants to provide an additional layer of technical assistance and support. |

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

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| **QUESTION 2: What are the Potential Social and Environmental Risks?**  | **QUESTION 3: What is the level of significance of the potential social and environmental risks?** | **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:** Vulnerable or marginalized groups, including indigenous peoples, might be excluded from fully participating in decisions regarding priority actions on lands claimed by them and including utilization of natural resources; and there may be a heightened risk of vulnerability due to a prolonged or recurrent outbreak of the COVID-19 pandemic or similar crisis.Principle 1, Q4; Principle 3, Standard 6, Q6.1, Q6.2, Q6.3 and Q6.5. | I = 3P = 2 | **Moderate** | Indigenous peoples populations are significant in some of the project landscapes, especially in the Middle and Upper Baram, Sarawak and the Crocker Range Biosphere Reserve, Sabah. In Baram there are a diverse group of indigenous peoples such as: Iban, Bidayuh, Kenyah, Kayan, Kedayan, Murut, Punan, Bisayah, Kelabit, Berawan and Penan. They make up over 50% of the 2.3 million people in Sarawak. Sabah has vast indigenous diversity too. At least 39 different indigenous groups make up the indigenous population in Sabah (IWGIA, 2008).In Sabah, the Crocker Range Biosphere Reserve has been home for generations of indigenous communities, in particular the Kadazandusuns and the Muruts.There have been extensive restrictions on travel, gatherings, and other activities as a result of the COVID-19 pandemic.  | Involvement of indigenous peoples populations is addressed in the Stakeholder Engagement Plan that is annexed to the project document.The multi-stakeholder platforms that will be established in the landscapes are planned to have equitable representation of indigenous peoples and women, and customary rights issues will be addressed in the landscape strategies and action plans. Indigenous peoples populations and other marginalized groups will also be engaged in decision-making regarding crisis response and recovery utilizing tailored approaches.CBOs from indigenous peoples populations will be assisted in preparing grant propels, as needed, e.g., allowing local language to be used. Activities on lands claimed by indigenous peoples populations will only commence upon consent from local communities. And recording or otherwise documenting traditional knowledge held by indigenous peoples populations will only be made upon free, prior and informed consent (FPIC).The SGP in Malaysia has demonstrated over the past two decades that indigenous peoples populations’ rights, livelihoods, culture and resources are fundamental concerns when assessing grant project proposals for approval for financing. Through involvement in the Global Support Initiative for Indigenous Peoples and Community-Conserved Territories and Areas (ICCA-GSI), the SGP team in Malaysia has further developed their capacity and a strong track record in working with communities of Indigenous Peoples in the country. |
| **Risk 2**: Project activities and approaches might not fully incorporate or reflect views of women and girls and ensure equitable opportunities for their involvement and benefit; and there is a risk that a prolonged or recurrent COVID-19 pandemic would exacerbate gender inequality and possibly also increase gender-based violence.Principle 2, Q2. | I = 3P = 2 | **Moderate** | According to the Gender Inequality Index (GII, 2018) reported in the 2019 UNDP Human Development Report, Malaysia, Malaysia has a GII value of 0.274, ranking it 58 out of 162 countries in the 2018 index.Gender inequalities prevail in many spheres in Malaysia such as access to natural resources, division of labour, social mobility, participation in the workforce, access to economic opportunities, and participation in the decision-making processes. Inequality is more pronounced in rural communities, where many of the SGP community projects are envisaged to be implemented. | This risk was assessed during the PPG phase in the gender analysis and will be managed through the gender action plan, which are both annexed to the project document and integrated into the overall project management systems. The gender analysis and gender action plan will be regularly reviewed and updated to account for gender differentiated impacts, e.g., regarding the impacts and response to the COVID-19 pandemic.Women groups and other marginalized groups will be targeted during project implementation for equitable participation and benefit. The project decision-making structures, including the multi-stakeholder platforms in the intervention landscapes will have equitable representation by women.Resources have been allocated in the implementation budget for a Gender-Safeguards Consultant, who will facilitate fulfilment of gender mainstreaming objectives, and provide training to project team members and partners.In general, the project will be implemented in such a way that respects the principles of gender equality and women’s empowerment across all activities, while taking into account the local specificities in terms of traditions. Specific targeting of women as beneficiaries of the project will be undertaken. If mitigation measures are not well incorporated however, women may be unfairly disadvantaged in sharing in the benefits of the proposed activities. A gender-responsive approach will examine these risks especially in times of Covid-19, supported by a comprehensive gender analysis to assess relevant gender dynamics and inequalities with attention to the differences across the highly diverse groups of beneficiaries. It will also focus on the collection of additional baseline data on gender (e.g. on land tenure, women’s involvement in decision-making at local/community levels, etc.). Additionally, the stakeholder consultation and engagement plans will ensure that efforts are designed and undertaken using a gender approach and equitably include representatives from more marginalized groups, including women, youth, single-family households. The gender action plan will be reviewed and updated according to standard recommendations (and gender-specific consultations) to mitigate risks of reproducing or exacerbating gender inequalities. This includes ensuring that project entry points for beneficiaries and corresponding incentives for environmental services are adequately assessed and designed. The plan will include relevant baselines and indicators to be monitored, disaggregated by gender and by group of beneficiaries, more stringent with respect to the impact of Covid-19. Consultations and participatory design of project activities will identify appropriate benefit sharing mechanisms that will mitigate risks of inequalities. The design will be validated by stakeholders, including women, and a gender specialist will support mainstreaming within the project. |
| **Risk 3**: Poorly designed or executed project activities could damage critical ecosystems, including through the introduction of invasive alien species during land or forest rehabilitation or restoration, or result in human-wildlife conflicts.Principle 3, Standard 1, Q1.2, Q1.5 and Q1.6. | I = 4P = 2 | **Moderate** | There are critical ecosystems situated within some of the project intervention landscapes in the Middle and Upper Baram, the Crocker Range Biosphere Reserve, Sabah and the Klang Valley.The project aims to improve landscape management across the Middle and Upper Baram in Sarawak, the Crocker Range Biosphere Reserve, Sabah and the Klang Valley in West Malaysia.  | Biodiversity conservation related community grants will be primarily carried out in partnership with expert organizations, e.g., conservation agencies, protected area management administrations, NGOs or local governments. Specific activities will be designed through collaborative arrangements with these organizations. Utilization of natural resources, e.g., within buffer zones, will be carried out sustainably and according to relevant regulations. Restoration/rehabilitation activities will be carried out in accordance with management plans developed through participatory processes. No invasive alien species will be used; preference will be given to native species. And project interventions will not entail logging of primary forests or other areas of high conservation value.Conservation outcomes can sometimes result in unintended consequences of increased human-wildlife conflicts. Local communities will be trained on how to safely manage such conflicts.Moreover, an NGO specialized in conservation will be recruited through one of the three thematic strategic grants and provide guidance to CBOs on the design of grant proposals and facilitate stakeholder liaison. |
| **Risk 4:** Micro hydropower installations may alter environmental flows, possibly resulting in adverse impacts to local ecology.Principle 3, Standard 1, Q1.1. | I = 3P = 2 | **Moderate** | Local communities in the target landscapes have stressed interest in micro hydropower installations as one of the renewable energy solutions, providing additional energy security and contributing towards low emission development strategies. | Micro hydropower installations have been successfully implemented during earlier operational phases of the SGP in Malaysia. The typical capacities of the units do not require environmental impact assessments under Malaysian regulations. The entire streambed is not dammed for the operation of these micro hydropower units and there is minimal impact to environmental flows. As a safeguard measure, SGP proposals will be required to include an assessment of potential environmental impacts and mitigation measures planned. And, proposals will be reviewed by qualified specialists, e.g., members of the Technical Advisory Group.Project implementation will be monitored by the Country Programme Management Unit and/or strategic partner organizations supporting the landscape activities. |
| **Risk 5**: Project interventions, e.g., involving the installation and use of renewable energy and energy efficient technologies, may result in release of pollutants to the environment and in the generation of hazardous waste.Principle 3, Standard 7, Q7.2. | I = 2P = 2 | **Low** | Unsafe handling and disposal of batteries from solar systems and LED lamps may release harmful pollutants to the environment. Potential environmental impacts would likely be limited in terms of magnitude and can be easily avoided and managed. Projects are assessed by the Country Programme Management Unit and the NSC as part of proposal development, and actions to mitigate risk are incorporated into each proposal prior to approval. Moreover, project proponents are trained in all aspects of RE technology operations and maintenance, including disposal or recycling of used technology elements. | Not applicable. |
| **Risk 6:** Climatic unpredictability, periodic droughts, changes in rainfall distribution, altered frequency of extreme weather events, rising temperatures may affect project results, including agroecological practices, rehabilitation of degraded terrestrial and coastal-marine ecosystems, etc.; and a potential economic downturn as a result of a prolonged or recurrent COVID-19 pandemic (or similar) may increase the vulnerability and coping capacities of local communities.Principle 3, Standard 2, Q2.2. | I = 3P =3 | **Moderate** | The ecosystems in the project landscapes are vulnerable to the impacts of climate change in the Middle and Upper Baram in Sarawak, the Crocker Range Biosphere Reserve, Sabah and the Klang Valley in West Malaysia.  | A Climate and Disaster Risk Screening was prepared during the PPG phase and annexed to the Project Document. The screening report includes descriptions of risk mitigation measures that will be taken during implementation.The landscape approach implemented under the project promotes socio-ecological resilience. The landscape strategies will include priority actions to achieve enhanced resilience, based upon the circumstances in the landscapes and capacities of the local communities. The strategies will also address potential increased vulnerability related to the COVID-19 pandemic.CBOs will be required to include an assessment in the project proposal documents on the risks of climate and geophysical hazards on proposed infrastructure and assets, and describe what measures are proposed to reduce and manage the risks. Moreover, the design and implementation of project interventions will be guided by the Country Programme Management Unit (CPMU) and the National Steering Committee (NSC) and supported by the multi-stakeholder landscape platforms. |
| **Risk 7**: Local community members involved in project activities may be at a heightened risk of virus exposure, e.g., stakeholder meetings, workshops and trade fairs, community field work, etc.Principle 3, Standard 3, Q3.6. | I = 3P = 4 | **Moderate** | The landscape approach promoted on the project is predicated on participatory processes, including multi-stakeholder meetings, community field work, showcasing products and services in workshops and trade fairs, learning exchanges, seminars, etc. Risks to local communities might also be compounded due to increased numbers of tourist visits through ecotourism related interventions. Travel restrictions to the Baram landscape in the state of Sarawak have been the particularly strict, as the state and local government units have implemented measures to minimize exposure to the indigenous communities residing there. | Adaptive management measures will be implemented to reduce the risk of virus exposure during a prolonged or recurrent COVID-19 pandemic, or similar crisis. A COVID-19 analysis and action framework has been prepared and is annexed to the project document. SGP Standard Operating Procedures (SOPs) will be reviewed and updated to address risk of virus exposure. Malaysian Covid-19 SOPs will be strictly followed. Hazard assessments will be required for project proposals involving gatherings of multiple people, and mitigation measures will be implemented accordingly, e.g., ensuring physical distancing, providing personal protective equipment, avoiding non-essential travel, delivering training on risks and recognition of symptoms, etc. Virtual meetings will be held where feasible.The project Communications Strategy will include specific considerations for communication, public awareness and exchange of information under these circumstances. As COVID-19 is an evolving situation and could potentially exacerbate other vulnerabilities and risks, it will be important to remain abreast of the situation during project implementation and regularly review the risk and update mitigation measures as needed. |
|  | **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*** | **X** | The overall risk-rating for the project is “Moderate”.Among the seven (7) project risks identified through the SESP, six (6) have been assessed as Moderate and one (1) risk was rated as Low. To meet the SES requirements, the following safeguard plans have been prepared: (i) Stakeholder Engagement Plan, developed as an Indigenous Peoples planning framework equivalent, (ii) Gender Analysis and Action Plan, (iii) Climate and Disaster Risk Screening, and (iv) COVID-19 Analysis and Action Framework. These plans are annexed to the project document. Risks associated with biodiversity conservation and natural resource management, climate change, and community health, safety, and working conditions, and pollution prevention will be addressed through application of UNDP social and environmental standards, mitigation measures and proactive stakeholder engagement during project implementation. Specific management measures are captured in the project design, including a Risk Register which captures all project risks, including the ones identified in the SESP, identifies risk management measures and risk owners.Standard M&E and adaptive management procedures will be applied during project implementation. |
| ***High Risk*** |  |  |
|  | **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** | Stakeholder consultations were carried out during the PPG phase for each of the three target landscapes. And the project strategy and Stakeholder Engagement Plan outline how marginalized groups, including indigenous peoples participate in the project and be represented among decision-making mechanisms.  |
| ***Principle 2: Gender Equality and Women’s Empowerment*** | **X** | The project design includes a specific strategy for ensuring equitable development and sustainability. The project has a strong gender and generational strategy in place to ensure participation and strengthening of women and youth groups. The participation of women and youth in project activities/interventions is a focus in the project. This is to ensure that they are also empowered to make decisions and also benefit as a result of project interventions.A Gender Analysis and Gender Action Plan have been prepared during the project preparation phase. Gender mainstreaming indicators included in the gender action plan have been integrated into the project M&E framework and appropriate adaptive management measures will be implemented according to M&E feedback during project implementation.  |
| ***1. Biodiversity Conservation and Natural Resource Management*** | **X** | Multiple safeguards will be in place to ensure projects are designed and implemented to generate environmental benefits. Capacities of local CBOs will be strengthened to develop sound proposals. The SGP expressly finances projects to conserve and use biodiversity sustainably. Project grantees sign a Memorandum of Agreement where they specifically show that they will not contravene any national or international laws, obligations or commitments. At the same time, SGP will ensure that communities fulfill these commitments though its own M&E system. |
| ***2. Climate Change Mitigation and Adaptation*** | **X** | The SGP expressly finances projects that contribute to climate change mitigation and that build resilience both at community and landscape levels. Project grantees sign a Memorandum of Agreement where they specifically show that they will not contravene any national or international laws, obligations or commitments. At the same time, SGP will ensure that communities fulfill these commitments though its own M&E system. |
| ***3. Community Health, Safety and Working Conditions*** | **X** | Responding to a potential prolonged or recurrent COVID-19 pandemic (or similar crisis), the project will institute relevant adaptive management measures, e.g., promoting virtual meetings, avoiding non-essential travel, ensuring physical distancing, delivering training on risks and recognition of symptoms, providing personal protective equipment.  |
| ***4. Cultural Heritage*** | **X** | The SGP may support initiatives which seek to render present tourist activities more sustainable and less harmful to fragile environments, including those of significance to cultural heritage. This may allow the development of eco-tourism activities in particular areas. However, all eco-tourism activities will have to demonstrate how they improve the status quo in terms of climate change adaption/mitigation, biodiversity protection and/or land degradation. Further, those activities will be assessed according to resilience indicators during the landscape baseline assessments planned when the project starts the implementation phase. |
| ***5. Displacement and Resettlement*** | **☐** |  |
| ***6. Indigenous Peoples*** | **X** | Priority is given to vulnerable areas with indigenous people. ICCA methodology ensures indigenous participation as one of its key principles to mitigate possible risks. |
| ***7. Pollution Prevention and Resource Efficiency*** | **X** | The SGP expressly finances projects that contribute to pollution prevention and resource efficiency. Project grantees sign a Memorandum of Agreement where they specifically show that they will not contravene any national or international laws, obligations or commitments. At the same time, SGP will ensure that communities fulfill these commitments though its own M&E system. |

**Final Sign Off**

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| ***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. 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**

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| **Checklist Potential Social and Environmental Risks** |  |
| **Principles 1: Human Rights** | **Answer (Yes/No)** |
| 1. Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups? | No |
| 2. Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? [[1]](#footnote-1)  | No |
| 3. Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups? | No |
| 4. Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them? | **Yes** |
| 5. Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project? | No |
| 6. Is there a risk that rights-holders do not have the capacity to claim their rights?  | No |
| 7. Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process? | No |
| 8. Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals? | No |
| **Principle 2: Gender Equality and Women’s Empowerment** |  |
| 1. Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?  | No |
| 2. Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits? | **Yes** |
| 3. Have women’s groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment? | No |
| 4. Would the Project potentially limit women’s ability to use, develop and protect natural resources, considering different roles and positions of women and men in accessing environmental goods and services? | No |
| **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? | **Yes** |
| 1.2 Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities? | **Yes** |
| 1.3 Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5) | No |
| 1.4 Would Project activities pose risks to endangered species? | No |
| 1.5 Would the Project pose a risk of introducing invasive alien species?  | **Yes** |
| 1.6 Does the Project involve harvesting of natural forests, plantation development, or reforestation? | **Yes** |
| 1.7 Does the Project involve the production and/or harvesting of fish populations or other aquatic species? | No |
| 1.8 Does the Project involve significant extraction, diversion or containment of surface or ground water? | No |
| 1.9 Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)  | No |
| 1.10 Would the Project generate potential adverse transboundary or global environmental concerns? | No |
| 1.11 Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? | No |
| **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?  | No |
| 2.2 Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?  | **Yes** |
| 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)? | No |
| **Standard 3: Community Health, Safety and Working Conditions** |  |
| 3.1 Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities? | No |
| 3.2 Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)? | No |
| 3.3 Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)? | No |
| 3.4 Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure) | No |
| 3.5 Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions? | No |
| 3.6 Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)? | **Yes** |
| 3.7 Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning? | No |
| 3.8 Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?  | No |
| 3.9 Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)? | No |
| **Standard 4: Cultural Heritage** |  |
| 4.1 Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? | No |
| 4.2 Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes? | No |
| **Standard 5: Displacement and Resettlement** |  |
| 5.1 Would the Project potentially involve temporary or permanent and full or partial physical displacement? | No |
| 5.2 Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?  | No |
| 5.3 Is there a risk that the Project would lead to forced evictions?[[3]](#footnote-3) | No |
| 5.4 Would the proposed Project possibly affect land tenure arrangements and/or community-based property rights/customary rights to land, territories and/or resources?  | No |
| **Standard 6: Indigenous Peoples** |  |
| 6.1 Are indigenous peoples present in the Project area (including Project area of influence)? | **Yes** |
| 6.2 Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples? | **Yes** |
| 6.3 Would the proposed Project potentially affect the rights, lands and territories of indigenous peoples (regardless of whether Indigenous Peoples possess the legal titles to such areas)?  | **Yes** |
| 6.4 Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned? | No |
| 6.4 Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples? | **Yes** |
| 6.5 Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources? | No |
| 6.6 Would the Project adversely affect the development priorities of indigenous peoples as defined by them? | No |
| 6.7 Would the Project potentially affect the traditional livelihoods, physical and cultural survival of indigenous peoples? | No |
| 6.8 Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices? | No |
| **Standard 7: Pollution Prevention and Resource Efficiency** |  |
| 7.1 Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or [transboundary impacts](#TransboundaryImpactsGlossary)?  | No |
| 7.2 Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)? | **Yes** |
| 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? | No |
| 7.4 Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health? | No |
| 7.5 Does the Project include activities that require significant consumption of raw materials, energy, and/or water?  | No |



1. 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)