Annex 6: *UNDP Social and Environmental Screening Procedure (SESP)*

Project Information

Project Information	
1. Project Title	**Conservation and sustainable management of lakes, wetlands, and riparian corridors as pillars of a resilient and land degradation neutral Aral basin landscape supporting sustainable livelihoods**
2. Project Number (i.e. Atlas project ID, PIMS+)	*PIMS ID 6465*
3. Location (Global/Region/Country)	Uzbekistan
4. Project stage (Design or Implementation)	Design
5. Date	

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

QUESTION 1: How Does the Project Integrate the Programming Principles in Order to Strengthen Social and Environmental Sustainability?
Briefly describe in the space below how the project mainstreams the human rights-based approach
In line with UNDP's human-rights based approach, the project directly empowers right holders in the persons of farmers, owners of production lands, and communities so that they are the principal facilitators and decision makers for the mainstreaming of biodiversity conservation and sustainable land management (SLM) objectives in the production landscapes which they inhabit in the Lower Amudarya and Aral Sea Basin (LADAB) landscape that they inhabit. The project fully support's UNDP's commitment to a human-rights based approach, and supports the universal respect for, and observance of, human rights and fundamental freedoms for all, but particularly in the case of this project, for the people living in the LADAB landscape. The project does this broadly by supporting the sustainable use of natural resources, including access to and use of biological and land resources necessary for the rural communities, including the rural poor, in the project's geographic scope. In addition, the project will ensure and support the human rights principles of participation, inclusion and non-discrimination. The objective of the project is to enhance the resilience of the ecosystems and livelihoods in Lower Amudarya and Aral Sea Basin (LADAB) through land degradation neutrality (LDN) compatible integrated land-water management in the productive landscapes around PAs and KBAs/IBAs. The project design has been based on comprehensive stakeholder engagement and it is aligned with the LDN Checklist developed by the UNCCD (*please see Annex 28*), which embeds (*inter alia*) Criterion C, Promotion of inclusive governance, fully incorporated in the project design, through the integrated land use planning under Component 2, which is about ensuring that the rights of land users are respected while enabling them to derive maximum long-term benefits from use of ecosystem products and services. The benefits produced by the Sustainable Land Management (SLM) interventions have the potential to reduce vulnerability to climate change, supporting multiple sources of food, energy and income thereby reducing community dependence on any single resource that might be affected by climate change. For example, various and innovative measures of restoring degraded land in targeted districts and supporting local communities' alternative income from vegetable gardens, fruit tree cultivation, rustic poultry, basketry etc will contribute to both food security and income diversity. Rehabilitation of water pumps and wells will ensure crop productivity which is especially important considering the past decade's increase incidence of drought. Furthermore, tree planting and ecosystem protection activities in forests and pastures contribute to increase soil productivity and decreased soil salinity, thus providing ecosystems goods and services that further mitigate the negative effects of climate change. Replication and scaling up embedded in project design will ensure multiple benefits occurring during and soon after the project will end, through the formed partnerships that leveraged the resources of multiple sectors such as private companies, research institutes, NGOs, other donors. Finally, the mechanisms for integrated decision making that the project will promote under Outputs 1.1, 1.2, 2.1 and 2.2 and 3.2.2 and 3.2.3 will provide opportunities to reduce conflicts among resource users or overlaps in institutional mandates. General agreements on potential trade-offs promoted through an integrated and participatory manner,

provide the platform for improved environmental and socio-economic benefits and for the participation of all the representatives of local communities, including of the poor and marginalised. In addition to agricultural activities, as it has been demonstrated, during participatory mechanisms, farmers use these opportunities to talk about water, climate, sanitation and social issues and by so doing they are able to engage local authorities as partners in different other proposals for a more inclusive rural development.

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

The project incorporates gender considerations in the project design to ensure that there is equal opportunity for female participation and realization of benefits under the initiative as presented. Formalized structures and measures or legal amendments developed within the project framework will explicitly reflect the role of women in all tiers of biodiversity/ resource management addressing specifically existing disparities faced by women and girls in terms of (amongst other things) access to economic participation and participation in decision making and trainings.

Within the national context, women generally share the responsibility for resources management and this is particularly visible at the household level. Owing to their active resource management roles, the project targets women participation in processes associated the conservation, sustainable use of water and forest resources and the delivery of ecosystem services. In this regard, water and soil resource management, the conservation and sustainable use of biodiversity, as well as sustainable production technologies and practices are expected to be achieved with their equal participation. The project integrated gender-based analysis into its designed and targeted the involvement of women, male and female youth within consultation processes meant to inform final project design.

There are numerous ways in which gender dimensions are relevant to the project. The project addresses multiple types of agricultural land use, all of which have important gender dimensions, as they relate directly to the sustainability of local livelihoods. The project will work to improve the sustainability of livestock grazing in and around KBAs. Although women are not typically directly involved in livestock grazing, they can be involved in decision-making about grazing plans, and in the processing of livestock products. The project will also work on improving land and water management in key areas. Women do typically have a more direct role and higher level of involvement in the production of food crops.

In further consideration to the roles and priorities of both men and women, the project has granted women greater opportunities to actively participate in governance bodies that will be set up by the project. The project promotes activities that close gaps resulting from gender equity issues since women in Uzbekistan generally, but more acutely in the rural communities, are more constrained by traditional gender roles and by the lack of access to financial resources and capacity-building to improve their livelihood.

The project will ensure that the activities relating to improved land and water management, such as local trainings and local decision-making mechanisms have appropriate and adequate gender representation. The project will also be working on the improvement management of protected areas and will also ensure the engagement of women in decision-making bodies related to protected areas, such as local management boards. The expected project provision of gender-disaggregated data, specifically, the distribution of project benefits based on sex, will assist in the monitoring of the effectiveness of addressing equality gaps through project programming. The project has mainstreamed a gender responsive engagement in its strategy (*please see Annex 16 Gender Analysis and Action Plan*) and will put in place a grievance redress mechanism, as described in the Annex 14

(Stakeholders Engagement Plan) and in line with the UNDP SES protocols. Furthermore, the project's implemented measures will yield environment and socio economic benefits for more than 10,000 people of which approximately 30% will be women.

The safeguards to be applied to ensure that gender considerations continue to be a part of the project delivery approach include the contribution of gender and community outreach specialists, continued targeting and engagement of women stakeholder groups through the project participation plan, and the mandatory utilization of gender assessments to guide all significant project deliverables. It is the aim of the project is to achieve the categorization of "Gender Responsive" according to UNDP's gender results effectiveness scale (i.e., the results addressed differential needs of men or women and equitable distribution of benefits, resources, status and rights but do not address root causes of inequalities in their lives).

Briefly describe in the space below how the project mainstreams sustainability and resilience

The four components of the project have been designed within available GEF and co-financing framework to address the corresponding drivers of land, water degradation and biodiversity decline, which are directly linked to the diminishment and loss of lake, wetland and riparian biodiversity in LADAB landscape. The project will deliver Global Environmental Benefits using a participatory approach that ensures promotion of women, youth and vulnerable groups and equitable participation opportunities . This will result in the establishment of an integrated water management framework linking "water saving agriculture" on 1,050,910 ha of irrigated land, with the sustainable management of minimum and maximum ecological flows to 957,260 hectares of lakes, wetlands and riparian zones; participatory Sustainable Land Management (SLM) measures applied to 100,000 ha of pastureland and tugai and turanga forest ecosystem, halting habitat degradation. Extended PAs national system that will include 9 additional KBAs/IBAs, through the legal designation of 3,094,600 ha new PAs which, coupled with an expected 20% increase in the management effectiveness of the exiting PAs and a guaranteed minimum ecological flow, will cumulatively result into stabilized population of key indicator species and the ecological integrity of a chain of watered lands along the Aral coastline, crucial for preventing desertification and loss of biodiversity.

The environmental sustainability of the project results will be ensured by strengthened capacities in biodiversity management and LDN compatible SLM and increased awareness and understanding of local authorities, water managers, PAs staff, national government employees, state forestry enterprises, extension services, local natural resource users. In addition, the project will develop and institutionalize appropriate methodologies and tools, plans, guidelines and manuals to ensure sustainability of environmental results. For example, efficient water use on 112,800 ha of irrigated land will be achieved through four LDN compatible, climate sensitive Integrated Water Management Plans in the targeted districts (within Component 1). Furthermore, the project's supported Institutional Agreement (between State Committee on Ecology and Environmental Protection and the Ministry of Water Resources and the Ministry of Agriculture) as well as the legal amendments to the Water Code will ensure that 957,260 ha of natural ecosystems (lakes, wetlands, riparian zones) in Amudarya Basin will survive, by being supplied with the minimum ecological flows that will account for the predicted water deficits induced by climate change. Within Component 2, approximately 5,629,217 ha will be under LDN compatible, participatory integrated spatial and land use planning in 4 districts, setting up a new standard in land use planning in Uzbekistan. Approximately 100,000 ha of pastures and forests ecosystems will be put under improved management practices, through sustainable management plans embedded into the 10 years Strategy of the Forestry Enterprises, for sustainability of results. Under Component 3, approximately 9 additional KBAs/IBAs will be under increased protection through designation of new PAs covering 3,094,600 ha, ensuring stabilization of key indicators species; on the same time the exiting 757,329 ha of PAs will be under improved management through increased capacities of PAs manages, local inspectors and border officers. Expanded information management systems will provide reliable and real-time information to support decision-making.

Briefly describe in the space below how the project strengthens accountability to stakeholders

Through its various activities the project promotes accountability to project partners and stakeholders.

a) The project deploys multi-stakeholders participatory mechanisms that increases accountability. Good examples of participatory mechanisms are demonstrated within the framework of Output 1.1 and 1.2 , through the inter-institutional coordination/stakeholders participation framework to improve efficiency of water use on irrigated lands and to provide for a more equitable distribution of water among multiple users (Output 1.1. and Output 1.2). Other project activities are leveraging stakeholders' engagement for improved land governance and an accelerated transition towards land degradation neutrality in Karakalpakstan (Output 2.1). The project will further promote stakeholders' accountability through participatory land use planning envisaged under Output 2.2., by facilitating active local community engagement including rural poor, actively promoting participation of women, youth and disadvantaged groups. Similarly, the project supported sustainable pasture management regimes (Output 2.3), designation of new PAs (Output 3.1.1), promoting community supported improved biodiversity friendly agricultural practices (Output 3.2.3) and training initiatives (Output 4.1.1) these are all major project milestones, implemented with embedded mechanisms for meaningful participation of all the stakeholders affected, particularly those at risk of being left behind.

b) The project ensures that everybody has access to information, through transparency of all the programmatic interventions, provision of timely and accessible information regarding supported activities (primarily captured under Component 4) but also through partnerships such as with the Council of Farmers (Output 3.2.3) the project will strengthen its community outreach, including consultations on potential environmental and social risks and impacts and necessary management measures that will be implemented based on local consensus. Transparency and access to information will empower stakeholders to accelerate transition towards accountable decision making processes and more sustainable livelihoods.

c) The project ensures that all the stakeholders can communicate their concerns and have access to rights-compatible complaints redress processes and mechanisms. In cases where there is a risk of economic displacement, such as the activities leading to designation of new PAs and ecological corridors, the Process Framework will be deployed, in an inclusive and participative manner, supported at local level by project experts and Local Advisory Committees including representatives of local self-governing bodies, CBOs and local NGOs in order to ensure inclusiveness The project will ensure that in all interactions with stakeholders (consultations, meetings, web sites) information is available on how to access complaints processes. The Project's Stakeholder Engagement Plan will ensure the stakeholder's are engaged and informed about all activities. In addition to the UNDP Stakeholder Response Mechanism[1] which is embedded in all UNDP projects, this project will set up the project- level Grievance Redress mechanism(GRM) and will designate the Project Board/Local Project Coordination Committees, included in the Project Management Arrangements (please see Section VI project Document) as the project-GRM to ensure first of all that all the people and communities are informed of project-level grievance entry points and avoid/minimize risks of retaliation and reprisal against people who may seek information on project activities or express concerns and/or access project level grievances.

d) The project will monitor environment and social risk management measures through effective and where possible, participatory engagement of the stakeholders. In addition, the LDN monitoring mechanism in Karakalpakstan (Output 2.1.) will ensures adherence to the LDN principles (e.g. Human rights, Good governance, Participatory processes; Balanced economic, Social and Environmental Sustainability) further strengthening accountability.

Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks? Note: Complete SESP Attachment 1 before responding to Question 2.	**QUESTION 3: What is the level of significance of the potential social and environmental risks?** Note: Respond to Questions 4 and 5below before proceeding to Question 5			**QUESTION 6: Describe the assessment and management measures for each risk rated Moderate, Substantial or High**
Risk Description (broken down by event, cause, impact)	**Impact and Likelihood (1-5)**	**Significance (Low, Moderate Substantial, High)**	**Comments (optional)**	**Description of assessment and management measures for risks rated as Moderate, Substantial or High**

[1] https://www.undp.org/accountability/audit/secu-srm

Risk 1. The Project supported Integrated Water Management Framework for LADAB landscape could result in limitation of access to water resources. *SES Principle 2 Human Rights, P5* *SESP principle 2 Human Rights, P6* *SES Principle 3, Gender, P10* *SES Principle 3, Gender, P11* *Principle 5, Accountability, P13* *Principle 5, Accountability, P14* *Standard 5 Displacement; 5.2* *Standard 5 Displacement; 5.4*	I=3 L=3	**Moderate**	The project will support the development of an Integrated Water Management Framework IWMF **(Output 1.2)** based on assessments (partly done under Output 1.1.) covering the entire irrigated system in the Lower Amudarya and Aral Sea Basin (LADAB) landscape; The framework document will include recommendations for efficient water use in irrigation sector, application of cropland farming methods that do not deplete soil quality. The IWMF will further recommend the institutional arrangements for inter-sectorial coordination and consensus regarding water requirements and adequate water norms and timing of water releases through the hydrotechnical facilities.	As per the ESMF (Annex 30 project Document) the risks will be managed through the implementation of an **appropriately scoped/scaled SESA approach** (with a subsequent ESMF if considered necessary per the SESA for compliance with the SES and national law); implementation of the Stakeholders Engagement Plan, Process Framework, Gender Action Plan and Grievance Redress Mechanism. A SESA approach will be applied to the development of the Integrated Water Management Framework, such that potential social and environmental downstream impacts arising from the development of subsequent (i) guidelines on revised irrigation norms, (ii) Integrated Water Management Plans at district level, (iii) policy directions, are considered as an explicit part of plans/policy/guidelines development. This will encompass potential climate change risks on water allocation among multiple water users including potential safety risks water users and potential limitation on livelihoods. Under Output 1.2, the project will leverage the stakeholders engagement (as per the Stakeholder Engagement Plan) with the support from the Multi-Stakeholder Committee and representatives of line ministries, the International Fund for Saving the Aral Sea (IFAS), Amudarya Basin Water Organization (BWO), the relevant Basin Irrigation System Authorities (BISAs), Water Users Associations (WUAs).
Risk 2: The modification of land use and natural resources management regimes through the planning/implementation of sustainable land management (SLM) measures (e.g. forests, pastures, agricultural lands), envisaged to be implemented in support of long-term sustainability could affect access and use of resources by local communities, including the rural poor and women. *SES Principle 2 Human Rights, P5* *SESP principle 2 Human Rights, P6* *SES Principle 3, Gender, P10*	I = 3 L =2	**Moderate**	The project will develop several land, water and natural resources planning tools: - 4 Spatial Integrated Land Use Plans in 4 priority districts Amudaya and Moynaq districts in Karakalpakstan and Alat and Karakul districts in Bukhara region, under **Output 2.2.** - Under Output 1.2 the project will develop 4 Integrated Water Management Plans in the priority districts (Output 1.2)	The risks will be managed through the implementation of **Targeted assessments** (please see ESMF Annex 30 Project Document) for all these outputs. The project will develop these plans by **applying targeted feasibility/risk assessments** (including climate-related risks and vulnerabilities) and site-specific screening , in the targeted areas in order to identify, prevent and mitigate potential economic displacement and negative impact on the critical habitats .

SES Principle 3, Gender, P11 *Principle 5, Accountability, P13* *Principle 5, Accountability, P14* *Standard 5 Displacement; 5.2* *Standard 5 Displacement; 5.4*			- pasture management plans in the four targeted districts, on 90,000 ha in the PA/KBA/IBAs production zones under **Output 2.3.** - 4 community-based forest management plans in key areas of riparian corridors for approximately 10,000 ha tugai and turanga forests, and the implementation of proposed activities will be done in collaboration with the state forestry enterprises and local communities under **Output 2.5**. Most of these targeted areas and recommended SLM measures **have been selected at PPG stage** and locations described under Annex 24 of the Project Document. These sites will be validated based on expert mapping according to LDN prevent/reduce/restore hierarchy (Outputs 2.1 and 2.2). When modifying existing resource use and management regimes, there is always a possibility of some modification to the enjoyment of human rights or potential economic displacement of individuals living near or otherwise using territory included in the targeted area. The Risk is preventatively rated Moderate. UNDP has extensive experience working in Uzbekistan on similar types of interventions.	Site specific measures will be designed as needed and included in these plans. The land use plans, pasture management plans as well as forest management plans, are expected to ensure livelihood improvements and environmental sustainability during and beyond the project period. If confirmed via site-specific screening during implementation (as per the ESMF), then the risk of economic displacement will be managed by integrating all elements of a **Livelihood Action Plan** into the respective plan for the given site. The **LDN Principles** will be applied to all these plans: land use, water use and pastures/forests use plans. The adherence to these principles and the screening against the **LDN Checklist (Annex 28)** , among which Criterion C "Promotion of Inclusive Governance", will provide for mitigation of potential economic displacement. With respect to gender, a **Gender Analysis** has been undertaken (as required), and a **Gender Action Plan** developed. The project will hire a gender expert that will supervise the implementation of the Gender Action Plan Part of the **Stakeholders Engagement Plan** a project-level **Grievance and Redress Mechanism (GRM)** will be established and published so that all stakeholders, including remote communities are aware of its existence. The **Project Manager and Local Field Coordinators** will be responsible for documenting all grievances and ensuring they are addressed in a timely manner. Throughout the implementation, the project will continue to be working closely with all stakeholders to ensure that they are adequately consulted and their considerations integrated in the modification of resource-use regimes.

Risk 3: Project developed plans, once implemented, may have a negative impact on the use of natural resources and/or the critical biodiversity habitats and species. SES Standard 1 Biodiversity and NRM, 1.1 SES Standard 1 Biodiversity and NRM, 1.2 SES Standard 1 Biodiversity and NRM, 1.3 SES Standard 1 Biodiversity and NRM, 1.6 SES Standard 1 Biodiversity and NRM, 1.7 SES Standard 1 Biodiversity and NRM 1.9 SES Standard 1 Biodiversity and NRM 1.10 SES Standard 1; 1.11 SES Standard 8; 8.6 SES Standard 8; 8.5 SES Standard 8; 8.2 Standard 2; 2.3 Standard 3; 3.6	I=3 L=3	**Moderate**	The project's work under **Output 1.2**. will result in approximately 112,180 ha of irrigated land under sustainable water management; Under **Output 2.3** the project is using GEF resources to develop sustainable management plans for 90,000 ha of pastures; Under **Output 2.5** the project will plan the sustainable management of 10,000 tugai and Tauranga forests. It is expected that these plans will be funded and implemented by the government. Under **Output 3.2.3** some of the SLM demonstration activities contained in these plans will be implemented through micro-grants to local farmers. The risks considered are related to potential inadequate implementation of water and SLM measures e.g. although the water management planning will indicate the technology to be used and will recommend SLM practices (such as crop rotation; biodrainage; agroforestry measures) in order to reduce water wastage and improved resource efficiency, there is the risk that these measures will lead to increase of natural resources (e.g. choice of water irrigation technology would lead to increase water consumption) ; another example would be the inadequate planning for tugain/tauranga forest regeneration that may harm surrounding nesting/feeding areas of rare or endangered species. The pasture management plans developed under Output 2.3 may inadvertently plan for seeding of invasive species.	The risks will be managed through **the Site-specific screening** (as envisaged by the SES measures included in these plans) (please see ESMF Annex 30 Project Document) for all these outputs. The pastures and forests and land use management plans include the management measures that have been identified via the targeted assessments at the selected sites level during the development phase of these plans. Now, during the implementation phase of the plans, the targeted sites will be individually screened with the SESP and based on the results, appropriate site-level assessment (potential ESIA) will be conducted, in order to identify, prevent and mitigate potential negative impacts on the critical habitats . These assessments, would not result in the ESMP because the Pastures/Forests and Land Use plans would already encompass the necessary mitigation measures and would act as ESMPs. Competitive low-value grants will be issued to local entrepreneurs and small and midsize farmers. A screening mechanism will be built into selection process to ensure due diligence is applied for private sector partnership and businesses being supported by the project (Output 3.2.3). The project's deployment of qualified specialists (hydrologists, pasture agronomists; conservation biologists engineers, safeguards specialists/company etc.) will ensure that (starting with the design/development phase) these plans will encompass best practices and guidelines and specifications for the most efficient irrigation technology and scientifically supported SLM measures that pose no harm to environment and that cost effective, resource efficient and climate sensitive. UNDP has accumulated solid experience in successful demonstration and promotion of biodiversity friendly land and water management and climate smart irrigation technology, which will be used through this project.

Risk 4: Expansion of PAs system could lead to potential limitations or restrictions of the use of natural resources. Strengthening management of existing PAs, such as improved PAs zoning, strengthening the sanctuaries' protection regimes, and/or creation of ecological corridors could further restrict access to and use of biodiversity resources by local communities, affecting livelihoods. SES Principle 2 Human Rights, P5 SESP Principle 2 Human Rights, P6 SES Principle 3, Gender, P10 SES Principle 3, Gender, P11 Principle 5, Accountability, P13 Principle 5, Accountability, P14 Standard 5 Displacement; 5.2 Standard 5 Displacement; 5.4	I=3 L=3	**Moderate**	The project <u>will establish five (5) **new** protected areas</u> **(Output 3.1.1)** with a total area of 3,094,600 ha: the National Park "South Ustyurt", the National Park "Central Kyzylkum", the Reserve "Sudoche Lakes System State Wildlife Sanctuary"(on the basis of the existing refuge with an area of 50,000 ha), the refuges "Mejdurechye of Akdarya-Kazakhdarya" and "Akpetki". Local communities in the project area could face economic displacement due to the expansion of the PAs system (new PA designation). Certain land use activities would likely be prohibited or restricted as part of these processes. Another part of the project's PAs work is targeting the <u>improvement of the management of 5 **existing** PAs</u> i.e. Kyzylkum State Reserve; Lower Amudarya Biosphere Reserve; State Integrated Sanctuary Saygachy; Dengizkul Lake State Refuge; Sudochye Refuge **(Output 3.1.2).** The work is focusing on improved management effectiveness of the existing PAs through PA regime compliance and enforcement, zoning, patrolling, research, species-focused conservation activities. A better integration of PAs into the surrounding geographies is implemented under **Output 3.1.2** (linked with 3.2.1) aiming at identification and delineation of core areas and functional zones that will lead to the establishment of a revised conservation zone within the existing Kyzylkum State reserve IUCN I. Functional zones and adequate regulations will be established and better delineated on the ground. In addition, the project conservation activities such as relocation of part of the population of Bukhara deer in Lower Amudarya	The risk management measures are listed in the ESMF (Annex 30/Project Document) and will be implemented **through Process Framework**, **Stakeholder Engagement Plan**, **Gender Action Plan** and **project level GRM**. (Please see Annex 14 Stakeholder Engagement Plan – it includes a template for the Process Framework). The **Process framework** is embedded in the project strategy and is part of the project's work on the new PAs (Output 3.1.1.) and existing PAs (Output s 3.1.2 and 3.2.1). The PF will engage local population in the targeted areas. These local meeting will create awareness on the work on PAs and will address and reconcile any real or perceived economic limitations that the new PA legal mandate may impose. Evaluation of the necessity of **potential compensatory mechanisms** and eligibility criteria, describing the measures that will assist the potential affected persons to improve their livelihoods will be identified as the result of these assessments and discussions. The project manager will ensure that Information and guidance to local communities about the UNDP Conflict resolution and grievance mechanism is provided. The formal process of the new PAs designation will not commence before/unless securing consensus with the local communities over the PAs border, management arrangements and monitoring measures (please see Annex 14 Stakeholders Engagement Plan / Process Framework Template; and Annex 6, SESP) . During the consultations, the project manager supported by the project's field coordinators and local community outreach consultants will ensure that any potential risk of economic displacement in the affected communities, resulting from the designation of new PAs will be mitigated through the ***Process Framework for 7 PAs:*** - The following new PAs*: South Ustyu National Park; Central Kyzylkum National Park; Sudochye system of lakes;* Mejdurechye Akdarya-Kazakdarya; Akpetki *(Output 3.1.1)* -The following existing PAs: Kyzylkum State Reserve; Lower Amudarya Biosphere Reserve.

			Biosphere Reserve, may fuel conflicts with local communities over potential encroachment . The enhanced protection regime and a better zoning and delineation on-the-ground of PAs core and buffer areas (although having significant environmental benefits) it may bring along potential risks of restrictions/limitations on the use of natural resources that may be at odd with the current agricultural practices of the local communities in project areas. Associated with that, is the risk that not all key user groups of natural resources at project sites are consulted in project implementation and they will be affected by the restrictions on the use of natural resources. Especially since the targeted protected areas are primarily in remote rural areas, and the inhabitants in such regions typically have a higher percentage of people living in poverty, and/or marginalized groups that are likely to be on the verge of exclusion.	(as per SES requirements, please see ESMF Annex 30). Furthermore, the **Stakeholders Engagement Plan** (Annex 14) contains meaningful engagement measures and stakeholders roles and responsibilities. During the project implementation, the Stakeholder Engagement Plan will be updated to fulfill the requirements of Standard 5 (or a Livelihood Action Plan will be developed if needed for SES compliance, based on the findings of the screenings etc.) in the first year of implementation before the relevant activities begin management. Designation of PAs and any changes to the natural resources regime identified as having the potential to lead to limitations and restrictions of access to resources, will not be implemented until/unless suitable, agreed management measures are in place. All the necessary approvals will be obtained from national and local authorities and in line with the Process Framework (and UNDP SES). **Gender Action Plan** contains measures that will be implemented in order to ensure that women have equal opportunities to participate and benefit from the project activities. The project will hire a gender expert that will supervise the implementation of the Gender Action Plan
Risk 5: Land restoration measures intended to reduce threats to critical habitats and environmentally sensitive areas could potentially end up harming them. SES Standard 1 Biodiversity and NRM, 1.1 SES Standard 1 Biodiversity and NRM, 1.2 SES Standard 1 Biodiversity and NRM, 1.6 SES Standard 1 Biodiversity and NRM, 1.7 SES Standard 1 Biodiversity and NRM, 1.8	I=3 L=2	**Moderate**	**Output 2.4** comprises a suite of measures to restore degraded land on 1,500 ha and on sustainable forest management through assisted regeneration. Under Output 2.4, activities may include the transformation of degraded arable or pasture lands to fodder or pasture areas by biodrainage, planting licorice and alfalfa, implementation of smart irrigation techniques that improved its condition; integrated innovative agroforestry measures through the cultivation of perennial crops, primarily trees (including fruit trees) and shrubs together with interplanted arable crops.	The risks will be managed through site specific screening for land restoration activities. The project will apply site specific **feasibility/risk assessments** (including climate-related risks and vulnerabilities) and if needed an appropriately scoped ESIA will be applied, to identify, prevent and mitigate potential negative impacts on the critical habitats . The land restoration measures are expected to ensure livelihood improvements and environmental sustainability during and beyond the project period. The **qualified project's experts** (Riparian Forest Engineer, Hydrologists, Pasture Agronomist, Crop irrigation specialists, Conservation biologists) will work with the safeguards experts/company to properly identify risks and proposed management measures. The

SES Standard 8 Pollution Prevention and Resource Efficiency 8.2			The likelihood of the risks from targeted project interventions is rated "moderately likely" but given that the objective of the project is to enhance the environmental and social qualities of these areas, the risk of negative and environmental impacts is considered limited in scale and manageable through applicable standard practices, use of native species and/or previously tested methods . Although the environmental risks are considered moderate, limited in scale and with the likelihood of being reasonably managed, and the sites are at sufficient distance from the protected areas, there will be nevertheless minor changes to the farm landscape, existing flora and fauna species at the construction sites and local settlements such as minor changes in land cover and potential damage to the vegetation type; temporary disturbance of rodent burrows or bird nests may be possible.	Project Community Outreach Experts will facilitate local consultations with community representatives on the proposed SLM measures, targeted locations and necessary assessments. The project is aiming at demonstrating sustainable agricultural practices around Protected Areas (PAs) or Key Biodiversity Areas (outside PAs). These demonstrative activities will be agreed with the local authorities, respective land managers and project specialists. The project design includes activities with no or minimal risk to the critical or sensitive habitats. The technologies envisaged to be implemented by the project have been previously tested by various donor supported initiatives including UNDP: e.g. efficient irrigation technologies (drip, sprinkler etc.); land stabilization (planting of trees); wells rehabilitation; use of organic fertilizers.
Risk 6. The project activities focused on re-planting (native) tree species along riparian forests strips could have unforeseen ecological consequences. Standard 1 Biodiversity and NRM, 1.8	I=2 L=2		Under Output 2.5 the project will provide technical assistance and biological materials (tree seedlings) for the afforestation activities, and there may a risk posed by the chosen tree species having unforeseen ecological consequences. The project team will work with the partner local forestry services and qualified project experts to ensure ecologically appropriate locations for planting trees, and will use native species (this is the purpose of the activity). The relatively small area of tree planting means that any ecological impact will be with a limited impact in case of a potential adverse effect. The overall environmental impact – considering the benefits of the planted trees – is expected to be positive. The purpose of the activity is to restore areas of forest that have been degraded.	No measures needed as the risk is Low.

Risk 7. The project supported demonstration activities may inadvertently be implemented at/in proximity of significant cultural and historical significance sites. SES Standard 4; 4.1; 4.2	I=2 L=2	**Low**	The project sites for **Outputs 1.2; 2.3; 2.4; 2.5** have been carefully selected during the PPG based on several criteria chiefly among which is the land condition and water irrigation system and proximity to PAs. There is very low risk that these sites be overlapping with cultural and/or historically significant sites. However, the sites will be validated during the project inception/in the first year, based on agreements with the forestry enterprises and local communities.	No measures needed as the risk is Low.
Risk 8. Small scale construction site associated with the monitoring station in South Ustyurt and installation of observation towers in the existing PAs may have negative impact on critical habitats and species. SES Standard 1 Biodiversity and NRM, 1.1 SES Standard 1 Biodiversity and NRM, 1.2 SES Standard 1 Biodiversity and NRM, 1.7 Standard 3 Community Safety 3.1 3.2 3.3 SES Standard 7 Labour and working condition; 7.1	I=3 L=2	**Moderate**	The project will support the construction of a field station in South Ustyurt (new PA) under Output 3.1.1. This base will serve as a field infrastructure for scientists and reserve inspectorate after the protected area become operational. There is a risk of disturbing the habitat of the Ustyurt ram and Goiterred gazelle during the construction works (although these are very limited). In addition, under Output 3.1.2 the project will support the installation of observation towers for monitoring of birds but also of any fire hazards enabling rapid interventions. There is a limited risk of habitat disturbance at site.	The project will apply site-specific **screening and appropriately scoped ESIA (as per ESMF Annex 30)** to infrastructure development to identify, prevent and mitigate potential impacts on ecologically sensitive habitats through the construction process or ongoing use. The risks will be mitigated through site-level procedures according to SES requirements. Where risks cannot be avoided, management measures will be put in place prior to the start of the relevant activities. Infrastructure development will be designed in an ecologically sensitive manner and apply best practices in low-impact, ecologically sensitive design and construction. Moreover, project infrastructure will be developed/scoped in accordance with specific national legislation and norms. Additional restrictions may apply for example: - Ensure that constructions are located at least 100 metres away from the existing streams, rivers, water sources and no discharge from such establishments should follow their path into nearby water bodies. - Minimize area of ground clearance. Avoiding sensitive alignments, such as those which include ecologically sensitive areas. - In order to safeguard the loss of the aesthetic values of the landscape, use of ecofriendly design, local architecture and materials will be encouraged.

				- Observation towers should maintain adequate distance from the nesting areas and canopies - Design of the observation towers should be ecofriendly, with the use of local materials - Installation of appropriate and adequate number of signages. Based on the remoteness of the area the relatively low levels of population in the vicinity of the PAs, any potential impact on local communities is considered moderate/limited and manageable following SES requirements for safeguards triggered (Standard 1; Standard 3; Standard 7). As a precautionary measure, the contractual terms (aligned with the SES requirements) will fully integrate regular step-by-step monitoring of each phase of the construction, and only proceed to the next stage when no harm confirmed. In case any of the contractor's activities going off track, the contracts will have a clause for the subcontractor to rectify (on his own account) any deviation from the targeted result that the TOR envisage.
Risk 9: Enforcement of PAs regime and/or wildlife corridors, following applicable environmental norms and legislation could pose risks of conflicts between rangers and local communities engaged in traditional livelihoods and practices. SES Principle 2 Human Rights, P2 SES Principle 2 Human Rights, P7 SES Standard 3 Community Health, Safety and Security, 3.8	I=3 L=3	**Moderate**	Enforcement issues of the <u>environmental regulations in the new PA</u> (**Output 3.1.1)** or enforcement of <u>wildlife corridors/buffer areas regime</u> (**Output 3.2.1)** may lead to conflicts between the rangers and the local community or among different local community members. When working in developing countries there exists a risk that the entity responsible for PA management (be it governmental authority or community organization) does not have the full capacity necessary to fulfill their duties in terms of governance, administration, and management of natural resources. The enforcement personnel need to be appropriately trained to implement legal enforcement and manage relationship with local residents.	The Management measures will be addressed through **Trainings** and **Grievance and Redress Mechanism.** In addition, the project will ensure that management measures (addressing SES requirements) **will be included in the new PAs management plans** (corresponded to IUCN II and IUCN IV categories) as noted in the Project Document (Output 3.1.1). The project's qualified experts, including the Capacity Development experts, local coordinators, technical support staff and ministry counterparts will work with the Local Advisory Committees and facilitate the assessments, local dialogue and round table meetings that the process involves. In addition, the project will trainings/capacity building (**Output 3.2.2)** for PAs personnel, border inspectors, local police and central and local authorities with an emphasis on human rights principles (in line with the SES). Some of the trainings will target specifically community outreach related topics , and addressing illegal activities

				"Interaction with local communities" (opportunities for engaging local population in biodiversity conservation, joint patrolling of territories, protection of key sites)- Output 3.2.2. The training will include a specific module for rangers, on Local Communities and Cultures, in order to strengthen understanding on community rights and needs; respect to human rights and empowering communities to manage and protect wildlife and critical habitats. Furthermore, the project will facilitate **regular meetings between PA managers, ranger patrol staff, communities, inspectorates, border security** in or in the proximity of the core areas to analyse trends in monitoring and legal compliance, aiming at addressing ongoing threats in a collaborative manner, including issues related to cross-border migration of wildlife (Output 3.2.2).
Risk 10: Government resource management authorities may not have the capacity to fulfill all aspects of their mandate, and rural resource users may not have the capacity to claim their rights, which could potentially lead to the violation of human rights. SES Principle 2 Human Rights, P2 SES Principle 2 Human Rights, P3	I = 3 L = 3	**Moderate**	There is a risk that institutional government duty-bearers related to the management of high value Aral basin ecosystems and land resources do not have the capacity to meet their obligations. In addition, by the same principle and rationale of the fact that the project will be working on natural resource management issues in rural and remote areas, there is a risk that resource users and other rights holders do not have the capacity to claim their rights. Such resource users living in rural and remote areas may not been fully educated and informed about what their rights are (in this case, in relation to usufruct or other natural resource-related rights), or the procedures to claim those rights. There is a risk that rights holders may not have the legal, self-organizing, or financial means to claim their rights. The risk is assessed based on situation and context that the project will be working in. The fact that there is limited capacity on both the part of the government and	The risks will be managed through **Trainings/capacity building** project activities (**Output 4.1.1)** as well as targeted trainings for local natural resources users (embedded under **Output 3.2.3).** The project will be working closely with all stakeholders to support government natural resource management authorities and institutions to meet their obligations, and with resource user rights holders to claim their rights. As with the previous risks, the project will be working closely with all stakeholders to support government natural resource management authorities and institutions to meet their obligations, and with resource user rights holders to claim their rights. This will be accomplished through multiple stakeholder consultation sessions during all relevant aspects of the project to ensure that all parties are aware of and understand the relevant obligations and rights.

			rights holders is an inherent element to working on sustainable livelihoods in developing countries.	
Risk 11: The expected project impacts of the conservation of endangered and threatened species, restoration of degraded land, and sustainable management of forest and pasture resources could be sensitive to changing climatic conditions in the future. *SES Standard 2 Climate Change Vulnerability, 2.2* *SES Standard 2 Climate Change Vulnerability, 2.4*	I=3 L=2	**Moderate**	Adverse impacts of extreme climatic events (drought; sand and windstorms; seasonal floods) can affect project's interventions in the field and the livelihoods of local communities living in the target areas.	The management measures will be implemented **through the project's activities**. The various project's assessments will be informed by the existing climate risk profile/studies (elaborated within the framework of other projects) and through the project's own land/water and climate risk assessments (**Output 1.1.).** Initial climate related risks assessments will also be considered in the implementation of all the envisaged plans and SLM measures, included among the project activities. Attention to the current and potential impacts of climate change has been built-in to all aspects of the project. The project work will link the provision of adequate supply of water to lakes, wetlands and riparian zones to "water saving agriculture" measures, aligned with the prevent-reduce-restore LDN philosophy. A large a multidisciplinary team of specialists will ensure that the partners and stakeholders will apply the best available climate change forecasts data for Uzbekistan's lower Amu Darya basin, and will ensure that all project activities and plans take potential future climate impacts into consideration. The project will calculate the **minimum ecological flow** needed for the survival of the last remaining wetlands of Amudarya delta taking into account the predicted climate induced water deficits. This will provide scientific based evidence for adequate policy and institutional provisions for sustainable management of maximum and minimum ecological flows to lakes, wetlands, and riparian zones. **(Output 2.1)** The **hydroclimatic modeling** (under **Output 1.1)** and water use trend analysis will provide scientific evidence for the **revised irrigation norms** that accounts for climate change (**Output 1.2).** The project supported **Integrated Water use and Climate Resilient Plans (Output 1.2)** are developed based on the latest climate data. The development of the **Integrated LDN compatible Land Use Plans (Output 2.2**) will adhere to

				the LDN principles, and will by default, embed climate resilience measures. The awareness raising activities will include information on climate risk insurance models for farmers (**Output 4.1).** The project will support species and habitat inventories and will identify potential gaps in the existing system of PAs in order to effectively conserve biodiversity, considering the potential for ecosystem change and ecological shifts due to climate change **impacts (Output 3.1).** As part of the project's work on strengthening the management effectiveness of PAs it will also strengthen environmental monitoring capacities in order to better track the future effects of climate change within PAs and the targeted KBAs more broadly. The project's work to support the minimum ecological flow and increased allocation of water to lakes and wetlands KBAs/IBAs (Output 1.1.) will be grounded in the best available and most recent climate science relevant for this region of Uzbekistan. Furthermore, the project adheres to **LDN Principles** and will screen the activities against the **LDN Checklist** (Annex 28). The ecosystem management benefits will be mostly associated with the resilience of land and water management resources, sustainable management regimes and rationalised and efficient use of water resources for improved management of land and forests
Risk 12: Project activities involving local/field interventions and close engagement with local communities may inadvertently contribute to the spread of COVID-19. Standard 3 Community Health, Safety and Security, 3.4	I=3 L=3	**Moderate**	Activities at local level are based on participatory approaches, and most of the times will include meetings and local consultations. There are a number of training workshops and awareness events, round table meetings etc.	The risk will be mitigated through **adequate safeguards** such as: (i) clear procedures in place in case of COVID19 reinstatement of restrictions, approved during project inception (ii) use of protective equipment, maintaining social distancing and using remote methods of engagement whenever possible (iii) if adequate safeguards cannot be put in place, activities that entail close local communities engagement will be put on hold if necessary, and work programme/budget will be revised as needed. Wherever possible on-line meeting platforms will be used and travel decreased. All project meetings will be organized mindful of government regulations and healthy standards and other appropriate safeguards (including those of UNDSS).

Risk 13: The project may inadvertently contribute to potential perpetuation of discriminations against women. There are lingering disparities between men and women, particularly in rural areas and in the patriarchal cultures of some of the ethnic minority communities, which could be inadvertently replicated. *SES Principle 3, Gender, P10*	I=2 L=3	**Moderate**	The Project could potentially perpetuate discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities. In the pilot farmers associations and livestock farming sector, women account for around 51-52% of the population. They are mainly engaged in housekeeping, teaching, and administrative support services. Many more women form part of the unpaid family labor in home farming and lease of agricultural lands.	The management of this risk will be done through the implementation of the **Gender Action Plan (GAP)** and will be monitored by the project specialized experts. The project design has consistently mainstreamed gender sensitive approaches and has created opportunities for tackling women's needs, ranging from designing tailored training activities to organizing dedicated segments of radio programmes for women farmers. The project will provide ample opportunities for women to learn about LDN and SLM measures and resilient livelihoods and integrate best practices into their farm practices. Though the training programs and Farmer Field Schools, women will also be able to access the capacity building and training required to practice climate-resilient agriculture, as well as to diversify their livelihoods in more resilient ways. The project will ensure gender balance in all project activities (e.g. seminars, community level events) including in the membership of different decision-making bodies (Working groups; Project Boards; Evaluation Committees) including access to project financial assistance (grant scheme). Gender considerations will inform any community level vulnerability analysis linked to local infrastructure or demonstration plot development through consultation regarding needs and preferences on types of training and investment. The project will also gather gender-disaggregated data for evaluation purposes and use gender sensitive indicators (particularly around beneficiaries) to facilitate planning, implementation and monitoring. Complaints will be addressed through the project level Grievance redress mechanism.
Risk 14. The project may fail to ensure that labor rights, especially of vulnerable groups, are respected by local subcontractors. There could be risk of forced child labor at project sites. *SES Standard 7; 7.1*	I=3 L=3	**Moderate**[2]	Uzbekistan ratified all ILO main conventions. The information on the ILO website with regard to application of labor standards in Uzbekistan reveal that forced and child labor in Uzbekistan cotton field continue to fall.[3]	The **management measures will be devised on case by case basis.** The project will ensure that national working standards (Labor Code) are respected for all the project activities. The requirements of this Standard are to be applied in an appropriately-scaled manner based on the nature and scale of the project, its specific activities, the project's associated social and environmental risks and

[2] Recommended for the M&E activities and assessment of this risk at project site: FAO's Handbook for monitoring and evaluation of child labour in agriculture (2015) - an important resource for designing, assessing and monitoring projects that need to address the risks of child labour in agricultural production and pastoral activities.

[3] https://www.ilo.org/global/about-the-ilo/newsroom/news/WCMS_735883/lang--en/index.htm

SES Standard 7; 7.3				impacts, and the type of contractual relationships with project workers. **The management procedures will be that specific requirements of the terms and conditions of the employment will be established**, that will: - Comply with minimum age requirements set out in International Labour Organization (ILO) Conventions or national legislation (whichever offers the greatest protection to young people under the age of 18) and keep records of the dates of birth of all employees verified by official documentation - Check the activities carried out by young workers and ensure that children under 18 are not employed in hazardous work, including in contractor workforces. Hazardous work will normally be defined in national legislation and will be likely to include most tasks in construction and several in agriculture. - Assess the safety risks relating to any work by children under 18 and carry out regular monitoring of their health, working conditions and hours of work - Ensure that any workers aged 13-15 are only doing light work outside school hours, in accordance with national legislation, or working in a government-approved training programme - Ensure that contractors have adequate systems in place to check workers' ages, identify workers under the age of 18 and to ensure that they are not engaged in hazardous work, and that their work is subject to appropriate risk assessment and health monitoring In addition, the Project will ensure that appropriate wages will be paid per assigned tasks. Security and safety standards will also be respected and enforced. In addition to the UNDP Stakeholder response mechanism, the project will set up a project- Grievance Redress Mechanism to provide for a fair and free from influence entry point for their potential complaints and/or grievances. The Complaints Register and Grievance Redress Mechanism will provide an accessible, rapid,

				fair and effective response to concerned stakeholders, especially any vulnerable group who often lack access to formal legal regimes.
Risk 15. Expansion of PAs system and/or improved zoning could lead to risk to endangered species. SES Standard 1 Biodiversity and NRM, 1.1 SES Standard 1 Biodiversity and NRM, 1.2 SES Standard 1 Biodiversity and NRM, 1.6 SES Standard 1 Biodiversity and NRM, 1.7 SES Standard 1 Biodiversity and NRM, 1.8 SES Standard 1 Biodiversity and NRM 1.4	I=3 L=3	**Moderate**	The proposed zoning activities in the existing PAs may end up posing a risk to endangered species. For example the project will support the State Committee for Ecology and Environmental Protection to carry out the preparatory works to re-define the core area in Lower Amudarya Biosphere and to find other suitable habitats for Bukhara deer and relocate part of the population. In Kyzylkum State Reserve, the project will establish feeding corridors for Bukhara deer. Currently the available tugai areas decreased at such a rate that the habitat no longer has the carrying capacity for the population of Bukhara deer and the importance of an adequate ecological flow to allow for regeneration of tugai areas is crucial. Bukhara deer population is currently at 1233 individuals. It is estimated that approximately 80-100 individuals will be relocated by end project (based on the results of a study commission by GIZ and Zukkov Foundation[4]).	Project activities will be carefully planned in consultation with relevant experts and local communities (Output 3.1.2). The project experts will analyse available baseline, and will build on the knowledge generated by other donor implemented projects (e.g. GIZ project " Mapping natural resources along Amudarya banks in Uzbekistan and Turkmenistan") and will develop and analyse scenarios for optimal number of species in the core areas and will support the delineation of a feeding corridor that could expand the current core zones and subsequent amendments to PA management and monitoring program. The project will explore opportunities to establish collaboration agreements between Lower Amudarya Biosphere Reserve and research organizations to study dynamics of restoration of vegetation and wildlife, within the context of the reserve. At the same time, the project will conduct
	QUESTION 4: What is the overall project risk categorization?			
	Low Risk	☐		
	Moderate Risk	**X**		
	Substantial Risk	☐		
	High Risk	☐		
	QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are triggered? (check all that apply)			
	Question only required for Moderate, Substantial and High Risk projects			

[4] GIZ Report "Overview of possible measures to prevent conflict between the Bukhara deer and the local population" 2019

	Is assessment required? (check if "yes")	**x**			**Status? (completed, planned)**
	if yes, indicate overall type and status		**X**	Targeted assessment(s)	Completed during PPG: gender analysis, stakeholder analysis
			x	SESA	Planned during implementation: to be determined based on site-specific screening
			x	ESIA	Planned during implementation: to be determined based on site-specific screening
	Are management plans required? (check if "yes)	**X**			
	If yes, indicate overall type		**X**	Targeted management plans (e.g. Gender Action Plan, Emergency Response Plan, others)	Completed during PPG: Gender Action Plan, Stakeholder Engagement Plan Planned during implementation: Process Framework, Livelihood Action Plan (if needed), others as needed per site-specific screening and assessment
			x	ESMP	Planned during implementation: to be determined based on site-specific screening
			x	ESMF (Environmental and Social Management Framework)	Completed during PPG
	Based on identified risks, which Principles/Project-level Standards triggered?		Comments (not required)		
	Overarching Principle: Leave No One Behind				
	Human Rights	X			

	Gender Equality and Women's Empowerment	X	
	Accountability	X	
	1. Biodiversity Conservation and Sustainable Natural Resource Management	X	
	2. Climate Change and Disaster Risks	X	
	3. Community Health, Safety and Security	X	
	4. Cultural Heritage	☐	
	5. Displacement and Resettlement	X	
	6. Indigenous Peoples	☐	
	7. Labour and Working Conditions	X	
	8. Pollution Prevention and Resource Efficiency	X	

Final Sign Off

Final Screening at the design-stage is not complete until the following signatures are included

Signature	***Date***	***Description***
DocuSigned by: Doina Munteanu EB96ADB348874A0...	24-Jan-2022	**Ms. Doina Munteanu** QA Approver/PAC Chair, Deputy Resident Representative UNDP in Uzbekistan
DocuSigned by: Bakhadur Paluaniyazov 549211BE37DE45B...	24-Jan-2022	**Mr. Bakhadur Paluaniyazov** QA Assessor, Programme Specialist on Environment and Climate Action UNDP in Uzbekistan

SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks		
INSTRUCTIONS: The risk screening checklist will assist in answering Questions 2-6 of the Screening Template. Answers to the checklist questions help to (1) identify potential risks, (2) determine the overall risk categorization of the project, and (3) determine required level of assessment and management measures. Refer to the SES toolkit for further guidance on addressing screening questions.		
Overarching Principle: Leave No One Behind **Human Rights**		**Answer (Yes/No)**
P.1	Have local communities or individuals raised human rights concerns regarding the project (e.g. during the stakeholder engagement process, grievance processes, public statements)?	*No*
P.2	Is there a risk that duty-bearers (e.g. government agencies) do not have the capacity to meet their obligations in the project?	*Yes*
P.3	Is there a risk that rights-holders (e.g. project-affected persons) do not have the capacity to claim their rights?	*Yes*
Would the project potentially involve or lead to:		
P.4	adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	No
P.5	inequitable or discriminatory impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups, including persons with disabilities? [5]	Yes
P.6	restrictions in availability, quality of and/or access to resources or basic services, in particular to marginalized individuals or groups, including persons with disabilities?	Yes
P.7	exacerbation of conflicts among and/or the risk of violence to project-affected communities and individuals?	Yes
Gender Equality and Women's Empowerment		
P.8	Have women's groups/leaders raised gender equality concerns regarding the project, (e.g. during the stakeholder engagement process, grievance processes, public statements)?	No
Would the project potentially involve or lead to:		
P.9	adverse impacts on gender equality and/or the situation of women and girls?	*No*
P.10	reproducing discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	Yes
P.11	limitations on 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*	Yes
P.12	exacerbation of risks of gender-based violence? *For example, through the influx of workers to a community, changes in community and household power dynamics, increased exposure to unsafe public places and/or transport, etc*.	No

[5] Prohibited grounds of discrimination include race, ethnicity, sex, age, language, disability, sexual orientation, gender identity, 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 and transsexual people.

Sustainability and Resilience: Screening questions regarding risks associated with sustainability and resilience are encompassed by the Standard-specific questions below		
Accountability		
Would the project potentially involve or lead to:		
P.13	exclusion of any potentially affected stakeholders, in particular marginalized groups and excluded individuals (including persons with disabilities), from fully participating in decisions that may affect them?	Yes
P.14	grievances or objections from potentially affected stakeholders?	Yes
P.15	risks of retaliation or reprisals against stakeholders who express concerns or grievances, or who seek to participate in or to obtain information on the project?	No
Project-Level Standards		
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management		
Would the project potentially involve or lead to:		
1.1	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*	Yes
1.2	activities within or adjacent to critical habitats and/or environmentally sensitive areas, including (but not limited to) 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	changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	Yes
1.4	risks to endangered species (e.g. reduction, encroachment on habitat)?	Yes
1.5	exacerbation of illegal wildlife trade?	No
1.6	introduction of invasive alien species?	Yes
1.7	adverse impacts on soils?	Yes
1.8	harvesting of natural forests, plantation development, or reforestation?	Yes
1.9	significant agricultural production?	Yes
1.10	animal husbandry or harvesting of fish populations or other aquatic species?	Yes
1.11	significant extraction, diversion or containment of surface or ground water? *For example, construction of dams, reservoirs, river basin developments, groundwater extraction*	Yes
1.12	handling or utilization of genetically modified organisms/living modified organisms?[6]	No
1.13	utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)[7]	No
1.14	adverse transboundary or global environmental concerns?	No
Standard 2: Climate Change and Disaster Risks		
Would the project potentially involve or lead to:		

[6] See the Convention on Biological Diversity and its Cartagena Protocol on Biosafety.
[7] See the Convention on Biological Diversity and its Nagoya Protocol on access and benefit sharing from use of genetic resources.

2.1	areas subject to hazards such as earthquakes, floods, landslides, severe winds, storm surges, tsunami or volcanic eruptions?	No
2.2	outputs and outcomes sensitive or vulnerable to potential impacts of climate change or disasters? *For example, through increased precipitation, drought, temperature, salinity, extreme events, earthquakes*	Yes
2.3	increases in vulnerability to climate change impacts or disaster risks now or in the future (also known as maladaptive or negative coping practices)? *For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically floodingI=*	Yes
2.4	increases of greenhouse gas emissions, black carbon emissions or other drivers of climate change?	Yes
Standard 3: Community Health, Safety and Security		
Would the project potentially involve or lead to:		
3.1	construction and/or infrastructure development (e.g. roads, buildings, dams)? (Note: the GEF does not finance projects that would involve the construction or rehabilitation of large or complex dams)	Yes
3.2	air pollution, noise, vibration, traffic, injuries, physical hazards, poor surface water quality due to runoff, erosion, sanitation?	Yes
3.3	harm or losses due to failure of structural elements of the project (e.g. collapse of buildings or infrastructure)?	Yes
3.4	risks of water-borne or other vector-borne diseases (e.g. temporary breeding habitats), communicable and noncommunicable diseases, nutritional disorders, mental health?	Yes
3.5	transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	No
3.6	adverse impacts on ecosystems and ecosystem services relevant to communities' health (e.g. food, surface water purification, natural buffers from flooding)?	Yes
3.7	influx of project workers to project areas?	No
3.8	engagement of security personnel to protect facilities and property or to support project activities?	Yes
Standard 4: Cultural Heritage		
Would the project potentially involve or lead to:		
4.1	activities adjacent to or within a Cultural Heritage site?	Yes
4.2	significant excavations, demolitions, movement of earth, flooding or other environmental changes?	Yes
4.3	adverse impacts to sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	No
4.4	alterations to landscapes and natural features with cultural significance?	Yes
4.5	utilization of tangible and/or intangible forms (e.g. practices, traditional knowledge) of Cultural Heritage for commercial or other purposes?	No
Standard 5: Displacement and Resettlement		
Would the project potentially involve or lead to:		
5.1	temporary or permanent and full or partial physical displacement (including people without legally recognizable claims to land)?	No

5.2	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)?	Yes
5.3	risk of forced evictions?[8]	No
5.4	impacts on or changes to land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	Yes
Standard 6: Indigenous Peoples		
Would the project potentially involve or lead to:		
6.1	areas where indigenous peoples are present (including project area of influence)?	No
6.2	activities located on lands and territories claimed by indigenous peoples?	No
6.3	impacts (positive or negative) to the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)? *If the answer to screening question 6.3 is "yes", then the potential risk impacts are considered significant and the project would be categorized as either Substantial Risk or High Risk*	No
6.4	the 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
6.5	the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.6	forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources? *Consider, and where appropriate ensure, consistency with the answers under Standard 5 above*	No
6.7	adverse impacts on the development priorities of indigenous peoples as defined by them?	No
6.8	risks to the physical and cultural survival of indigenous peoples?	No
6.9	impacts on the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices? *Consider, and where appropriate ensure, consistency with the answers under Standard 4 above.*	No
Standard 7: Labour and Working Conditions		
Would the project potentially involve or lead to: (note: applies to project and contractor workers)		
7.1	working conditions that do not meet national labour laws and international commitments?	Yes
7.2	working conditions that may deny freedom of association and collective bargaining?	No
7.3	use of child labour?	Yes
7.4	use of forced labour?	No
7.5	discriminatory working conditions and/or lack of equal opportunity?	No
7.6	occupational health and safety risks due to physical, chemical, biological and psychosocial hazards (including violence and harassment) throughout the project life-cycle?	Yes

[8] Forced eviction is defined here as the permanent or temporary removal against their will of individuals, families or communities from the homes and/or land which they occupy, without the provision of, and access to, appropriate forms of legal or other protection. Forced evictions constitute gross violations of a range of internationally recognized human rights.

Standard 8: Pollution Prevention and Resource Efficiency		
Would the project potentially involve or lead to:		
8.1	the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	No
8.2	the generation of waste (both hazardous and non-hazardous)?	Yes
8.3	the manufacture, trade, release, and/or use of hazardous materials and/or chemicals?	No
8.4	the 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 Montreal Protocol, Minamata Convention, Basel Convention, Rotterdam Convention, Stockholm Convention*	No
8.5	the application of pesticides that may have a negative effect on the environment or human health?	Yes
8.6	significant consumption of raw materials, energy, and/or water?	Yes