

**Annex 6a – Social and Environmental Screening Procedure**  
GSLRP GREEN CLIMATE FUND FUNDING PROPOSAL

## Social and Environmental Screening Procedure (SESP)

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## Project Information

<b>Project Information</b>	
1. Project Title	Ghana Savannah Landscapes REDD+ Project
2. Project Number	
3. Location (Global/Region/Country)	Northern Savannah Region, Ghana

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

### QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?

*Briefly describe in the space below how the Project mainstreams the human-rights based approach*

The 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, etc.) throughout the project. A Stakeholder Engagement Plan will be developed and implemented. Public consultation will take place before, during and after project implementation. The process will involve the following consultative processes and mechanisms:
  - village assemblies and district assemblies;
  - engagement and meetings with specific groups (traditional authorities, farmers who volunteer for the project activities, affected persons, Forest Service Division (FSD) local NGOs, local development committees, elected officials and other stakeholders such as, youth, traders, farmers, pastoralist groups, women's cooperatives etc.);
  - consultation meetings bringing together the relevant local institutions (traditional authorities, sector-specific administrations, women' groups,) on an ad hoc basis, including during inception phase and closure of the project, with the active participation of all stakeholders;
  - attendance records at meetings must be completed as a means of verifying physical participation in meetings and the concerns raised by the interested parties and the recommended mitigation measures.
- Strengthening community and customary rights in line with applicable national and international law (tree tenure reform)
- Promoting and strengthening traditional community forest governance and management structures (e.g. thru work on CREMAs)
- Capacity building for local stakeholders to monitor and collect data related to REDD+ activities, safeguards and the safeguards information system (activity 4 on safeguards/SIS)
- Capacity building, knowledge management and training on good governance, gender mainstreaming, natural resource management skills, and business and enterprise development for communities participating in the CREMAs
- Capacity building for women to improve access to benefits and finance from engagement in shea supply chain

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 with support from FCPF, CLP, IUCN and others, which included consultations and the participatory development of the following products (non-inclusive list): the NRS; a SESA/ESMF; Gender and REDD+ Roadmap; Dispute Resolution Mechanism Assessment; a Review of Benefit Sharing Mechanisms in Ghana; a draft PLR review; and a Communications Strategy. See FCPF site for more details: <https://www.forestcarbonpartnership.org/ghana>.

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

See Annex XIIb: Gender Assessment and Action Plan.

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.) to compete in the shea value chain;
- 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 REDD+ among project and government 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 project will generate significant environmental benefits. Output 1 focusing on community management of forests in the savannah woodlands will create a sustainable, self-financing system of restoring and managing degraded savanna forest. Forest cover will approach full cover and carbon sequestration will be greatly enhanced. As the closed forestry category has become quite rare in the NSZ, such recovery will be very important to enhancing the conservation of biodiversity through the retention of indigenous species in the agricultural system. Output 2 will have the environmental benefits of increased carbon sequestration and of enhanced soil fertility maintenance. Output 3 will have major environmental benefits of substantial carbon sequestration. Retention of trees and community based management result in increased stabilization of soils and are important windbreaks across the parklands. Impacts on biodiversity will be minimal because only the most degraded grasslands will be targeted for reforestation. The project presents a unique opportunity to collect, analyse and present

data on environmental indicators and statistics on land cover change to the national safeguards information system and the national forest monitoring system. This information would not otherwise be forthcoming for the NSZ.

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

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)?
<i>Risk Description</i>	<i>Impact and Probability (1-5)</i>	<i>Significance (Low, Moderate, High)</i>	<i>Comments</i>	<i>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.</i>
<i>All risks</i>	NA	NA		As a <u>Moderate Risk</u> project, further and ongoing impact assessment and management measures are needed for effective risk management throughout project implementation. Many of these management measures are embedded directly in the project approach to ensure adverse impacts are avoided to the extent possible. In addition, building on the analyses, stakeholder engagement, and environmental and social screening and management planning conducting during project design, an environmental and social impact assessment (ESIA) will be conducted at the beginning of the project to further assess impacts and alternative sites to inform the final selection of sites and site-specific management and mitigation measures and stakeholders. Activities that may have environmental and social impacts will not be implemented until impacts have been assessed and management plans are in place. A draft Environmental and Social

				<p>Management Plan has been prepared outlining key assessment and management commitments of the project building on the results of this SESP. The ESMP will be updated following completion of the impact assessment and final selection of sites.</p> <p><b>Please refer to the ESMP for the management measures that will be in place for each of the risks identified below.</b></p>
<p><i>Risk 1: Adverse impacts on the enjoyment of <b>human rights</b> of affected populations. The Project could have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups. There is also a lack of capacities of duty bearers to fulfill their obligations and/or rights holders to claim rights.</i></p> <p>(SES Principle 1)</p>	<p>I = 4 P = 2</p>	<p><b>Moderate</b></p>	<p>There are vulnerable and marginalized populations (women, ethnic minorities, tenant farmers, local communities) in the project area that could be excluded from the project activities.</p> <p>Project activities to operationalize establishment and strengthening of CREMAS, contracts with farmers in the modified taungya system, restoration and marketing within the Shea Value Chain, through the process of developing benefit sharing mechanisms and tree tenure reform may contribute to this impact.</p>	<p>Refer to ESMP, Gender Assessment and Action Plan, Stakeholder Engagement Plan and Benefit Sharing Plan</p>

<p><b>Risk 2: Loss of <i>access to natural resources</i>.</b></p> <p><i>The Project could:</i></p> <ul style="list-style-type: none"> <li>- <i>potentially restrict availability, quality of and access to resources, in particular to marginalized groups; and</i></li> <li>- <i>exclude potentially affected stakeholders, from fully participating in decisions that may affect them;</i></li> <li>- <i>exacerbate conflicts among project affected communities and individuals and these conflicts could extend conflicts around how land is used and where boundaries lie.</i></li> </ul> <p>(SES Principle 1)</p>	<p>I = 4 P = 2</p>	<p><b>Moderate</b></p>	<p>Activities related to establishing / strengthening CREMAS; MTS; enhanced Shea Value Chain; and tree tenure reform can result in resources that were previously open access becoming unavailable. These may include grazing in community forests and forest reserves and access to land by sharecropper or tenant farmers. Middlemen and traders involved in the shea value chain may be affected if women's cooperatives undertake direct marketing and they are no longer part of the value chain. Degree and type of access to timber and non-timber resources may be affected for some groups within the project area.</p> <p>Through the CREMA management and efforts to engage in tree tenure reform and clarify rights and responsibilities for community management, the project is designed to deal with the issue of limited incentives for the sustainable management of these forest areas with ownership of timber trees vested in the state and rights over forest land often only held by the chieftaincy with communities and individuals only having rights over land that they are specifically cultivating. Where there are uncertainties over land tenure, these will need to be addressed to allow investments in timber for example in the long term on individual holdings.</p>	<p>Refer to ESMP and Gender Assessment and Action Plan</p>
<p><b>Risk 3: Adverse impacts on <i>gender equality</i> and/or the situation of women and girls. The Project could potentially</b></p>	<p>I = 3 P = 1</p>	<p><b>Moderate</b></p>	<p>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</p>	<p>Refer to ESMP and Gender Assessment and Action Plan</p>

<p><i>reproduce discrimination against women based on gender, especially regarding participation in the design and implementation or access to opportunities and benefits. The Project could potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services.</i></p> <p>(SES Principle 2)</p>			<p>the local specificities in terms of traditions. Specific targeting of women as beneficiaries of the project will be undertaken.</p> <p>If mitigation measures are not well incorporated however, women may be unfairly disadvantaged in sharing in the benefits of the proposed activities on establishing/strengthening CREMAs, MTS, enhanced Shea Value Chain, developing benefit sharing mechanisms and tree tenure reform.</p>	
<p>Risk 4: <i>Project has indirect negative impact on <b>natural habitat or Protected Areas</b> due to proximity.</i></p> <p>(SES Principle 3, Standard 1)</p>	<p><b>I = 2</b> <b>P = 2</b></p>	<p><b>Low</b></p>	<p>Several Protected Areas are located within the scope of the project. However, no specific action within a Protected Area is envisaged.</p> <p>By restoring forest and tree cover in degraded forest reserves, in community managed areas and in agricultural lands, the GCF project is positive for the conservation of Protected Areas, as it reduces the incentive for illegal logging and harvesting of wood fuels in protected areas. The strong focus on implementing a coherent zero deforestation agriculture associated with the provision of sustainably produced wood fuel will provide a new alternative to the old models, which is expected to attract further people.</p> <p>Moreover, the aspects of diversification of the income of farmers and communities in</p>	<p>Refer to ESMP</p>

			the CREMA are likely to reduce the pressure of exploitation of protected forest reserves.	
<p><b>Risk 5: <i>Natural habitat conversion or degradation</i></b></p> <p><i>The Project could potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services.</i></p> <p><i>Project activities are adjacent to critical habitats including legally protected areas as recognized by the Forestry Commission in the Ministry of Land</i></p> <p><i>The project may involve change in the use of land and resources that may have some adverse impacts on habitats and/or livelihoods.</i></p> <p>(SES Principle 3, Standard 1)</p>	<p><b>I = 3</b> <b>P = 2</b></p>	<p><b>Moderate</b></p>	<p>Plantations are to be set up on 25,500 hectares of forest reserve land (government land). These lands are already degraded or deforested due to fire or illegal harvesting or logging. Tree plantations will only be established on lands that are identified and certified through the Forestry Commission's best practice guidelines. Policy is set for types of species and site-species matching, avoidance of ecologically sensitive and critical areas and designed to achieve social, environmental and economic objectives.</p>	<p>Refer to ESMP.</p>
<p><b>Risk 6: <i>Introduction of invasive species.</i></b></p> <p>(SES Principle 3, Standard 1)</p>	<p><b>I = 3</b> <b>P = 1</b></p>	<p><b>Moderate</b></p>	<p>Plantations are to be set up on 25,500 hectares of forest reserve land (government land). These lands are already degraded or deforested due to fire or illegal harvesting or logging. Tree Plantations will only be established on lands that are identified and certified through the Forestry Commission's best practice guidelines. Policy is set for types of species and site-species matching, avoidance of ecologically sensitive and critical</p>	<p>Refer to ESMP</p>



			<p>areas and designed to achieve social, environmental and economic objectives.</p> <p>No known invasive species will be used. Tree species are vetted and certified before seedlings are raised in nurseries or planted.</p>	
<p><i>Risk 7: The project could pose risks to endangered species.</i></p> <p>(SES Principle 3, Standard 1)</p>	<p><b>I = 2</b> <b>P = 1</b></p>	<p><b>Low</b></p>	<p>The harvest of Rosewood <sup>1</sup>is currently very high in the NSZ even though harvest rates of naturally occurring trees should be regulated. The Project will not only help to protect Rosewood on CREMA, agricultural lands and in Forest Reserves and will also be monitored by the project in the project areas. The Project will rather help to protect this endangered species and regulate its exploitation. Field trials are currently being held to scale up Rosewood in plantations and this will be considered in the project. The project will therefore support protection of endangered species and the FLEGT-VPA processes in place in Ghana.</p>	<p>Refer to ESMP</p>
<p><i>Risk 8: Plantation development and reforestation</i></p> <p>(SES Principle 3, Standard 1)</p>	<p><b>I = 4</b> <b>P = 2</b></p>	<p><b>Moderate</b></p>	<p>Plantations are to be set up on 25,500 hectares of forest reserve land (government land). These lands are already degraded or deforested due to fire or illegal harvesting or logging. Tree Plantations will only be established on lands that are identified and certified through the Forestry Commission's best practice guidelines. Policy is set for types of species and site-species matching, avoidance of ecologically sensitive and critical</p>	

<sup>1</sup> There has been a Rosewood export ban in place since 2014<sup>1</sup>. This however has faced a number of exceptions, officially, to allow for timber that had already been felled or confiscated to subsequently be transported and exported (see table below). A reissuing of the ban in 2017 combined with a transition of government has presented a more stringent approach to controlling harvesting and export.

			<p>areas and designed to achieve social, environmental and economic objectives.</p> <p>The establishment of plantation schemes either in on reserve or areas may have both adverse and positive impacts to the associated environment and ecosystem. As part of the best practices approach, areas that are environmental and culturally important are not targeted. This is reinforced by additional land use planning process at the inception of the project and the ESIA.</p> <p>Trees that will be restored in the agricultural shea parklands will be on small holder land and will help to increase supply of shea as well as natural regeneration of these trees, especially in bush fallow areas.</p>	
<p><b><i>Risk 9: Use of genetic resources.</i></b></p> <p>(SES Principle 3, Standard 1)</p>	<p><b>I = 3</b> <b>P = 1</b></p>	<p><b>Low</b></p>	<p>A wide range of genetic materials through tree seeds and seedlings will be grown in nurseries and orchards to provide trees for CREMA, MTS as well as restoration of Shea in the parklands. These will also include improved varieties of Vitellaria Paradoxa (Shea) and other tree species genetic material. These processes will be done through traditional propagation methods and will not result for example in any genetic modification of these tree seeds resources.</p>	<p>Refer to ESMP</p>
<p><b><i>Risk 10: The project involves 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)</i></b></p>	<p><b>I = 3</b> <b>P = 1</b></p>	<p><b>Moderate</b></p>	<p>Under Activity 1.1 (CREMAs), a forester and community mobiliser, a clerk and accountant will be hired to provide services to the community resource management committees; these will be regulated by the by laws of the CREMA communities which are agreed to by the CRMCs in each of the CREMA and national labour laws.</p>	<p>Refer to ESMP</p>

			Workers will be contracted to construct warehouses to store shea kernels, which will have a storage capacity of 100 metric tonnes. Private sector companies will employ workers and contractors to either build processing factories or to upgrade current facilities. Workers will also be employed in these processing factories. National laws relating to employment, labour and workers' health and safety will be assessed and compared against international standards. Gap filling measures will be proposed as necessary in the ESMP. Fire workers in the fire brigades will be paid costs for transport and for their labour in building fire breaks. These costs will be paid according to the Forestry Commission's regulations and norms and according to the national minimum wage guidelines. Similarly, the Forestry Commission will hire labour to prepare forest reserves for plantation and including pegging and weeding. (Funds from co-financing from the FC).	
<i>Risk 11: Adverse impact on sites, structures or objects of historical, cultural, artistic, traditional or religious value or intangible forms of <b>cultural heritage</b>.</i>  (Standard 4)	<b>I = 2</b> <b>P = 2</b>	<b>Low</b>	Culturally sensitive areas relating to Output 3 will be avoided. The FC's best practices guidelines specifically call for avoiding these areas for plantation establishment. Locations for plantations on forest reserves will first need to be certified by the FC that there are no cultural sites within these areas. Communities in the CREMA will drive the process to and set up forest management plans that will take into their objectives for land use planning.	Refer to ESMP
<i>Risk 12: Project induced physical or economic</i>	<b>I = 3</b> <b>P = 1</b>	<b>Moderate</b>	Communities who enter into agreements with the FC on Output 3 on MTS, will cultivate	Refer to ESMP

<p><b>displacement. Potential impacts on the rights of ethnic minorities</b></p> <p>(Standard 5, Standard 6)</p>			<p>the MTS areas for the first few years of the project. Based on the contractual arrangement with the FC, these communities agree to return to their households (which are not more than 3-5 kms away) and continue farming their own lands which have lain fallow, once trees have been established and farming is no longer possible. Where there are tenant farmers or migrant farmers on lands, the FC will discuss how problems around access to agriculture land can be solved through dialogues, and with the traditional authorities. The GRM mechanism will be operational and access to these vulnerable groups.</p> <p>While the network of government managed reserves is extensive the majority of forest remains on customary owned land and as such is <i>de facto</i> managed by community groups and traditional authorities. Minority or transient communities need to have agreements in place with traditional authorities to use land for example for grazing. This will be regulated by the CREMA with inputs from the project to ensure that economic displacement does not occur.</p>	
<p><b>Risk 13: Adverse impacts on land tenure and/or community property rights. Potential impacts on the rights of ethnic minorities.</b></p> <p>(Standard 5, Standard 6)</p>	<p><b>I = 3</b> <b>P = 3</b></p>	<p><b>Moderate</b></p>	<p>The project supports land demarcation for the establishment of new CREMA. These areas have been potentially designated but will need further confirmation on exact boundaries and locations of community forest areas. The process will be driven by communities, who hold the CREMA lands communally.</p> <p>Changes to forest and tree tenure rights – communities need to have clear rights to</p>	<p>Refer to ESMP</p>

			<p>control access to community forests and to manage, harvest and market products coming from the forests if they are to have the needed incentives for them to invest in community management of savannah forests.</p> <p>This process will need to be carefully developed to ensure that changes do not reduce the rights of women to harvest and benefit from NTFPs while ensuring that they can also benefit from the harvest and marketing of wood products.</p>	
<p><i>Risk 14: Potential for the release of pollutants into the environment, including through use of pesticides and through shea processing</i></p> <p>(Standard 7)</p>	<p><b>I = 2</b> <b>P = 3</b></p>	<p><b>Low</b></p>	<p>In order to undertake shea restoration, in nursery and orchard management, fertilisers may be used. These will be applied using best practices and guidance from Ministry of Agriculture Extension agents. The Forestry Commission avoids the use of herbicide or pesticides to manage plantations. The ESIA will assess this national [guidelines/PLR] against UNDP SES to ensure consistency and gap-filling measures are included in its application as needed. The shea processing plants which will be set up through private sector co-financing may be a source of pollutants and this will need to be assessed as part of the impact assessments as required by Ghanaian law, as there has been no prior experience of pollutants. However, where factories are being upgraded, increased energy efficiency is planned for example through the use of shea cakes rather than fuel wood and more efficient conversion rates.</p>	<p>Refer to ESMP</p>
<p><i>Risk 15: Displacement of Emissions</i> (Cancun safeguards)</p>	<p><b>I = 3</b> <b>P = 2</b></p>	<p><b>Moderate</b></p>	<p>Emissions can be displaced to areas outside of the NSZ due to the activities undertaken in NSZ. These can include for example provision of wood fuels that were previously harvested</p>	<p>Activities in each CREMA, MTS plantation and interventions in the parklands will assess the potential for displacement through the delineation of areas targeted for community</p>

			<p>from the NSZ to the high and transitory forest zones.</p> <p>Due to high rates of forest degradation and deforestation in the NSZ, there is little natural forest to access in the project area. However regeneration is on-going and land cover monitoring techniques will (through output 4) need to clarify the current uncertainty of how much forest is actually being restored, where and how.</p> <p>The biggest threat maybe from grazing which is displaced to areas outside of the NSZ. The mitigation measure(s) would need to be in place at the level of the land monitoring system and the safeguards.</p> <p>Agriculture productivity may decline and this could result in areas converted to agriculture outside of project intervention areas. However, this is unlikely as farmers and smallholder will not agree to reduce agricultural production. Shea tree restoration is designed in such a way as not to affect productivity or to provide additional benefits.</p> <p>The mitigation measure(s) would need to be in place at the level of the monitoring system and FREL (either subnational or national, depending on country). Though the mitigation measures are not within the boundaries of the project, these should still be reported on here.</p>	<p>management of natural forests, restoration of parklands and setting up of plantations. A robust monitoring system that is able to capture field level data effectively and efficiency and monitoring of indicators that can feed back adjustments through adaptive management processes are planned. The NFMS will be used as basis to track conversion forest to other land uses, therefore will provide a basis to assess degree of displacement due to conversion of forest to grazing lands outside of the NSZ.</p> <p>Plantations will only be set up on degraded lands. If these lands were used to provide wood fuels, then the management system of thinnings should even increase the production of wood for energy.</p>
<p><i>Risk 16: Reversals of C stocks</i></p> <p>(Cancun safeguards)</p>	<p>I = 4</p> <p>P = 2</p>	<p><b>Moderate</b></p>	<p>Risk of reversals is assumed in all REDD+ projects including conservation, sustainable management of forests, and enhancement of C stocks.</p>	<p>Fire is a key driver of forest loss in the NSZ. Management of fire are key components in Output 1 and 3. Fire management will be carried out in the project intervention areas as well as</p>

				<p>wider areas as shall be identified. Communities will be involved and supported to continue fire management after the project ends. This will be crucial to ensure restoration and minimize the risk of wildfires leading to reversals. Fire management strategies are described in Output 1 and 3. And in activity 4.2 though the operationalization of land forest monitoring.</p> <p>The NFMS can be used to detect reversals that may have occurred.</p>
	<b>QUESTION 4: What is the overall Project risk categorization?</b>			
	Select one (see <a href="#">SESP</a> for guidance)		Comments	
	Low Risk	<input type="checkbox"/>		
	Moderate Risk	<input checked="" type="checkbox"/>	<p>In general, risks can be identified with a reasonable degree of certainty and can be addressed through the application of standard best practices, mitigation measures and stakeholder engagement throughout project implementation. Due to the moderate nature of the risks, it is proposed that an ESIA be undertaken within the framework of project in preparation to inform site selection and management measures.</p>	
	High Risk	<input type="checkbox"/>		
	<b>QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?</b>			
	Check all that apply		Comments	
	Principle 1: Human Rights	<input checked="" type="checkbox"/>	Moderate risk	
	Principle 2: Gender Equality and Women's Empowerment	<input checked="" type="checkbox"/>	Moderate risk	
	1. Biodiversity Conservation and Natural Resource Management	<input checked="" type="checkbox"/>	Moderate risk	
	2. Climate Change Mitigation and Adaptation	<input type="checkbox"/>		
	3. Community Health, Safety and Working Conditions	<input checked="" type="checkbox"/>	Moderate risk	
	4. Cultural Heritage	<input checked="" type="checkbox"/>	Low risk	

	<b>5. Displacement and Resettlement</b>	<b>X</b>	Moderate risk
	<b>6. Indigenous Peoples</b>	<b>X</b>	Low risk
	<b>7. Pollution Prevention and Resource Efficiency</b>	<b>X</b>	Low risk

### Final Sign Off

<b>Signature</b>	<b>Date</b>	<b>Description</b>
QA Assessor		UNDP staff member responsible for the Project, typically a UNDP Programme Officer. Final signature confirms they have “checked” to ensure that the SESP is adequately conducted.
QA Approver		UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have “cleared” the SESP prior to submittal to the PAC.
PAC Chair		UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.



## SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental <u>Risks</u>		
<b>Principles 1: Human Rights</b>		<b>Answer (Yes/No)</b>
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?	Yes
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? <sup>2</sup>	Yes
3.	Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	Yes
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?	Yes
6.	Is there a risk that rights-holders do not have the capacity to claim their rights?	Yes
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?	Yes
<b>Principle 2: Gender Equality and Women's Empowerment</b>		
1.	Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	Yes
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, taking into account different roles and positions of women and men in accessing environmental goods and services?  <i>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</i>	Yes
<b>Principle 3: Environmental Sustainability:</b> Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below		
<b>Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management</b>		
1.1	Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical	Yes

<sup>2</sup> 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.

	habitats) and/or ecosystems and ecosystem services?  <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	
1.2	Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	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)	Yes
1.4	Would Project activities pose risks to endangered species?	Yes
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?  <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	No
1.9	Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	Yes
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?  <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i>	No
<b>Standard 2: Climate Change Mitigation and Adaptation</b>		
2.1	Will the proposed Project result in significant <sup>3</sup> 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?	No
2.3	Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)?  <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	No
<b>Standard 3: Community Health, Safety and Working Conditions</b>		
3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	No

<sup>3</sup> In regards to CO<sub>2</sub>, '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.]

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)?	No
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)?	Yes
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
<b>Standard 4: Cultural Heritage</b>		
4.1	Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	Yes
4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	No
<b>Standard 5: Displacement and Resettlement</b>		
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	Yes
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)?	Yes
5.3	Is there a risk that the Project would lead to forced evictions? <sup>4</sup>	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?	Yes
<b>Standard 6: Indigenous Peoples</b>		
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 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	Yes

<sup>4</sup> 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.

	by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)?  <i>If the answer to the screening question 6.3 is “yes” the potential risk impacts are considered potentially severe and/or critical and the Project would be categorized as either Moderate or High Risk.</i>	
6.4	Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	No
6.5	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.6	Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	No
6.7	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	Yes
6.8	Would the Project potentially affect the physical and cultural survival of indigenous peoples?	No
6.9	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	Yes
<b>Standard 7: Pollution Prevention and Resource Efficiency</b>		
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?	Yes
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?  <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i>	No
7.4	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	Yes
7.5	Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	No

While it's considered that Cancun safeguards (f) and (g) are implicitly captured in the UNDP Social and Environmental Standards and Policies (See Attachment 2 below), it is important to consider these Cancun safeguards separately in the SESP and ESMP because they: 1) are not explicitly referenced in the UNDP standards; 2) are unique, assumed risks for forest and land use; and 3) should be reflected separately in the national reporting of the SIS/SOI.

<b>Cancun safeguard (f) – Address the risk of reversals</b>	
• Does the scope of the project include conservation, sustainable management of forests, and/or enhancement activities?	Yes
• Are C stocks conserved, enhanced, managed through the project activities likely to be vulnerable to: climate change (e.g., more frequent drought, flooding, Wildfire? Institutional failure?	Yes
<b>Cancun safeguard (g) – Reduce displacement of emissions</b>	
• Is the scale of the project subnational?	Yes
• Does the scope of the project include less than all 5 REDD+ activities?	Yes
• Are any project activities likely to result in displacement of land-use change at the local level? Within national borders?	Yes

## SESP Attachment 2.

### UNDP SES Consistency with Cancun Safeguards (COP 16, Cancun, 2010)

UNFCCC Cancun Safeguards for REDD+	Relevant UNDP Standard and/or Policy
(a) That actions complement or are consistent with the objectives of national forest programmes and relevant international conventions and agreements;	<ul style="list-style-type: none"> <li>• UNDP Social and Environmental Screening Procedure</li> <li>• Overarching Policy and Principles, paras. 3 and 13, pp. 6 and 9, SES</li> <li>• Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management, in particular paras. 3 and 22, pp. 13 and 19, SES</li> <li>• Standard 6: Indigenous Peoples, para. 4, p. 37, and para. 12, p. 29, SES</li> <li>• Quality Assurance Standards: Relevant; and Sustainability and National Ownership</li> </ul>
(b) Transparent and effective national forest governance structures, taking into account national legislation and sovereignty;	<ul style="list-style-type: none"> <li>• UNDP Social and Environmental Screening Procedure</li> <li>• Overarching Policy and Principles, para 3, p. 6, SES</li> <li>• Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management, in particular, para 17, p. 17, SES</li> <li>• UNDP Information disclosure policy</li> </ul>
(c) Respect for the knowledge and rights of indigenous peoples and members of local communities, by taking into account relevant international obligations, national circumstances and laws, and noting that the United Nations General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples;	<ul style="list-style-type: none"> <li>• UNDP Social and Environmental Screening Procedure</li> <li>• Principle 1: Human Rights, in particular, paras 13-16, p. 9, SES</li> <li>• Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management, in particular para 2, p. 13 and para. 22, p. 19, SES</li> <li>• Standard 4: Cultural Heritage, SES</li> <li>• Standard 5: Displacement and Resettlement, SES</li> <li>• Standard 6: Indigenous Peoples, see Objectives, and in particular paras 4-14, pp. 37-41, SES</li> <li>• Stakeholder Engagement and Response Mechanisms, in particular para 16, p. 52, SES</li> <li>• Quality Assurance Standards: Relevant; and Sustainability and National Ownership</li> </ul>
(d) The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities, in the actions referred to in paragraphs 70 and 72 of this decision;	<ul style="list-style-type: none"> <li>• UNDP Social and Environmental Screening Procedure</li> <li>• Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management, paras. 8, 9, and 14, pp. 16, 38-39</li> <li>• Standard 6: Indigenous Peoples, paras. 8 and 9, pp. 38-39, SES.</li> <li>• Stakeholder Engagement and Response Mechanisms, SES</li> <li>• Access to Information, SES</li> </ul>

<p>(e) Actions are consistent with the conservation of natural forests and biological diversity, ensuring that actions referred to in paragraph 70 of this decision are not used for the conversion of natural forests, but are instead used to incentivize the protection and conservation of natural forests and their ecosystem services, and to enhance other social and environmental benefits;</p>	<ul style="list-style-type: none"> <li>• <a href="#">UNDP Social and Environmental Screening Procedure</a></li> <li>• <a href="#">Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management, in particular, para 17, p. 17, SES</a></li> </ul>
<p>(f) Actions to address the risks of reversals;</p>	<ul style="list-style-type: none"> <li>• <a href="#">Overarching Policy and Principles, in particular paras. 1, 2, p. 6, SES</a></li> <li>• <a href="#">Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management, in particular, para 6, p. 14, SES</a></li> <li>• <a href="#">Assessment and Management, SES, para 10, pp. 49-50, SES</a></li> </ul>
<p>(g) Actions to reduce displacement of emissions.</p>	<ul style="list-style-type: none"> <li>• <a href="#">Overarching Policy and Principles, para. 3, p. 6, SES</a></li> <li>• <a href="#">Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management, in particular, paras 6, 13, 17a, pp. 14-17</a></li> </ul>