|  |  |  |
| --- | --- | --- |
|  | 环境和社会管理框架草案(ESMF) |  |

由UNDP支持，GEF资助的四个中国项目：

|  |  |  |
| --- | --- | --- |
| **项目名称** | **UNDP代码** | **GEF代码** |
| 中国保护区改革(CPAR)保护全球重要生物多样性项目(C-PAR1) | 5688 | 9679 |
| 甘肃保护区体制加强以提升全球重要生物多样性保护项目(C-PAR2) | 5689 | 9465 |
| 祁连山-青海湖景观保护区体制加强项目(C-PAR3) | 5690 | 9464 |
| 中国东南沿海海洋保护区体制加强以保护全球重要沿海生物多样性项目(C-PAR4) | 5379 | 9463 |

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| --- |
| **公共咨询/披露声明** |
| 日期: 2018年5月2日  |
| 联合国开发计划署（UNDP）现就四个由UNDP支持、由全球环境基金资助的中国保护区制度改革方案（C-PAR）的子项目，发布了关于环境与社会管理框架、以及相关社会和环境筛选程序的公共咨询声明。关于此咨询声明的评论可以寄至如下地址： |
| 联合国开发计划署中国北京亮马河南路2号，100600，电话：+86 10 85320800； 传真：+86 10 85320800 电子邮件：xinhua.zhao@undp.org; [www.undp.org.cn](http://www.undp.org.cn);  |
| **评论截止日期：** |  **2018年6月18日** |

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# 执行摘要

该环境与社会管理框架（ESMF）涵盖了四个由UNDP支持，GEF资助生物多样性项目，并由中华人民共和国政府合作开发：

1. 中国保护区改革(CPAR)保护全球重要生物多样性项目
**(C-PAR1 国家)**
2. 甘肃保护区体制加强以提升全球重要生物多样性保护项目

**(C-PAR2 甘肃)**

1. 祁连山-青海湖景观保护区体制加强项目
**(C-PAR3 青海)**
2. 中国东南沿海海洋保护区体制加强以保护全球重要沿海生物多样性项目

**(C-PAR4 海洋保护区)**

这四个项目是GEF-6中国保护区改革（C-PAR）方案下的子项目。C-PAR方案下共有六个子项目。该环境和社会管理框架（ESMF）仅涵盖由联合国开发计划署作为全球环境基金执行机构的四个项目。另外两个子项目—其中一个由保护国际（CI）实施，另一个由环境保护部对外合作中心（FECO）作为实施机构—不在由UNDP所开发的ESMF范围内。这两个子项目的保障政策由各实施机构（保护国际和环境保护部对外合作中心）根据其自己的机构标准负责。

UNDP为了GEF的四个项目提案准备了该环境和社会管理框架（ESMF），目的是协助评估其潜在的环境和社会影响。在项目开发阶段，通过UNDP的社会和环境筛选程序（SESP）进行的初步分析和筛选，发现了与项目活动相关的潜在社会和环境风险。特别是保护区的建立与扩张（包括国家公园试点）所带来对土地和资源使用的限制，有可能导致当地社区（包括少数民族）的经济失位和自愿实体安置。

该环境和社会管理框架是根据项目开发阶段开展的社会和环境筛选程序（UNDP的SESP）编制的，包括与执行伙伴和当地社区的磋商。三个项目：C-PAR1 国家（PIMS 5688，GEFID 9679），C-PAR2甘肃（PIMS 5689，GEFID 9465），C-PAR3青海（PIMS5690，PIMS5690， GEFID 9464））的总体社会和环境风险类别的筛选结果为“高”；另一个项目为“中等”（C-PAR4 海洋保护区; PIMS 5379，GEFID 9463）。

该框架已根据项目风险类别进行了制定，以确定四个项目中每一个项目的进程，以进一步评估潜在影响，在符合UNDP和环境标准（SES）的情况下确定和制定适当的风险管理措施。

该框架确定了每个项目启动阶段将遵循的步骤：一、完成三项环境和社会影响评估（ESIA），详细评估三个高风险项目，即C-PAR1国家，C-PAR2甘肃，C-PAR3青海，对社会和环境的潜在影响，以及对“中等”风险的C-PAR4 海洋保护区项目影响进行有针对性的评估；二、基于这些评估，制定并批准适当的管理计划，通过为三个高风险项目（C-PAR1国家，C-PAR2甘肃，C-PAR3青海）制定环境和社会管理计划（ESMP）以避免，并在无法避免的情况下减少、减轻和管理不利影响，以及为“中等”风险的C-PAR4 海洋保护区项目完成一份独立的管理计划（根据评估结果）。

该框架也详细说明了实施过程中的角色和责任，并包含详细的预算和监控与评估计划。

# 缩略语表

|  |  |  |
| --- | --- | --- |
| CI | Conservation International  | 保护国际基金会 |
| C-PAR | China’s Protected Area System Reform | 中国保护区制度改革 |
| CRAES | Chinese Research Academy on Environmental Sciences | 中国环境科学研究院 |
| EIA | Environmental Impact Assessment | 环境影响评估 |
| ESIA | Environmental and Social Impact Assessment | 环境和社会影响评估 |
| ESMF | Environmental and Social Management Framework | 环境和社会管理框架 |
| ESMP | Environmental and Social Management Plan | 环境和社会管理计划 |
| FECO/MEP | Foreign Economic Cooperation Office of the MEP | 环境保护部对外经济合作中心 |
| FPIC | Free, prior and informed consent | 自由、优先和知情同意 |
| FSP | Full Sized Project (GEF) | 全资项目（全球环境基金） |
| GEF | Global Environment Facility | 全球环境基金 |
| GEFSEC | Global Environment Facility Secretariat | 全球环境基金秘书处 |
| MEP | Ministry of Environmental Protection | 环境保护部 |
| METT | Management Effectiveness Tracking Tool | 管理有效性监测工具 |
| MOF | Ministry of Finance | 财政部 |
| MPA | Marine Protected Area | 海洋保护区 |
| MSP | Medium Sized Project (GEF) | 中型项目（全球环境基金） |
| NDRC | National Development and Reform Commission | 国家发展与改革委员会 |
| NP | National Park | 国家公园 |
| PA | Protected Area | 保护区 |
| PIF | Project Identification Form (GEF) | 项目识别表（全球环境基金） |
| PIR | GEF Project Implementation Report | 全球环境基金项目实施报告 |
| POPP | Programme and Operations Policies and Procedures (UNDP) | 项目和操作政策与流程（联合国开发计划署） |
| PPG | Project Preparation Grant (GEF) | 项目准备金（全球环境基金） |
| PRC | Peoples’ Republic of China (PRC) | 中华人民共和国 |
| SECU | Social and Environmental Compliance Review Unit (UNDP) | 社会与环境审查部门（联合国开发计划署） |
| SES | Social and Environmental Standards (UNDP) | 社会与环境标准（联合国开发计划署） |
| SESP | Social and Environmental Screening Procedure (UNDP) | 社会与环境筛选程序（联合国开发计划署） |
| SFA | State Forestry Administration | 国家林业局 |
| SRM | Stakeholder Response Mechanism (UNDP) | 利益相关方响应机制 |
| UNDP | United Nations Development Programme | 联合国开发计划署 |
| UNDP-GEF | UNDP Global Environmental Finance Unit | 联合国开发计划署全球环境金融部门 |

# 前言

本环境与社会管理框架（ESMF）是与中华人民共和国政府一起为全球环境基金资助的中国保护区改革（C-PAR）方案下由UNDP支持的子项目而制定的。

C-PAR在协同保护区改革框架下包含了6个子项目。联合国开发计划署是本框架适用的其中4个子项目的执行机构。如**表格1**所显示的，保护国际基金会和环境保护部对外经济合作中心分别负责实施另外两个子项目。本框架仅限于由UNDP实施的四个子项目。其他两个子项目的保障要求由相应的实施机构在自身的保障政策与程序下负责。

**表格1：中国保护区制度改革方案下的项目列表**

| **项目名称** | **全球环境基金执行机构** | **实施伙伴** | **本框架下？** | **赠款数额（美元）** | **配套资金（美元）** |
| --- | --- | --- | --- | --- | --- |
| **C-PAR1国家** | **中国保护区改革保护全球重要生物多样性项目** | 联合国开发计划署 | 环境保护部对外经济合作中心 | **是** | $6,222,018.35  | $49,106,000  |
| **C-PAR2 甘肃** | **甘肃保护区体制加强以提升全球重要生物多样性保护项目** | 联合国开发计划署 | 甘肃省林业厅 | **是** | $2,652,293.58  | $18,045,000  |
| **C-PAR3 青海** | **祁连山-青海湖景观保护区体制加强项目** | 联合国开发计划署 | 青海省林业厅 | **是** | $2,652,293.58  | $18,045,000  |
| **C-PAR4 海洋保护区** | **中国东南沿海海洋保护区体制加强以保护全球重要沿海生物多样性项目** | 联合国开发计划署 | 国家海洋局 | **是** | $2,652,293.58  | $22,362,852  |
| C-PAR5 | 四川省湿地保护区范围扩大与管理加强项目 *[不在本框架下]* | 保护国际基金会 | 四川省林业厅 | 否 | $2,652,293.58  | $18,000,000  |
| C-PAR6 | 中国保护区改革可持续性建设以保护全球重要生物多样性项目*[不在本框架下]* | 环境保护部对外经济合作中心 | 中国环境科学研究院 | 否 | $1,784,862.00  | $12,000,000  |
| **总和:** |  | **$18,616,054.67**  | **$137,558,852** |

## 项目描述

中国保护区改革的目标是通过系统的法律与机构改革和创新来改变中国的保护区制度以保护全球重要生物多样性。

中国保护区制度改革方案（环境与社会管理框架下的四个项目）的社会和环境目标有：

* 保护中国保护区系统内的全球重要生物多样性；
* 加强保护区可持续管理的赋能条件，包括法律框架、机构安排、制度与个人能力；
* 提升自然资源利用的可持续生计并加强管理措施；
* 提升示范保护区和依赖保护区产品与服务的社区的气候复原力与适应能力；和
* 加强生物多样性保护的知识、信息管理与监控制度及保护区制度的价值观。

在中国保护区制度改革方案内，本框架适用的四个项目有如下重点：

**项目1：C-PAR1 国家**

该项目旨在通过保护区改革和体制创新，建立一个有效的国家公园制度[[1]](#footnote-1)，增加保护区的覆盖面积，提高保护区管理的有效性以保护全球重要生物多样性。

项目实施伙伴: 环境保护部对外经济合作中心（FECO/MEP）

项目组成: *部分1: 建立国家公园制度。*该部分将支持政府国家保护区（PA）制度改革，特别是国家公园体系；该体系是中央政府计划中的国家公园体系的核心。 该项目将通过为国家保护区制度建立有效的治理和法律框架，协调一套有效的选择、设计、管理和监测各类保护区的国家制度，为这一进程提供支持。该新框架将通过基于人权的方法，确保对不同类型保护区的透明选择、规划和监管程序，以及确保提供一个对保护区和自然资源进行各种形式协作管理的法律框架。

*部分 2:加强省级国家公园制度*。这一部分将带来国家保护区系统的扩大，环境敏感区（ESA）的增长和生物多样性主流化在发展和部门规划中的能力建设。通过为项目实施建立明确保障措施以确保保护区扩张或环境敏感区的区划不会侵犯男性和女性以及不同种族的人权，将基于人权的方法主流化。当地社区的认可和参与将确保保护区或环境敏感区的规划，设定和管理。

*部分3: 项目协调和知识管理。*在部分3下，通过有针对性的知识管理、监控和评估、性别主流化和社会包容，将加强维持项目成果的必要条件。

项目示范地: 青海省三江源国家公园试点；四川/甘肃/陕西省大熊猫国家公园试点；浙江省仙居国家公园试点。

**项目2：C-PAR2 甘肃**

项目目标是通过完善法律和体制框架，改革并主流化保护区制度，加强栖息地连通性和减少主要威胁，加强甘肃省全球重要生物多样性保护。

项目实施伙伴: 甘肃省林业厅

项目组成: *部分1: 改进保护区（PA）、关键生物多样性区域（KBAs）和全球濒危物种的法律和体制框架，并将生物多样性保护主流化纳入省级规划。*该组成部分将加强甘肃省政府的法律和制度框架，以减少对全球濒危物种及其栖息地的威胁，并将生物多样性保护主流化纳入省级规划进程。

*部分2: 加强西秦岭-岷山保护区和生态走廊网络并减少威胁。*该部分在部分1的基础上，支持全球濒危物种保护和恢复计划的实施，以及西秦岭-岷山示范保护区和生态走廊网络的扩大，以加强物种保护和减少威胁。

*部分3: 知识管理、监控与评估，性别主流化。*通过与利益相关方，甘肃省内民众以及国家层面的的全球环境基金中国保护区制度改革方案的实施来支持知识、经验和教训分享，部分3与其他两个部分紧密相连并形成支撑。

项目示范地: 西秦岭-岷山、阿夏、插岗梁、多儿、裕河自然保护区。裕河自然保护区即将成为跨省域（四川-陕西-甘肃）大熊猫自然保护区试点。祁连山自然保护区试点是受限活动的试点区域，如能力建设。

**项目3：C-PAR3 青海**

该项目旨在提高祁连山-青海湖景观保护区制度的有效性，以保护全球重要生物多样性，包括雪豹和普式原羚。

项目实施伙伴: 青海省林业厅

项目组成: *部分 1: 保护区制度巩固和加强，*将通过提升关键生物多样性区域（KBAs）和连通性巩固景观内的保护区制度。为了在更大的景观内巩固保护区和应对威胁，利益相关方将参与制定景观层面的管理计划。

*部分2：有效保护区管理和激励参与式保护，*将实现保护地制度在目标景观的运作，加强社区在自然资源管理的参与，其目标是沿着贫穷-环境边界，尊重生物多样性保护和自然资源管理预先原则，尊重保护与可持续协同发展的当务之急，获得互利的保护与社会经济产出。

*部分3：知识管理、监控与评估和性别与社会的融合，*将加强赋能条件，通过有针对性的知识管理、监控和评估、性别主流化和社会包容，加强项目成果的实施。 该项目还旨在加强青海省林业厅、保护区管理机构、其他省内部门、地方政府、公民社会和社区团体的环境管理能力。

项目示范地：祁连山省级自然保护区（最近批准为祁连山国家公园试点）和青海湖自然保护区

**项目4: C-PAR4 海洋保护区**

该项目的目标是通过综合海洋景观规划和威胁管理，海洋保护区网络扩张和加强海洋保护区运营，保护中国东南沿海全球重要生物多样性。中国东南沿海生态系统及其生物多样性受到稠密人口、自然资源密集开发、自然栖息地过度利用和污染等极端压力的影响。该项目侧重于沿海生态系统，利用标志性的中国白海豚（CWD）作为指标和旗舰物种，吸引多方利益相关者采用基于生态系统的新方法。

项目实施伙伴: 国家海洋局

项目组成：*部分1*:加强海洋保护区法律框架与海洋保护区网络的主流化和扩张。这将扩大区域，提升海洋保护区的连通性以保护全球重要生物多样性，同时试点创新机制可以将生物多样性保护融入海洋空间规划并加强海洋保护区法规和融资。

*部分2*：改进海洋保护区和生态敏感区域管理的展示。这将通过参与式行动、执行以及意识提高，加强项目三个试点地区海洋保护区的管理效能，建设海洋保护区工作人员的能力，加强社区参与，减少海洋保护区和更大范围海洋景观的地方威胁。

*部分3*：监控、评估和海岸栖息地及物种知识与信息分享。这将建立一个有效的海洋保护区网络，将中国东南沿海的海洋保护区连接起来，包括基于GIS的知识和信息共享平台，加强全球重要生物多样性研究和监控的协调，确保项目得到有效实施，知识和经验教训在项目利益相关方和公众间得到广泛分享。

项目示范地: 福建省厦门湾沿海水域；广东省珠海江门沿海水域；广西钦州北海沿海水域

四个项目的项目期限为五年（2018-2023）。

## 该框架的目的和范围

根据UNDP社会与环境标准（SES）的要求，本框架（ESMF）是一个管理工具，用于协助管理与GEF中国保护区改革方案（C-PAR）下的四个由UNDP负责的子项目相关的潜在不利社会和环境影响。项目的执行伙伴和管理单位的相关成员将在项目开始实施时遵循本框架，以确保环境和社会风险和影响在相关项目执行前获得充分评估并具备相应管理措施。

本框架确定了详细筛选和评估项目潜在的社会和环境风险的步骤，以及制定和批准所需的管理计划的步骤，以在风险无法避免时，减轻和管理这些不利影响。

如上所述，本框架的范围仅限于由GEF资助的C-PAR方案中四个由UNDP支持的子项目。另外两个由保护国际和环境保护部对外经济合作中心支持子项目不在本框架的范围内。

## 潜在社会和环境影响

UNDP利用其社会和环境筛选程序（SESP）来确定与提案项目相关的潜在社会和环境风险和机遇。对每个项目的类型、地点、规模、敏感度以及其潜在的社会和环境影响进行详细审查。 所有项目活动都被审查，包括规划支持，政策建议，能力建设以及针对具体场所的物理干预。项目配套资金下将完成的活动也在本评估的范围内。

在项目开发过程中，UNCP支持的中国保护区制度改革项目都通过了UNDP的SESP单独审查。该分析确定了与项目活动相关的一系列潜在的社会和环境影响。主要涉及建立/扩大保护区，包括国家公园试点的建立，加强现有保护区规范的执行，以及在缓冲和连接保护区和（或）重要栖息地的区域划分和土地利用规则的变化。

针对具体项目的SESP模板（附件9.1）详细说明了适用于每个项目的具体环境和社会风险。总体而言，C-PAR1国家项目确定了8项社会和环境风险，C-PAR2甘肃项目10项，C-PAR3项目8项，C-PAR4海洋保护区项目8项。基于其发生概率和影响程度，每种风险的重要性被评估为三等，即低、中或高。基于这些个体风险的重要性，每个项目都被分配了总体的SESP风险分类评级，包括低、中或高（与分配给个体风险的高评级一样，即如果一个项目有一个或多个高风险，它将会有很高的整体风险分类）。

总体风险分类，以及四个项目的主要风险如下：

C-PAR1国家项目, C-PAR2甘肃项目, C-PAR3青海项目

**高风险：**由UNDP的社会与环境标准[[2]](#footnote-2)定义为“*项目包括潜在的重大和（或）不可逆转的不利社会和环境风险与影响，或在利益相关方参与过程中在潜在受影响社区和个人中引起显著担忧的活动*”。

C-PAR1-3的“高”风险分类与作为项目示范地的国家公园试点“核心区”内潜在的自愿重新安置有关，同时也与因为改变土地和资源获得的途径而造成社区经济失位的风险，这些地点通过改变获得土地和资源的途径，以及移民和经济失位将对少数民族产生的风险。

C-PAR1，C-PAR2和C-PAR3项目的目标保护区包括试点国家公园，其中有青海省的三江源国家公园，横贯四川、甘肃、陕西三个省的大熊猫国家公园以及位于青海省北部和甘肃西部广大地区的祁连山国家公园。由国家发展与改革委员会（NDRC）牵头的国家公园试点方案始于2015年，是保护区改革在中国的焦点。国家公园作为一种新型的保护区类型被引入中国，其他各类计划也正在实施以巩固现有的保护区，并将保护扩大到全球重要生物多样性的关键生态系统和栖息地 - 这些计划可能会导致社区从国家公园试点的“核心区域”迁出以及获取/使用其他地区国家公园中资源的变化。位于提案国家公园内和附近的许多社区主要由少数民族组成，因此可能受到重新安置和经济移位的影响。

**非自愿的迁居不在正在进行的国家公园制度建设计划下，也不会得到四个项目中任何一个项目的支持。**任何发生的迁居都是自愿性质的并由政府配套资金资助。GEF资金不会用于支持迁居。由GEF基金支持的活动将包括支持当地社区的可持续生计，包括那些已经经济上失位和/或自愿迁居的人，以帮助改善生计。

C-PAR4 海洋保护区项目

**中等风险:** 由UNDP社会与环境标准定义为“*项目活动有一定限度规模的潜在负面社会与环境风险与影响，具有一定程度的确认性，可以在项目实施过程中通过标准正确做法、缓和措施与利益相关方参与来解决。*”

C-PAR4的“中等”风险与因在中国东南沿海建立新的海洋保护区和/或加强海洋保护区对渔业和海洋资源获取的限制而导致渔业社区的潜在经济失位相关。

**表2**列出了可能造成社会和环境影响的关键项目活动。该表由各项目的SESP中包含的更详细的特定风险信息组成，见附件9.1。

**表格 2: 与项目主要活动相关的潜在社会、环境影响总结。**

请在附录 9.1-9.4 中查看关于各个项目潜在风险和风险降低策略以及一份项目风险的完整清单（下列表格只包含了中高等级风险）。

| **项目活动** | **潜在的社会与环境影响** | **SESP 参照 (在附录中查看SESP)** | **潜在的项目收益** |
| --- | --- | --- | --- |
| **创建新的保护区和扩大现有保护区，包括国家公园试点区** | 经济失位国家公园系统的扩大可能导致附近社区人口的经济失位，例如，土地和自然资源相关的经济行为将会受到限制和转变。鉴于发展计划，集体拥有的土地将会上缴政府，可能导致一些土地相关活动将被禁止，但是当地居民仍可继续在他们的住所居住。男女将会受到不同影响。中国东南沿海新建成的海洋保护区将会影响男/女渔民对海洋资源的使用。国家公园“核心区”人口的安置由C-PAR1, C-PAR2, 和C-PAR3项目标出的保护区包括国家公园试点区。 2017年9月推出的国家公园总体规划表明，处于核心区的居民可以选择自愿安置。核心区居民可以选择接受安置或自发提出要求安置。由于国家公园体系仍处于试验阶段，安置工作的进度和完成时间仍存在不确定性。包括本项目在内的四个国家公园项目不会考虑进行强制安置。潜在影响包括：**大熊猫国家公园试点:** 根据在项目预备筹款期收集到的信息，将有170,000左右的人生活在四川省的计划国家公园地区，其中大部分集中在“传统使用区”，该区域并没有安置计划。有6000人生活在划定核心区域，其中200个家庭已确定将在2020年前自愿安置。许多生活在中心保护区的家庭是少数民族。甘肃省国家公园占地567平方公里。根据区划草图，预计将有2309人受到影响，他们可以选择接受自愿安置，或继续进行可兼容的生活行为。**三江源国家公园试点区。**有64,600左右人口生活在核心保护区，其中大部分居民为西藏少数民族。根据总体规划草案中的纲要，这部分人口将会通过自愿迁移在2020-2025年逐渐减少，并在2035年达到稳定。其余居住人口大部分为当地牧民，他们 将会配合公园的工作和管理。**祁连山国家公园试点区，** 2017年6月通过国家公园项目审核，作为国家发展委员会带头的国家公园试验项目的一部分。其潜在的安置影响暂不明确。原住民（少数民族）所有项目区域包括少数民族社区将会受到来自新建保护区的影响，包括经济失位，失去土地等自然资源使用和/或自愿安置（假如居住在国家公园核心区）。这里少数民族的低识字率和性别不平等的确给他们的维权造成了困难。 | CPAR1 国家风险 1 (安置): 高风险2 (经济失位): 高风险3 (对少数民族影响): 高风险4 (弱势群体): 中风险5 (缺乏行动力): 中风险6 (性别不平等): 中CPAR2 甘肃风险 1 (安置): 高风险2 (经济失位): 高风险3 (对少数民族影响): 高风险4 (弱势群体): 中风险5 (缺乏行动力): 中风险6 (性别不平等): 中风险9 (气候变化影响): 中风险10 (自然灾害): 中CPAR3 青海风险 1 (安置): 高风险2 (经济失位): 高风险3 (对少数民族影响): 高风险4 (弱势群体): 中风险5 (缺乏行动力): 中风险6 (性别不平等): 中CPAR4 海洋保护区风险 1 (经济失位): 中风险 3 (性别不平等): 中 | 保护中国的生物多样性，包括全球重要的物种和重要生态栖息地。(譬如关键生物多样性地区)。与当地社区加强建立合作管理。更好地管理人类与野生动植物的冲突。生态补偿基金的价值分配。项目将会向试点区居民提供可替代的谋生方式，用来缓解限制自然商品和服务带来的压力。当地社区和保护区管理员工将会接受针对性的培训，来提高关于保护区价值的意识和知识。 |
| **加强对现有保护区的监管** | 经济失位在项目地区的居民将会面临经济失位的风险，为了加强保护区管理效率，项目将加强巡逻并严格执法，从而维护现有的土地资源获取使用权管理条例。这些规定可能会影响当地的少数民族并对男女居民产生不同的影响。这些限制可能会加剧或导致社区在获取资源方面与项目方发生冲突。 | CPAR1 国家风险2 (经济失位): 高风险3 (对少数民族影响): 高风险4 (弱势群体): 中风险6 (性别不平等): 中CPAR2 甘肃风险2 (经济失位): 高风险3 (对少数民族影响): 高风险4 (弱势群体): 中风险6 (性别不平等): 中CPAR3 青海风险2 (经济失位): 高风险3 (对少数民族影响): 高风险4 (弱势群体): 中风险6 (性别不平等): 中CPAR4 海洋保护区风险1 (经济失位): 中风险3 (性别不平等): 中 | 减少保护区内自然资源非可持续性/不合理的使用。保护区内保护成果提高。 |
| **修订分区和监管机制，包括生态走廊、生态敏感区（ESAs）和海洋功能分区等工具** | 经济失位因为甘肃和青海生态走廊的建立，项目地区的居民可能会面临经济失位。为了建立这些生态走廊，居民的某些土地活动将会被禁止或限制。海洋功能分区计划的推出将会影响到当地的男女渔民对海洋资源的使用。 | CPAR2 甘肃风险2 (经济失位): 高风险3 (对少数民族影响): 高风险6 (性别不平等): 中CPAR3 青海风险2 (经济失位): 高风险3 (对少数民族影响): 高风险6 (性别不平等): 中CPAR4 海洋保护区风险1 (经济失位): 中风险3 (性别不平等): 中 | 通过加强景观连通性，加强保护生物多样性，包括全球遭受少量基因流动性的稀缺物种。通过连接保护区和生态走廊加强生态恢复。  |
| **扩大对保护区管理和利益共享的参与，包括通过社区巡逻和可持续生计活动** | 可能出现对女性歧视的问题 在男女之间仍有不平等, 尤其是在农村地区少数民族的家族文化中。责任人能力不足，无法完成满足UNDP-GEF标准的项目计划。能力评估表明，一些项目地点的能力水平较低。按照当前的能力水平，执行项目计划较难达到UNDP和GEF标准，如满足人权、公众参与、性别主流化和社会环境保障。 | CPAR1 国家风险5 (缺乏能力): 中风险6 (性别不平等): 中CPAR2 甘肃风险5 (缺乏能力): 中风险6 (性别不平等): 中CPAR3 青海风险5 (缺乏能力): 中风险6 (性别不平等): 中CPAR4 海洋保护区风险3 (性别不平等): 中 | 副省级官员和当地官员以及社区成员技能和能力的提升。与当地社区共同管理能够促进社会和谐和性别平等。为当地社区提供可持续性的谋生条件能够促进性别平等。企业的加入能够给当地群众，尤其是妇女带来更多就业机会。 |
| **生物多样性保护活动 （多种）** | 潜在气候变化可能对项目的保护结果产生影响气候变化有可能对中国的保护区和海洋保护区产生影响。比如长期干旱或洪水会导致栖息地的流失，物种地区发生转移，迁徙变化，以及基因流动发生变化。长期看来，这可能会限制项目活动的成功实施和及其成果。自然灾害可能会对项目的保护结果产生影响C-PAR2项目保护区曾在过去受大量泥石流影响，造成财产损失和监测数据的流失。类似风险可能在本项目中发生。 | CPAR2 Gansu风险 9 (气候变化影响): 中风险 10 (自然灾害): 中 | 有效的保护了当地的生物多样性，以及提升了抵抗气候变化影响的能力。 |

# 环境和社会方面的法规和机构框架

## 国家法律，政策和规章制度

以下法律法规和项目实施有关。

《建立国家公园体制总体方案》于2017年9月26号由中华人民共和国国家发展和改革委员会起草，并做如下陈述：

* 摘要：按照自然资源特征和管理目标，合理划定功能分区，实行差别化保护管理。重点保护区域内居民要逐步实施生态移民搬迁，集体土地在充分征求其所有权人、承包权人意见基础上，优先通过租赁、置换等方式规范流转，由国家公园管理机构统一管理。其他区域内居民根据实际情况，实施生态移民搬迁或实行相对集中居住，集体土地可通过合作协议等方式实现统一有效管理。探索协议保护等多元化保护模式。

**总体环境保护**

**环境保护法**（2015）是国内目前最严格的环境法，该法律强调自然保护。以此为目的，该法律提倡“构建生态文明”并宣扬将环境保护作为“基本国策”。该法律构建了一系列关于生态保护的法律文书，例如生态功能区划分，生态恢复和生态补偿。尤其是第29条规定，国家有权在重点生态功能区、环境生态敏感区和脆弱区划定生态保护红线，并给予严格保护措施。

**环境影响评价法**（2003，2016修改）规定两类环境评估：一类针对规划（包括土地使用规划），一类针对建筑工程。

**土地权利 (安置)**:

在居民迁移安置方面，中国有建立和执行相关法律法规的长期历史，很多和水力发电项目有关。国家建设土地征用措施，1953年发布，是我国第一部在土地征用，建筑拆除，搬迁安置方面的法规。该措施概述了土地征用的原则和章程并建立了征地补偿的标准，为后来的土地管理法建立了基础。**土地管理法**经历了多次更新和修正，添加了多项条例，包含了针对中大型水保工程（1991与2006）的征地和安置规定。2006年规定为安置户提供补贴和工作培训，搬迁后将持续20年每年每人提供600元补助[[3]](#footnote-3)，并为安置户提供所需的社区基建设施。后增添了2006年指导方针—规定了为失去土地的农民提供就业培训和社会保险–规定了转为城市户口的农村户口，其补偿安置协议里需要包含社保并且提供长期补助。1991年和2006年的规定目的在于为居民提供相等的，或超过安置以前生活标准的补偿，使我国的安置政策与国际机构标准保持一致，例如世界银行和亚洲开发银行[[4]](#footnote-4)。

安置管理: 安置政策的实施和管理主要使用分散式模式。在这种模式下，各省在国家指导方针和规定内实施各自的管理标准。不同省份乃至不同区县可以实施各自补偿标准。区县级政府在国家设立的标准内设定补偿计算规则。国家重大项目，例如高速公路，能源设施（包括大坝），补偿标准会低于商业项目。水稻田的补偿系数高于山区林地，果园的补偿系数高于经济林地。2006年规定偏重将补偿作为恢复居民的权利而不是分享利益或开发。

对于以生物多样性保护为目的的土地征用，国家并没有特定的法律规定对土地所有者或拆线家庭的补偿细则。所以生态迁徙项目将运用之前讨论的安置规定。

**少数民族**:

中国有56个民族，主要从祖先，语言，社会和文化来区分。在56个民族当中，汉族是多数族裔，其他55个民族则作为少数民族。在中国，“土著民族”的概念并不适用。

**宪法（1982年,2004年修改）**指出了有关保护区的问题并强调，土地和资源作为国家的集体财产，应有国家担负起保护环境和资源的责任。宪法强调了在中国各个民族是平等的。国家保护少数民族的合法权益并支持发展各个民族间的平等、团结、与互助。国家会根据当地的民族特性与需求，帮助少数民族地区加速经济和文化发展。在社区集中的地区实行自治；在这些地区自治政府可以建立行政机构。假如在国家自治区开采自然资源和建立企业，将由国家给予适当考虑。所有相关规定可以参照**民族区域自治法**（1984年，2001年修改）[[5]](#footnote-5)。

**中华人民共和国民族区域自治法实施细则**（2005）[[6]](#footnote-6) 规定国家减轻贫困并加强发展民族自治区，并强调了在自治区的贫困农村建立基础设施和农田设施，包括改善水、电、道路、无线电、电视等方面，茅草屋和危房改造，并改善生态迁徙。所有措施将居民愿意的基础上实施。

## 国际协定和条约

中国已签订与该项目相关的多个多边合约，其中包括但不仅限于：

* 1971, 国际重要湿地公约（拉姆萨尔公约）
* 1972, 保护世界文化和自然遗产公约
* 1992, 生物多样性公约
* 1992, 联合国气候变化框架公约
* 1995, 北京宣言 (1995年9月15日联合国第四次世界妇女大会结束时通过的一项决议，颁布了一套关于男女平等的原则)
* 1998, 公民权利和政治权利国际公约(ICCPR); 1998年签署，尚未批准
* 2000, 《生物多样性公约》卡塔赫纳生物安全议定书
* 2007, 联合国土著人民权利宣言(UNDRIP)

## 联合国开发计划署的社会与环境标准

在ESMF内的四个C-PAR子项目将会遵守UNDP的社会环境标准（SES），该标准于2015年1月1日起生效。这些标准表达了UNDP对社会与环境可持续性的承诺，并把可持续性发展当做项目质量保证和风险管理评估的重要指标。通过SES，UNDP满足全球环境基金的环境与社会的保障政策。

SES的目的是:

* 加强项目的社会与环境贡献
* 避免向居民和环境带来负面影响
* 最小化，减轻与管理不可避免的影响
* 加强UNDP与合作伙伴管理社会环境风险的能力
* 确保利益相关方全面有效的参与，包括解答来自受项目影响群众的投诉的机制

为与UNDP的SES保持一致，四个项目在开发阶段均使用了社会与环境评估程序（SESP）。基于UNDP社会环境政策，将根据发生几率、影响程度将出现的潜在风险评估为“中度”或“高度”，并“触发”相应SES原则。“低度”风险则不会触发相应的原则或规定。

评估表明在项目开发阶段，关于四个项目的九个社会环境标准中的六个被“触发”因为其“中度”和“高度”风险：

* 原则1: 人权（建立新的保护区和建立重要栖息地管理条例，将对当地居民土地使用和资源使用带来影响）
* 原则2: 性别平等与妇女权益 (介于在试点区的性别差异)
* 标准2: 减缓与帮助气候变化（项目成果将容易受到气候变化的影响）
* 标准3: 社区健康，安全和工作环境（项目地区有自然灾害潜在风险）
* 标准5: 迁徙与安置（保护区扩大和保护区规定执行带来的自愿安置[[7]](#footnote-7)和经济转变）
* 标准6: 土著民族（项目示范区和国家公园中心试点区的少数民族会遇到安置和经济转变的影响）

在**表格3**中，每一条SES原则和规定下都有一个风险重要性的总结，以及每个项目触发的保护标准（对勾表示）。

## 政策框架间的差距

对于四个项目的法律和政策框架的深层分析会在实行该ESMF期间完成（即ESIA或相关评估完成之时）。在此阶段，还没有发现框架间的差距。

**表格3：项目准备期的审查触发的保护措施总结**

| **项目** | **C-PAR1 国家** | **C-PAR2 甘肃** | **C-PAR3** **青海** | **C-PAR4** **海洋保护区** |
| --- | --- | --- | --- | --- |
| **项目总体风险分类** | **高** | **高** | **高** | **中** |
| **首要原则/ 项目标准** | **Risk Rating** |
| 原则 1: 人权 | **✓****高** | **✓****高** | **✓****高** | **✓****中** |
| 原则2: 性别平等与妇女权益 | **✓****中** | **✓****中** | **✓****中** | **✓****中** |
| 原则3: 环境可持续性 |
| -标准1: 生物多样性保护和自然资源可持续性管理 | **低** | **低** | **低** | **低** |
| -标准2: 气候变化减缓与帮助 | **低** | **✓****中** | **低** | **低** |
| -标准3: 社区健康，安全和工作环境 | 无 | **✓****中** | 无 | 无 |
| -标准4: 文化遗产 | 无 | 无 | 无 | 无 |
| -标准5: 迁徙与安置 | **✓****高** | **✓****高** | **✓****高** | **✓****中** |
| -标准6: 土著民族 | **✓****高** | **✓****高** | **✓****高** | **低** |
| -标准7: 污染预防和资源效率 | 无 | 无 | 无 | 无 |
| **风险评分类别中的风险数量** | **C-PAR1** | **C-PAR2** | **C-PAR3** | **C-PAR4** |
| **高** | 3 | 3 | 3 | - |
| **中** | 3 | 5 | 3 | 2 |
| **低** | 2 | 2 | 2 | 6 |
| **项目的总风险数量** | 8 | 10 | 8 | 8 |
| **项目总体风险分类** | **高** | **高** | **高** | **中** |
| **启动的保护措施标准数量** | **4** | **6** | **4** | **3** |

# 社会与环境影响的审查、评估与管理步骤

根据四个由UNDP支持的C-PAR项目审查和SESP模板，在项目执行期间，作为UNDP应尽的程序，发展了该社会与环境管理框架（ESMF）。根据每个项目的风险分类以及它们的特定风险，风险审查、评估和管理步骤必须在项目初始阶段实施，具体如下。

**高风险项目类别**

**C-PAR1 国家, C-PAR2 甘肃, C-PAR3 青海**

**每个项目需要以下措施：**

1. **环境与社会影响评估 (ESIA)**: 与UNDP的SES政策保持一致，高风险项目需要进行全面评估。该三个项目均需要由独立专家带领利益相关人在项目初始阶段完成ESIA。每个ESIA将会进一步确认和评估项目在环境和社会方面的影响和范围; 评估替代方案; 并设计合适的风险规避、减小、管理和监控方案。该评估会提到所有SES总体原则和项目标准的相关问题。ESIA的主要产出是ESMP，如下。
2. **ESIA报告和环境社会管理规划 (ESMP)**: ESIA报告和ESMP（每个高风险项目各有一个）将会提供一组风险规避，减小，监控和管理措施 – 以及实施这些措施的活动 – 来实现期望的社会和环境可持续性目标。作为Prodoc的补充，ESMP可以进一步确定那些项目活动不能进行，直到相关的风险缓解措施实行。相关措施将会被采用并通过项目的活动，监控，汇报框架和预算成为项目的一部分，并用项目SESP记录下来。

在C-PAR1, C-PAR2和C-PAR3项目开发期间完成的SESP将会被当做该评估的基础。UNDP SESP的初期分析和审查表明三个高风险项目的ESIA和ESMP阐述了以下关键点：

* 评估示范区潜在的物理和经济位移
* 评估在安置方面的国家和省级政策和机构框架，对照UNDP标准寻找有无差异。
* 确保没有强制驱逐或非自愿安置的情况发生；
* 确保为受到经济转变影响的居民提供替代的工作帮助;
* 评估潜在影响（包括安置和经济位移）特别是对少数民族的影响以及他们的权益维护；
* 与少数民族相关的所有活动需在活动前签订知情同意书；
* 在项目实施中与性别主流计划和利益相关者参与计划建立联系；
* 在准备ESIA、ESMP和其他独立管理计划期间与受影响社区进行磋商，针对潜在影响和管理措施，以及项目规划，实施和监控等有可能会带来社会和环境影响的活动（例如安置，经济位移）。

更多关于ESIA和ESMP的要求可以在附录9.5和9.6找到。

**中等风险项目类别**

**C-PAR4 海洋保护区**

**该项目要求实行下列措施：**

1. **对潜在经济位移进行针对性评估:** 按照UNDP SES政策，中度风险项目需要特定并且有针对性的社会环境评估。对于C-PAR4 海洋保护区项目，将会有独立专家带领利益相关方在项目初期起草一份针对经济位移的评估。这份材料将会评估海洋保护区和其管理条例有可能带来的经济转变。在C-PAR4项目开展阶段完成的SESP将会被用作该针对性评估。该评估将会与受影响群体进行讨论，包括与少数民族进行FPIC咨询，讨论关于潜在影响和管理措施，确保社区参与进项目规划、实施和监控。
2. **评估报告和确认的管理措施：**评估报告和修改的SESP将会确认有时限的措施来规避、减少和管理潜在影响。如果针对性评估表示其中的必要性，则将会有一个独立的管理计划（民生行动计划）来实行相应管理措施。无论依照哪份文件（修正过的SESP或独立管理计划），针对性评估都至少包含：
* 一份关于社会与环境风险和影响的总结，其中风险不可规避但通过一些措施风险和影响都被消除。
* 为每个风险和影响实行减缓措施
* 监管与报告计划
* 利益相关方的参与，包括与少数民族进行FPIC咨询，并在管理措施实行上与利益相关方共同参与。
* 实施计划、成本估算和资金来源。

更多关于独立管理计划的资料可以在UNDP官网找到：

<https://info.undp.org/sites/bpps/SES_Toolkit/SitePages/Guidance%20and%20Templates.aspx>.

***对于这份ESMF包含的所有项目，在每个项目有可能会产生负面影响的活动开展之前，尤其是有可能造成物理或经济位移的活动，或影响到少数民族，以上要求的评估和管理计划必须要准备并且有缓和措施。***

**审查:**

在实施过程中，这些项目将会根据评估需要由UNDP SESP进行再次审查；根据项目的ESMP或独立管理计划规定；当各自的项目经理确定其有必要（经过PMO负责保障措施人员的建议），项目指导委员会，项目官员（能够在项目层面提供机构保障措施），或UNDP，和/或项目情况出现实质性变化。

# 机构安排与能力建设

## ESMF实施方的角色和责任

该ESMF实施方的项目人员和相关代理有以下的角色和责任。该ESMF并不负责实施后加的ESMP或独立管理计划；根据此份ESMF规定，它们将会在各自项目的附加管理计划中得到阐释。

**实施伙伴：**

|  |  |
| --- | --- |
| C-PAR1: 国家项目 | 环境保护部对外经济合作中心 |
| C-PAR2: 甘肃省项目 | 甘肃省林业厅 |
| C-PAR3: 青海省项目 | 青海省林业厅 |
| C-PAR4: 海洋保护区项目 | 国家海洋局 |

* 确保所布置任务（上述社会和环境影响评估或其他目标任务）、任务报告和所布置管理计划（上述ESMP或其他独立管理计划）进展顺利，向公众公开并通过审核，确保项目实施过程中各项管理措施得以实施并加以协调；
* 针对工作计划的项目进度报告需客观准确，严格符合报告安排及所要求格式；
* 确保有关项目资源合理利用的文件证据与已签署的项目文件及相关法规程序（如SES）维持一致；
* 确保符合UNDP SES、国家法规政策框架与相关国际标准的要求（如减少自愿安置造成的影响）；
* 在项目整体管理过程中对UNDP保持应尽的责任和义务，包括遵守UNDP SES。

**项目指导委员会：**

|  |  |
| --- | --- |
| C-PAR1: 国家项目 | 财政部、环保部、UNDP、环保部对外经济合作中心、青海省政府、四川省政府、仙居县政府 |
| C-PAR2: 甘肃省项目 | 甘肃省林业厅、UNDP、甘肃省财政厅、发展和改革委员会、农牧厅、水利厅、环保厅、旅游局、插岗梁、多儿和裕河自然保护区、甘肃省濒危动物保护中心、地方政府包括武都区、舟曲县、迭部县、两当县、和政县和武威市 |
| C-PAR3: 青海省项目 | 青海省林业厅、财政部、UNDP、青海省财政厅、青海省农牧厅、祁连山省级自然保护区、青海湖国家级自然保护区、地方政府（与项目计划相关的） |
| C-PAR4: MPA项目 | 国家海洋局、财政部、UNDP、第三海洋研究所、省级海洋渔业厅代表（广西、广东、福建）、沿海试点城市代表（钦州、北海、江门、珠海、厦门） |

* 监控以确保ESMF实施过程符合国内和国际法规以及UNDP SES；
* 采取必要措施以做决策，包括在项目产出和年度计划中的管理措施的整合；
* 建立并申诉纠正机制以解决所有投诉。

**UNDP:**

* 对所有保障事项进行监管；
* 向所有与GEF项目相关的，或可能受到正反面潜在影响的利益相关方说明UNDP企业责任机制（描述如下）；
* 确保合规性审查与利益相关方责任制在项目周期中正常运作；
* 确保由UNDP账户出资的项目活动在运行中遵守SES，并及时弥补不足之处；
* 核实并纸面证明UNDP SES被严格执行并提供纸面证明；
* 为ESMF的实施提供技术指导，为招聘保障服务人员提供行政支持，监督每项项目遵守ESMF和UNDP的政策和流程。

**项目管理办公室：**

* 监督管理ESMF规定的的措施得以顺利执行；
* 为项目管理办公室成员分配具体的有关执行ESMF方面的工作，包括监督工作，以及对初步管理计划的进一步团体磋商；
* 保管环境与社会管理相关记录，包括SESP更新、影响评估、投诉记录以及管理措施实施文件。
* 向执行伙伴汇报工作，包括项目指导委员会，C-PAR1的项目合作办公室和执行ESMP时的UNDP国别办公室；
* 确保所有服务提供者都了解随时遵守ESMF的责任。

**C-PAR项目指导委员会（包括财政部、环保部、UNDP、环境保护部对外经济合作中心、国家发展及改革委员会）、国家林业局、国家海洋局、甘肃省林业厅、青海省林业厅、四川省林业厅、保护国际基金会、中国环境科学研究院：**

* 为C-PAR项目执行提供战略指导，包括监督ESMF的执行和相关保障工作。

如上所示，项目后续的ESMP（C-PAR1、2、3）及独立管理计划（C-PAR4）将说明执行计划的角色和职能。这些新角色和职能将会被评估并酌情整合，作为参与项目决策和执行过程的一部分。

## 能力建设

有关社会和环境保障领域的专家将投入到支持ESIA（C-PAR1国家，C-PAR2甘肃省，C-PAR3青海省），对经济失位的目标评价（C-PAR4 MPA），ESMP的后续发展（C-PAR1国家，C-PAR2甘肃省，C-PAR3青海省）及所有其他独立管理计划的工作中。这些专家将为项目管理单位（以及相关执行伙伴）提供保障责任和手段的入门讲座。

UNDP-GEF将为项目组提供建议，支持ESMF的执行准备工作及ESMP的执行监督工作。

项目执行过程中，每位项目指导委员均有责任致力于ESMP或独立管理计划的整合工作。整合工作需考虑ESMP申请执行框架中的特点制度需求，包括各项措施预算分配的审核，以及在不同管理层级（如地级、省级、国家级）的权限和职能，还有他们管理监督ESMP执行的能力。能力建设和技术支持活动将在所需地区被引入，以保证ESMP工作顺利进行。

# 引入利益相关方和信息发布

每个项目的发展初期应与项目利益相关方进行讨论，包括项目地的本土社区。参与协商的利益相关方列表已附在项目文件里。每个项目还有单独的利益相关方参与计划和性别平等行动计划附在项目文件里。遵照这些计划可确保利益相关方切实参与项目执行工作，特别是未来社会和环境影响的评估和适用管理手段的开发。基于遵照ESMF的评估和管理计划，项目利益相关方参与计划将在项目执行过程中保持更新。

每个项目受到潜在影响的利益相关方也将参与ESMF执行工作，包括少数民族的FPIC磋商会。

作为利益相关方参与计划的一部分，UNDP SES要求项目利益相关方能够获取相关信息。SES特别规定，在UNDP发布的政策流程中，UNDP必须确保以下几项信息公开：

* 利益相关方参与计划和利益相关方协商总结报告
* 项目文件中的社会和环境审查报告
* 社会和环境评估草案，包括任何初步管理计划
* 社会和环境评估最终结果和相关管理计划
* 任何所需社会和环境监控报告。

正如SES和UNDP SESP所列，评估和管理计划的形式和时间取决于计划相关的社会和环境风险等级以及社会和环境评估时间安排。

ESMF（和项目SESP）翻译稿将同UNDP SES政策一起通过UNDP中国官网发布。后续项目ESMP或独立管理计划（C-PAR4）草案也将通过UNDP中国网站发布，并在规定的发布时间段之后最终确定与采纳。

在实施ESMF期间，将遵守这些利益相关方参与和发布的要求，以及随后实施最终的ESMP和其他独立的管理计划。

# 责任制和申诉纠正机制

## UNDP责任制

UNDP SES认为再完善的计划和利益相关方参与政策也可能会产生突发问题。因此SES需从两个关键方面得到巩固：

* 1. 对于UNDP未能遵守相应环境政策的投诉，社会与环境合规审查部门（SECU）将做出解释；
	2. 利益相关方响应机制（SRM）需确保受项目影响的居民或社区团体能够进入申诉解决流程，以听证并解决的投诉和争论。

UNDP责任制对所有UNDP项目利益相关方有效。

社会与环境合规审查部门将针对项目利益相关方违反UNDP社会与环境标准的现象进行调查，并提出建议以解决这些现象。

利益相关方响应机制帮助受项目影响的利益相关方、UNDP合作者（政府、非政府组织、企业）共同解决与UNDP资助的社会环境项目相关的投诉和争论。

如果需要更多信息，包括如何向社会和环境合规审查部门或利益相关方响应机制提出申请，请进入UNDP官方网站：

http://www.undp.org/content/undp/en/home/operations/accountability/secu-srm/

## 项目级申诉纠正机制

如四个项目文件中描述，每个项目在执行前须公布其项目级申诉纠正机制。这些机制的具体细节将在每个项目的评估工作完成时通过审核。

利益相关方可在任何时间向项目管理办公室、执行机构、UNDP实施机构或GEF提出申诉。

# ESMF执行预算

ESMF执行资金包含在四个单独的子项目预算里。估算成本如表4所示。由项目管理单位成员协调实施ESMF实施的成本未表现在表格里。更多细节在各项目的项目文件中可见。

**表4：项目级ESMF执行预算明细**

| **项目** | **预算(美元)** |
| --- | --- |
| **C-PAR1: 国家项目 (高风险)** |
| 国际顾问、保障专家 | $15,000 |
| 国内顾问、保障专家 | $15,350 |
| 地方顾问、社区发展专家 | $8,596 |
| 咨询差旅费 | $10,466 |
| 音像及印刷出版物费用 | $1,500 |
| **总计:** | **$50,912** |
| **C-PAR2: 甘肃省项目（高风险）** |
| 国际顾问、保障和安置专家 | $12,000 |
| 国际顾问、社会融入专家 | $15,350 |
| 国际顾问、汉藏双语社会融入专家 | $5,526 |
| 咨询差旅费 | $7,091 |
| 音像及印刷出版物费用 | $1,000 |
| **总计：** | **$40,967** |
| **C-PAR3: 青海省项目（高风险）** |
| 国际顾问、保障专家 | $6,000 |
| 国内顾问、保障专家 | $6,140 |
| 地方顾问、社区发展专家 | $8,289 |
| 咨询差旅费 | $9,292 |
| 音像及印刷出版物费用 | $1,000 |
| **总计：** | **$30,721** |
| **C-PAR4: 海洋保护区项目（中等风险）** |
| 国际顾问、保障和性别问题专家 | $3,414 |
| 差旅费 | $1,300 |
| 音像及印刷出版物费用 | $1,000 |
| **总计：** | **$5,714** |

# 监控与评估计划

项目季度报告和年度执行报告将汇报ESMF执行进展和遇到的问题。直到ESMP及其他独立管理计划落实到位，C-PAR项目合作办公室将负责ESMF的执行报告的编纂，以用来向项目指导委员会和C-PAR项目指导委员会汇报工作。重要问题将在每次委员会会议上分别汇报给各项目指导委员会。

独立项目管理团队和其他未来计划的伙伴将有责任完成后续社会与环境管理计划（高风险计划）和独立管理计划（所有涉及计划）的执行工作。

社会与环境管理框架监控和评估计划在**表5**中列出。

**表5：ESMF监控评估计划及预算**

| **监控活动和有关项目** | **描述** | **频率/时间表** | **计划行动** | **角色和责任** | **成本（每项项目）** |
| --- | --- | --- | --- | --- | --- |
| 跟踪环境和社会管理框架执行进展（所有四项UNDP的C-PAR项目） | 各项项目的环境和社会管理框架执行工作，以及向项目指导委员会进行年度汇报 | 每季度一次（直到环境和社会管理计划以及独立管理计划落实） | .每项UNDP援助C-PAR项目所需环境和社会管理框架步骤将会尽快完成 | 项目合作办公室；项目经理，以及来自项目监控和评估/保障办公室的支援 | 无 |
| ESIA及相关报告、环境和社会管理计划的完善（仅针对高风险项目：C-PAR1,C-PAR2,C-PAR3） | 贯彻开放的工作方式，深入分析潜在社会和环境影响，以及确认缓和手段并以参与式方法起草 | 项目执行周期中的第一、第二季度 | .外部顾问、来自项目组和利益相关方的参与者将协助评估风险和潜在影响；管理行动将被鉴定并列入项目执行策略 | 外部服务供应方（环境和社会方面）以及UNDP指导、项目经理和项目监控评估/保障办公室 | US$51,000 (C-PAR1)US$41,000 (C-PAR2)US$31,000 (C-PAR3) |
| 缓和措施的执行工作，以及ESIA及后续环境和社会管理计划指出的潜在影响的监控工作（仅针对高风险项目：C-PAR1,C-PAR2,C-PAR3） | 与环境和社会管理计划同步，永久开放地进行影响监控与缓和措施的执行工作（与ESIA共同进行准备工作） | 一旦ESIA工作完成，环境和社会管理计划落实到位，该工作将持续进行 | 执行ESMP工作；对ESIA发现问题进行公开监控（如识别指标，监控潜在影响和风险）；将ESMP整合进入项目执行策略；监控环境和社会风险，以及相应管理计划（由国家协会、地方顾问、CSO及服务供应商负责） | 项目经理，UNDP国别办公室，监控和评估/保障办公室，协调员 | 待定 |
| 对目标评估报告和相关生计行动计划的提升（针对中风险项目C-PAR4） | 以开放模式执行，针对与海洋保护区管理加强对相关潜在民生问题的分析，以及对缓和措施的开放式认证 | 项目执行周期中的第一、第二季度 | 外部顾问、项目组参与者和利益相关方将负责评估与海洋保护区周边经济位移相关的潜在风险；完成评估报告；作为基于评估所发现问题而进行的调整，将会发展一项民生行动计划；管理行动将被认证并列入项目执行策略 | 外部服务供应方（环境和社会方面）以及UNDP指导、项目经理和项目监控评估/保障办公室 | US$5,700 (C-PAR4) |
| 管理措施执行工作及评估过程中所提出的潜在影响的监控工作（针对低风险项目C-PAR4） | 针对评估提出问题，永久开放地进行影响监控与缓和措施的执行工作（包括已发展的民生行动计划） | 一旦评估工作完成，管理计划落实到位，该工作将持续进行 | 独立管理计划的执行；公开监控；管理计划将被列入执行策略 | 待定 | 待定 |
| 培训（所有四项UNDP的C-PAR项目） | 定期总结知识、优秀实践以及社会环境风险管理的经验，并整合其他项目或合作者的经验 | 至少每年一次 | 相关课程将由项目组开办，并用于管理决策 | 项目经理，C-PAR1宣传办公室 | 无 |
| 年度项目质量评估（所有四项UNDP援助C-PAR项目） | 项目质量将会参考UNDP质量标准来评估，找出缺点和不足，并用于提升项目的管理决策 | 每年一次 | 重新审视缺点和不足，以提升项目效率 | 项目协调官员，以及来自项目监控和评估/保障办公室的支援 | 无 |
| 重审项目以纠错（所有四项UNDP援助C-PAR项目） | 对监控活动所得数据和证据的内部审查，并用于决策 | 至少每年一次 | 项目指导委员会将讨论项目数据，以修正项目进展路线 | 项目指导委员会（或利益相关方） | 无 |
| 项目报告（所有四项UNDP援助C-PAR项目） | 作为进度报告的一部分，汇报给项目指导委员会和重要利益相关方，包括分析、更新以及对风险管理的建议 | 每年一次，以及项目结束时（总结报告） | ESMF/ESMP独立管理计划的更新将在全球环境基金项目实施报告中汇报 | 项目协调官员和项目经理 | 无 |
| 项目评审（所有四项UNDP援助C-PAR项目） | 在风险分析的更新和风险消解手段建议的讨论中，项目管理机构（比如项目指导委员会）将定期开展办项目审查工作 | 至少每年一次 | 项目指导委员会将对国家机构或项目组未能充分解决的风险或影响进行讨论、商定并提出建议 | 项目指导委员会、项目合作办公室和项目经理 | 无 |

# Annexes

## C-PAR1 (National project) SESP Template

|  |  |
| --- | --- |
| ***Project Information***  |  |
| 1. Project Title
 | China’s Protected Area Reform (C-PAR) for Conserving Globally Significant Biodiversity (China’s Protected Areas System Reform – Child Project #1 (CPAR1)) |
| 1. Project Number
 | PIMS 5688 |
| 1. Location (Global/Region/Country)
 | People’s Republic of China |

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

|  |
| --- |
| **QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?** |
| ***Briefly describe in the space below how the Project mainstreams the human-rights based approach***  |
| A human rights based approach is about empowering people to know and claim their rights and increasing the ability and accountability of individuals and institutions who are responsible for respecting, protecting and fulfilling rights. The project will achieve integration of human-rights based approaches through its main objective: “*Establish an effective National Park System through protected area reform and institutional innovation, increasing coverage of protected areas and improving effectiveness of PA management for conservation of globally significant biodiversity*”. Conservation of biodiversity for current and future generations by its nature secures fundamental human rights. Component 1 will support the Government reform process of the national protected area (PA) system, particularly the national park (NP) system, which is envisaged by the central government to act as the cornerstone for the national PA system. The project will provide support to the process by establishing effective governance and legal frameworks for the national PA system, harmonized an effective national system for selecting, designing, managing and monitoring various types of PAs. Human-rights based approaches will be mainstreamed by ensuring transparent selection, planning and monitoring procedure for different types of PAs under the new framework, as well as ensuring a legal framework that provides for various forms of collaborative management of PAs and natural resources.Component 2 will bring about expansion of the national PA system by 2 million ha, an increase in environmental sensitive areas (ESA) and capacity building for biodiversity mainstreaming in development and sector planning. Human-rights approaches will be mainstreamed by establishing clear safeguards for project operation to ensure protected area expansion or ESA designation of an area do not infringe on human rights of both men and women and of different ethnicity. Local community consent and participation will be assured for PA or ESA planning, designation and management. Under Component 3 the requisite enabling conditions for sustaining the project results will be strengthened through targeted knowledge management, monitoring & evaluation, and gender mainstreaming and social inclusion. The project is also designed to strengthen the environmental management capacities of the provincial level conservation agencies, other provincial sectors, local governments, the civil society, and community groupsInclusive consultations during the project preparation phase with local communities, local governments, civil society, and provincial agencies have socialized the key stakeholders to the proposed interventions.The overall implementation plan for the national park (NP) system that was released in September 2017 indicates that local communities situated with key conservation zones will be gradually resettled and collectively held land normatively transferred through leasing, land exchange, and other approaches. The CPAR1 project, which is also serving as the platform for coordination of the C-PAR program, is well positioned to assist the governmental partners in implementing these envisaged actions according to human rights related standards and practices according to national and international laws, through participatory community consultations, demonstration of collaborative management arrangements that involve local communities in the management of the protected areas, and development of sustainable alternative livelihood opportunities.The CPAR1 project will have a grievance redress mechanism which will enable project-affected people to raise concerns or grievances, consistent with the accountability and rule of law human rights principle. This will be detailed in the ESMP. |
| ***Briefly describe in the space below how the Project is likely to improve gender equality and women’s empowerment*** |
| At the project level, a gender mainstreaming plan has been developed to guide the gender mainstreaming process during project implementation. Specific gender roles have been integrated into the project and programme level implementation arrangements, including but not limited to the following:1. The Project Manager will appoint a gender focal point in the PMO who will implement and monitor the project level gender mainstreaming plan and support project focal points at PA Administration and site levels to mainstream gender into all project activities.
2. The three NP project pilot sites will each designate a staff member as a gender focal point who will assist in the implementation of the gender mainstreaming plan and support the project-recruited gender experts.
3. Project-recruited gender experts will support the project with gender training, monitoring & evaluation of site activities, and consultations with local communities.
4. The gender mainstreaming objectives for the project will be championed and monitored by the project-recruited gender experts and the project gender focal points, with back-up from the UNDP country office gender experts.

During the project preparation phase, consultations were made with local communities, as well as representatives provincial government agencies and civil society organizations. The project results framework contains measurable indicators related to gender equality and women’s empowerment; an ATLAS gender marker of 2 has been applied to the project. For example, a target of 40% women representation among direct project beneficiaries has been applied in the project design, e.g., local collaborative management committees should have at least 40% women members. Sustainable alternative livelihoods will be developed that facilitate equitable participation by women. Gender and social inclusion training will be mandatory for project implementation staff and service providers, and resources have been allocated to monitor and evaluate socioeconomic benefits as part of the ESMP, which will be developed during project inception after the ESIA is complete. Gender aspects will also be included in the ESIA and the gender action plan will be updated accordingly. Moreover, knowledge products will be developed and disseminated according to the literacy and cultural circumstances of the local project communities, to ensure equitable gender and social inclusion. |
| ***Briefly describe in the space below how the Project mainstreams environmental sustainability*** |
| Environmental sustainability is inherent in this project objective and outcomes. Under Component 1, the project will endeavor to ensure sustainability of the project outcomes through supporting the national PA reform process backed by reform laws, regulations, and guidelines, and through expanding coverage of Key Biodiversity Areas (KBAs) and increasing connectivity within the national PA system. Under Component 2, the establishment of the NP system will be enhanced through pilot development, largely focusing on strengthening community participation in natural resource management, with the goal of achieving mutually beneficial conservation and socioeconomic outcomes, along the poverty-environment nexus and consistent with the precautionary principle in biodiversity conservation and natural resource management, i.e., respecting priorities of both conservation and sustainable development. The project will support NP pilot development for 3 of the NP pilots, including the Three Rivers Source NP, the Giant Panda NP, and the Xianju Provincial Park. The Three Rivers Source NP covers a vast area, covering 120,000 km2 in Qinghai Province, and is situated within the headwaters of three of the major rivers in China (and Asia): Yangtze River, Yellow River, and Mekong River. The proposed Giant Panda NP will consolidate more than 70 individual nature reserves in three provinces (Sichuan, Gansu, and Shaanxi), and will cover more than 27,000 km2, with more than 20,000 km2 in Sichuan province. Through establishment of the Giant Panda NP, approximately 85% of giant panda habitat will be protected. The Xianju Provincial Park covers approximately 302 km2 in the southeast part of Zhejiang County, and consolidates four unique protected areas, specifically the Xianju National Resort, Xianju National Forest Park, the Kuocang Mountain Provincial Nature Reserve, and the Shenxianju Provincial Geologic Park.Under Component 3 the requisite enabling conditions for sustaining the project results will be strengthened through targeted knowledge management, monitoring & evaluation, and gender mainstreaming and social inclusion. The project is also designed to strengthen the environmental management capacities of the provincial level conservation agencies, other provincial sectors, local governments, the civil society, and community groups.Consistent with the overarching C-PAR program, this project is closely aligned with the ecological conservation objectives outlined in the 13th Five-Year Plan for Economic and Social Development of the People’s Republic of China (2016-2020), which further mainstreams the principle of eco-civilization into the socioeconomic development priorities for the country; the National Biodiversity Strategy and Action Plan (NBSAP) for 2011-2030; the Aichi targets under the UN Convention on Biological Diversity; and the UN Development Assistance Framework (UNDAF) for China, specifically Priority Area No. 2: “*Improved and Sustainable Environment*”, Outcome 2: “*More people enjoy a cleaner, healthier and safer environment as a result of improved environmental protection and sustainable green growth*”. The project also contributes towards achievement of the UN Sustainable Development Goals for China, specifically Goal 15: “*Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss*”. |

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

|  |  |  |
| --- | --- | --- |
| **QUESTION 2: What are the Potential Social and Environmental Risks?**  | **QUESTION 3: What is the level of significance of the potential social and environmental risks?***Note: Respond to Questions 4 and 5 below before proceeding to Question 6* | **QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?** |
| ***Risk Description*** | ***Impact and Probability (1-5)*** | ***Significance******(Low, Moderate, High)*** | ***Comments*** | ***Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.*** |
| **Risk 1: Local communities (including ethnic minorities) living in key conservation zones of NP pilots could be gradually resettled. Voluntary resettlement is proposed in the zoning plan for Giant Panda NP pilot and in the draft master plan for Three Rivers Source NP pilot.***Standard 5: Displacement and Resettlement:**5.1. Would the potential outcomes of the Project potentially involve temporary or permanent and full or partial physical displacement?**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?**Standard 6: Indigenous Peoples:**6.6. Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?* | I = 4P = 4 | **High** | The implementation plan issued by the government of China in September 2017 for the national park (NP) system indicates that “in key conservation zones, local communities should be gradually resettled and collectively held land should be normatively transferred through leasing, land exchange, and other approaches based on full solicitation with owners and users”. For this project there are two demonstration sites where resettlement could occur: Giant Panda NP pilot and Three River Source NP Pilot. As the NP system remains in pilot phase, there is a level of uncertainty on how this will be achieved and over what timeframes. Current estimates are:Giant Panda NP: Based on information gathered during the PPG phase, there are approximately 170,000 people living in the Sichuan section of the proposed NP, but most of these are within a zone referred to as “traditional use”, where resettlement is not planned. There are about 6,000 people living in the delineated core zone and, of which, 200 households have been identified for voluntary resettlement by 2020. Many of the households in the core conservation zone are comprised of ethnic minorities. The Gansu section of the NP covers about 567 km2, and according to a draft zoning plan, some 2309 people are likely to be affected, with voluntary resettlement proposed for those in the core zone, with the option of remaining and undertaking compatible livelihood activities.Three River Source NP: According to the draft master plan (29 November 2017) for the Three Rivers Source NP, there are an estimated 64,600 people living in the core conservation zone, and most of these residents are of Tibetan ethnic minority. As outlined in the draft master plan, this population will be gradually decreased by 2020 and further by 2025 through voluntary migration and is expected to reach a stable level by 2035. The remaining inhabitants are expected to be largely local herders who will be involved in NP management through collaborative arrangements.Resettlement could impact on ethnic minorities living in the core zones (see Risk 3). | Based on initial assessments, an environmental and social management framework (ESMF) has been prepared during the PPG phase to put in place measures for the management of the project’s social and environmental risks.In accordance with the ESMF, an environmental and social impact assessment (ESIA) will be carried out at project inception to assess this and all other environmental and social risks, followed by a subsequent environmental and social management plan (ESMP). Free and Prior Informed Consent (FPIC) must be applied throughout the ESIA/ESMP; no relocation will take place without FPIC. Further information regarding the approved national park, including the master plan, are expected to be available at project inception. The ESIA process will draw upon this information to assess the associated impacts, and to inform the specific management measures outlined in the ensuing ESMP and standalone Resettlement Action Plan(s) if required. Indicative community level activities for the three NP pilot sites are designed to enhance the inherent linkages between the local communities and conservation objectives.Involuntary resettlement is not planned under the ongoing establishment of the NP system in China and will not be supported by this project.Resettlement is associated with government co-financing. GEF funds will not be used to support resettlement. |
| **Risk 2: Communities in the project area (including ethnic minorities) could face economic displacement, changes to land rights and/or restricted access to resources because of the expansion of the NP system and stronger/new NP regulations. These impacts could impact women differently than men.** *Principle 1: Human Rights. question 3. Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?**Principle 2: Gender Equality and Women’s Empowerment. question 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?**Standard 5: Displacement and Resettlement**5.2. Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation?**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?**Standard 6: Indigenous Peoples:**6.6. Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?* | I = 4P = 3 | **High** | Communities in the project area could face economic displacement because of the expansion of the NP system, e.g., through the loss of land use rights. Certain land use activities would likely be prohibited as part of the process of transferring collectively held land to the state, but the residents might be allowed to continue to live in their dwellings. These risks may apply to ethnic minorities (see Risk 3).Local communities are widely socialized to living and working inside and near conservation areas in the provinces where the three NP project pilots are situated; including Gansu, Qinghai, Shaanxi, Sichuan, and Zhejiang provinces. The increasing integration of conservation and socioeconomic development priorities, both at the national and provincial level, has further reinforced the value of the protected area system in helping to secure long-term sustainability of the ecosystem goods and services that local communities are reliant upon. Awareness has been further bolstered through the widely publicized NP system being established. | During the project preparation phase consultations with local communities, local government units, provincial government agencies, and civil society representatives have contributed to the design of project activities for the three NP pilot sites. Project activities are designed to increase awareness and capacities of local communities, to better enable them to adapt to possible economic displacement associated with the establishment of the NP system. For example, collaborative stewardship and PA management arrangements will be piloted, and alternative sustainable livelihood opportunities assessed and demonstrated.Moreover, an environmental and social management framework (ESMF) has been prepared during the PPG phase as a guideline to the environmental and social impact assessment (ESIA) that will be carried out at project inception.The ESIA process will further assess the possible socioeconomic impacts associated with the national park establishment, and management measures integrated into the project interventions, to ensure that local communities are duly informed and participate in key decisions. Free and Prior Informed Consent (FPIC) must be applied in line with the UNDP SES Guidance Note on Indigenous Peoples. The need for a stand-alone Livelihood Action Plan will be explored during the ESIA and addressed, as determined appropriate, in the ESMP.There will also be a grievance redress mechanism put in place for project-affected communities to raise any grievances and for implementation partners to respond to accordingly. |
| **Risk 3: Expansion of the NP system has the potential to affect the rights, lands and livelihoods (e.g. potential economic displacement, reduced access to resources, resettlement) of ethnic minority populations within and adjacent to the NP pilots.***Standard 6: Indigenous Peoples, 6.1. Are indigenous peoples present in the Project area (including Project area of influence)?* *6.3. Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)?**6.6. Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?* | I = 4P = 4 | **High** | The risks outlined above on resettlement and economic displacement linked to the establishment of the NP pilots could impact on ethnic minorities, as follows:Three Rivers Source NP: According to the draft master plan (29 November 2017) for the Three Rivers Source NP, there are an estimated 64,600 people living in the core conservation zone, and most of these residents are of Tibetan ethnic minority. As outlined in the draft master plan, this population will be gradually decreased by 2020 and further by 2025 through voluntary migration, and is expected to reach a stable level by 2035. The remaining inhabitants are expected to be largely local herders who will be involved in NP management through collaborative arrangements.Giant Panda NP: Based on information gathered during the PPG phase, there are approximately 170,000 people living in the Sichuan section of the proposed NP, but most of these are within a zone referred to as “traditional use”, where resettlement is not planned. There are about 6,000 people living in the delineated core zone and, of which, 200 households have been identified for voluntary resettlement by 2020. Many of the households in the core conservation zone are comprised of the ethnic minorities. The Gansu section of the NP covers about 567 km2, and according to a draft zoning plan, some 2309 people are likely to be affected, with voluntary resettlement proposed for those in the core zone, with the option of remaining and undertaking compatible livelihood activities. | During the project preparation phase consultations were made with local communities, local government officials, the conservation agencies, other provincial government agencies, and the civil society representatives. Additional consultations will be made as part of the ESIA, during which Free and Prior Informed Consent (FPIC) will be applied as necessary. Then management measures will be developed to ensure effective participation by local Tibetan and other ethnic minority communities. For example, facilitators that speak the local languages will support community engagement, key documents will be prepared in local languages, and communication and knowledge management techniques will be designed consistent with cultural norms and literacy circumstances. These and all other necessary management measures will be detailed in the ESMP and stand-alone management plans for livelihoods, resettlement and/or indigenous peoples as required. |
| **Risk 4: Marginalized stakeholder groups, including women and ethnic minorities, could face barriers to full, meaningful participation in project activities (e.g. planned expansions) that could affect them negatively.***Principle 1: Human Rights, question 4. Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?**question 6. Is there a risk that rights-holders do not have the capacity to claim their rights?**Principle 2: Gender Equality and Women’s Empowerment, 2.2: Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?**Standard 6: Indigenous Peoples**6.1. Are indigenous peoples present in the Project area (including Project area of influence)?**6.4. Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?* | I = 3P = 2 | **Moderate** | There are Tibetan and other ethnic minority communities living inside and near the proposed Three Rivers Source NP and the Giant Panda NP. The generally low literacy rates and gender disparities among ethnic minority communities do pose a risk that rights-holders do not have the capacity to claim their rights or that the project may exclude potentially affected stakeholders from fully participating in decisions that may affect them.Literacy rates among Tibetan and other ethnic minority communities are considerably lower than average rates in the province. Also, there are large disparities between men and women in the patriarchal culture of most Tibetan communities. | Consultations during the PPG phase have been supported by local experts and some interviews were held only with women. Tibetan (and other local language) speaking facilitators are also planned to support activities during project implementation. Knowledge products will be developed according to the literacy and cultural circumstances of the local project communities. A gender analysis was undertaken and a Gender Action Plan developed, which will be implemented for the duration of the project. Gender and social inclusion training will be mandatory for project implementation staff and service providers, and resources have been allocated to monitor and evaluate socioeconomic benefits as part of the ESMP, which will be developed during project inception after the ESIA is completed.Further community consultations will be required during project inception, as part of the ESIA, to ensure that ethnic minority communities are fully consulted and involved in development of all project interventions and plans at the target sites (with application of FPIC throughout). The ESMP will provide specific protocols for managing this continued involvement during project implementation, as well as monitoring, evaluation, and reporting, and project budget has been allocated for these purposes. |
| **Risk 5: Project appointed duty-bearers could lack the capacity to implement the project according to UNDP standards regarding human rights, public participation, gender mainstreaming and attention to social and environmental safeguards.***Principle 1: Human Rights, 1.5. Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?* | I = 3P = 2 | **Moderate** | Provincial level duty-bearers generally have higher capacities than representatives at the county and township levels. Furthermore, there is a relatively high level of uncertainty regarding the regulatory and management arrangements of the national park system, compared to the current arrangements associated with nature reserves. | Capacity needs assessments of the Three Rivers Source NP Administration, Sichuan Forestry Department (Giant Panda NP), and the Xianju Provincial Park Management Committee were undertaken during the project preparation phase, and trainings are planned during the implementation phase to enhance duty-bearers’ capacities.Capacities will be further assessed as part of the ESIA, and specific management measures designed in the ESMP for ensuring that duty-bearers are capacitated to facilitate implementation of the project activities and to ensure that project results are sustained after GEF funding ceases. |
| **Risk 6: There are large disparities between men and women in the patriarchal culture of most Tibetan communities in and around the project sites that could potentially be reproduced by project activities, limiting engagement and involvement of women in project implementation.***Principle 2: Gender Equality and Women’s Empowerment, question 2: Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?**Question 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=3P=2 | **Moderate** | There are large disparities between men and women in the patriarchal culture of most Tibetan communities, and income generating potential within rural communities in China in general is lower for women than for men.Women may be impacted differently than men by reduced access to resources in NP pilots (see Risk 2). | A gender analysis and action plan was completed during the PPG phase and will guide proactive women’s empowerment efforts during implementation. Please see this plan for further detail of specific project gender mainstreaming actions and targets.The ESIA completed in accordance with the ESMF will also look at gender angles, including how gender intersects with the multiple risks in this SESP. The gender mainstreaming plan will be updated as required after the completion of the ESIA. Gender mainstreaming actions will also be incorporated into the ESMP and the Gender Action Plan updated as required. |
| **Risk 7: Project activities will occur within/adjacent to environmentally sensitive areas, posing potential risk to sensitive habitats and species if not designed and undertaken appropriately.***Standard 1: Biodiversity Conservation and Natural Resource Management, 1.2. Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?*  | I = 2P = 1 | **Low** | The objective of the project is to provide incremental support towards protected area reform in China, and interventions are planned at 3 of the NP pilot sites in the country. The activities at the pilot sites are proposed within and adjacent to the critical habitats and environmentally sensitive areas. The project activities are designed to support better protection and management of protected areas and critical habitats of endangered species. This biodiversity project was developed with specialist expertise and the risk of damage/disruption to sensitive habitats is considered low.  |  |
| **Risk 8: Climate change has the potential to impact the NP system in China, e.g., through habitat loss because of prolonged droughts or from devastating floods. The impacts of climate change are highly uncertain, yet could impact on project outcomes in the longer-term.** *Standard 2: Climate Change Mitigation and Adaptation, 2.2. Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?* | I = 2P = 2 | **Low** | The establishment of the NP system in China is focusing on consolidating certain nature reserves, reducing fragmented coverage of critical habitats and environmental sensitive areas. Potential impacts of climate change will be most likely to emerge over the longer term and the risk of impacts over the project term is much lower. Further, one of the co-benefits of the project activities will be improved resilience to the effects of climate change, e.g., through improved protection of climate refugia. Project resources are allocated for supporting the conservation agencies in design and zonation of the three NP pilots, and development and implementation of climate-responsive biodiversity monitoring protocols.  |  |
|  | **QUESTION 4: What is the overall Project risk categorization?**  |
| **Select one (see** [**SESP**](http://www.undp.org/content/undp/en/home/librarypage/operations1/undp-social-and-environmental-screening-procedure.html) **for guidance)** | **Comments** |
| ***Low Risk*** | **☐** |  |
| ***Moderate Risk (high end)*** | **☐** |  |
| ***High Risk*** | **X** | A total of 8 risks have been identified, of which their overall impact and probability have been assessed as High (3 risks), Moderate (3 risks) and Low (2 risks). The risks with High rating relate to the voluntary resettlement (Risk 2) and economic displacement (Risk 1) of communities from project sites – both risks could apply to ethnic minorities (Risk 3). The overall risk categorization is High.In line with UNDP’s SES, an environmental and social management framework (ESMF) has been developed during the project preparation phase. Resources have been allocated in the project budget for implementation of the ESMF via carrying out an environmental and social impact assessment (ESIA), with an ESIA report – developing specific management measures that will be incorporated into an environmental and social management plan (ESMP).Consistent with the overall C-PAR program, the project will implement other relevant management plans, which may be updated in the course of the ESIA/ESMP, including but not limited to the following:* Implementation of the project gender strategy and action plan in capacity building, livelihoods, and other activities to ensure gender equity and women’s empowerment.
* Implementation of a stakeholder engagement plan that identifies the roles and responsibilities of implementing partners, beneficiaries, enabling stakeholders, and others.
* Implementation of a grievance redress mechanism that will allow local communities and other stakeholders to raise concerns and grievances, and facilitate follow-up corrective action responses (the GRM will be detailed in the ESMP).

Standard M&E and adaptive management procedures will be applied during project implementation. A C-PAR program M&E/Safeguards Officer will support the project team to oversee coordination and implementation of risk management measures. And, the independent Midterm Review and Terminal Evaluation assess whether appropriate risk mitigation measures have been taken, and how the ESMP has been implemented. |
|  | **QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?** |  |
| Check all that apply | **Comments** |
| ***Principle 1: Human Rights*** | **X** | See Risks 2, 4, 5 |
| ***Principle 2: Gender Equality and Women’s Empowerment*** | **X** | See Risks 2, 4, 6 |
| ***1. Biodiversity Conservation and Natural Resource Management*** | **☐** |  |
| ***2. Climate Change Mitigation and Adaptation*** | **☐** |  |
| ***3. Community Health, Safety and Working Conditions*** | **☐** |  |
| ***4. Cultural Heritage*** | **☐** |  |
| ***5. Displacement and Resettlement*** | **X** | See Risks 1, 2 |
| ***6. Indigenous Peoples*** | **X** | See Risks 1, 2, 3, 4 |
| ***7. Pollution Prevention and Resource Efficiency*** | **☐** |  |

###

SESP Attachment 1. Social and Environmental Risk Screening Checklist

|  |  |
| --- | --- |
| **Checklist Potential Social and Environmental Risks** |  |
| **Principles 1: Human Rights** | **Answer (Yes/No)** |
| 1. Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups? | No |
| 2. Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? [[8]](#footnote-8)  | No |
| 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? | No |
| **Principle 2: Gender Equality and Women’s Empowerment** |  |
| 1. Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?  | No |
| 2. Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits? | **Yes** |
| 3. Have women’s groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment? | No |
| 4. Would the Project potentially limit women’s ability to use, develop and protect natural resources, 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** |
| **Principle 3: Environmental Sustainability:** Screeningquestions regarding environmental risks are encompassed by the specific Standard-related questions below |  |
|  |  |
| **Standard 1: Biodiversity Conservation and Sustainable** [**Natural**](#SustNatResManGlossary) **Resource Management** |  |
| 1.1 Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services?*For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes* | **No** |
| 1.2 Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities? | **Yes** |
| 1.3 Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5) | No |
| 1.4 Would Project activities pose risks to endangered species? | No |
| 1.5 Would the Project pose a risk of introducing invasive alien species?  | No |
| 1.6 Does the Project involve harvesting of natural forests, plantation development, or reforestation? | No |
| 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? *For example, construction of dams, reservoirs, river basin developments, groundwater extraction* | No |
| 1.9 Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)  | No |
| 1.10 Would the Project generate potential adverse transboundary or global environmental concerns? | No |
| 1.11 Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? *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.* | No |
| **Standard 2: Climate Change Mitigation and Adaptation** |  |
| 2.1 Will the proposed Project result in significant[[9]](#footnote-9) greenhouse gas emissions or may exacerbate climate change?  | No |
| 2.2 Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?  | **Yes** |
| 2.3 Is the proposed Project likely to directly or indirectly increase social and environmental [vulnerability to climate change](#CCVulnerabilityGlossary) now or in the future (also known as maladaptive practices)?*For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population’s vulnerability to climate change, specifically flooding* | No |
| **Standard 3: Community Health, Safety and Working Conditions** |  |
| 3.1 Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities? | No |
| 3.2 Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)? | No |
| 3.3 Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)? | No |
| 3.4 Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure) | No |
| 3.5 Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions? | No |
| 3.6 Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)? | 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)?  | No |
| 3.9 Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)? | No |
| **Standard 4: Cultural Heritage** |  |
| 4.1 Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts) | No |
| 4.2 Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes? | No |
| **Standard 5: Displacement and Resettlement** |  |
| 5.1 Would the Project potentially involve temporary or permanent and full or partial physical displacement? | **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?[[10]](#footnote-10) | 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** |
| **Standard 6: Indigenous Peoples** |  |
| 6.1 Are indigenous peoples present in the Project area (including Project area of influence)? | **Yes** |
| 6.2 Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples? | No |
| 6.3 Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)? *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.* | **Yes** |
| 6.4 Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned? | **Yes** |
| 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? | **Yes** |
| 6.7 Would the Project adversely affect the development priorities of indigenous peoples as defined by them? | No |
| 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? | No |
| **Standard 7: Pollution Prevention and Resource Efficiency** |  |
| 7.1 Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or [transboundary impacts](#TransboundaryImpactsGlossary)?  | No |
| 7.2 Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)? | No |
| 7.3 Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs?*For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol*  | No |
| 7.4 Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health? | No |
| 7.5 Does the Project include activities that require significant consumption of raw materials, energy, and/or water?  | No |

## C-PAR2 (Gansu project) SESP Template

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| --- | --- |
| ***Project Information***  |  |
| 1. Project Title
 | Enhancing conservation of globally significant biodiversity through PA system strengthening in Gansu (China’s Protected Areas System Reform – Child Project #2 (CPAR2)) |
| 1. Project Number
 | 5689 |
| 1. Location (Global/Region/Country)
 | People’s Republic of China |

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

|  |
| --- |
| **QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?** |
| ***Briefly describe in the space below how the Project mainstreams the human-rights based approach***  |
| The project focuses on individual rights to a functional natural environment. Integrating biodiversity conservation and ecological issues into government and sectoral planning and increasing the effectiveness of protected areas in the West Qinling Mountains – Minshan Mountains Landscape will promote resilience and a functional natural environment across these critical ecosystems. At the site level, component 2 of the project will provide community livelihoods support and conservation incentives (such as eco-tourism and Sustainable Non-Timber Forest Product (NTFP) collection) to increase community participation and inclusion in conservation and diversify incomes for vulnerable people. It will also establish community co-management agreements to foster collaborative conservation management and sustainable livelihoods within the targeted nature reserves. The project will also implement measures to reduce human-wildlife conflicts in the target landscape, including improvement and piloting of an eco-compensation scheme to help mitigate socio-economic impacts on local livelihoods. This component will also provide training to PA managers and staff to support effective community engagement, with special attention to vulnerable and marginalized groups within the target landscape. During the PPG, the project stakeholders at the local and provincial levels have been widely consulted during the design of project interventions that are inclusive and sustainable. As the project supports the extension of Yuhe NR to include a corridor area that will form part of the new Giant Panda National Park, residents in this area will be affected by the formation of the corridor including restrictions on economic activities and use of natural resources. Secondly, the Gansu Project also seeks to extend the area of Chagangliang NR, connecting two currently separate blocks of forested land by the inclusion of intervening land that is largely under forestry land use. Similar concerns regarding the rights of current users of this land will be addressed by the project as these government plans develop. Thirdly, the Gansu Project plans to demonstrate the establishment and operation of two forested ecological corridors in Liangdang and Hezheng Counties. As there is no definition of ecological corridors in the Chinese administrative and legal systems at present, the potential impacts of these pilot corridors are not clear at present. However, based on experience in other countries, such corridors are likely to impose some restrictions on development in order to prevent the fragmentation of existing forested lands (e.g. associated with development of infrastructure, industry and urban centres) and certain land uses that would conflict with the objectives of the corridors in allowing the free movement of wildlife (especially certain targeted globally threatened and endemic species). As far as possible, conflicts with existing land users and owners would be avoided during the design of the corridors through adequate consultation and consideration of alternatives, with further options for mitigation considered in the development of the management regime for the Ecological Corridor system.While the transboundary (with Qinghai province) Qilian Mountains National Park (NP), approved as an NP pilot in June 2017, is part of the NP system pilot implementation currently being led by the National Development and Reform Commission (NDRC), and is well covered by CPAR 3 project in Qinghai, its area in Gansu Province lies outside the project demonstration landscape, and GEF project support will be limited to provincial level TA for the National Park administration covering both the Giant Panda NP and the Qilian Mountains NP, limited capacity development and planning for snow leopard conservation led by WWF and GFD. The overall implementation plan for the NP system that was released in September 2017 indicates that local communities situated within key conservation zones will be gradually resettled and collectively held land normatively transferred through leasing, land exchange, and other approaches. The C-PAR programme is well positioned to assist the governmental partners in implementing these envisaged actions according to human rights related standards and practices according to national and international laws, through participatory community consultations, demonstration of collaborative management arrangements that involve local communities in the management of the protected areas, and development of sustainable alternative livelihood opportunities.An environmental and social management framework (ESMF) has been developed during the project preparation phase for four CPAR projects including this project. An environmental and social impact assessment (ESIA) will be carried out during project inception to further evaluate potential impacts associated with the project activities, and management measures will be built into an environmental and social management plan (ESMP) to guide the implementation processes. These measures seek to provide an adequate response to the management of these risks in line with UNDP policy. A project-level GRM will be developed as part of this process. |
| ***Briefly describe in the space below how the Project is likely to improve gender equality and women’s empowerment*** |
| This project is a child project under the China’s Protected Area System Reform (C-PAR) Program of the Chinese Government. In order to achieve gender mainstreaming in the program, as the Program coordinating agency, UNDP included a gender specialist in the PPG team to ensure full accounting of the different perspectives, priorities and socio-economic realities that women and men face. See **Annex G** of the Project Document for the gender analysis and action plan.Program design pertaining to systemic and institutional strengthening and capacity building has ensured that targeted trainees will include both sexes and institutional development will mainstream gender in the institutional system and decision-making mechanisms. At the site level, the program has carefully examined the local conditions pertaining to local livelihoods, resource use and land tenure and management systems, and factors affecting the livelihoods of women and men in relevant communities. Consultation sessions have been held to obtain views and inputs of a wide range of local stakeholders at the demonstration landscape sites to develop project plans including a robust stakeholder involvement plan with full gender considerations. Gender disaggregated targets and baselines have been established as part of the project monitoring plan. At the site level, the capacity development of staff and those involved with protected area management or natural resource extraction will focus on equitable distribution of this training.Efforts will be made to ensure that gender-specific targets are built into community involvement programs and activities and training activities in accordance with the gender mainstreaming plan. Eco-compensation mechanisms will be applied to reward local communities for environmental contributions and any loss of access to traditional resources. Agreements with local communities will include greater sharing of benefits from eco-tourism revenues and eco-compensation payments. The project results framework contains measurable indicators related to gender equality and women’s empowerment; an ATLAS gender marker of 2 has been applied to the project. For example, a target of 40% women representation among direct project beneficiaries has been applied in the project design, e.g., local co-management committees should have at least 40% women members. Sustainable alternative livelihoods will be developed that facilitate equitable participation by women, and attention will be given towards reduction of workloads for “left-behind”\* women especially. Gender and social inclusion training will be mandatory for project implementation staff and service providers, and resources have been allocated to monitor and evaluate socioeconomic benefits as part of the programme environmental and social management plan (ESMP), which will be developed during project inception after the ESIA is complete. Moreover, knowledge products will be developed and disseminated according to the literacy and cultural circumstances of the local project communities, to ensure equitable gender and social inclusion.As the program coordinating agency, UNDP will ensure that the projects under the CPAR program will have active participation of men and women, considering the different perspectives, priorities and socio-economic realities that women and men face. Specific gender roles have been integrated into the project and program level implementation arrangements, including but not limited to the following:1. The Project Manager will appoint a gender focal point in the PMO who will implement and monitor the project level gender action plan (**Annex G**) and support project focal points at PA Administration and site levels to mainstream gender into all project activities.
2. Project-recruited gender experts will support the project with gender training, monitoring & evaluation of site activities, and consultations with local communities.
3. The gender mainstreaming objectives for the project will be championed and monitored by the project-recruited gender experts and the project gender focal points, with back-up from the UNDP country office gender experts.

*\*Women in households whose men have out-migrated for labour elsewhere, leaving them to cover family care, domestic chores, and agricultural and other work single-handedly* |
| ***Briefly describe in the space below how the Project mainstreams environmental sustainability*** |
| The project focuses on the conservation of globally significant biodiversity in Gansu province, through three project components. Component 1 will strengthen the safeguard and enforcement framework (including legislation, policies and enforcement system, and mainstreaming into the 14th Five-year Plan) in place for protection of endangered species and Key Biodiversity Areas (KBAs), and Component 2 will strengthen the protected area network in West Qinling Mountains – Minshan Mountains Landscape and reduce threats to habitats and species. Component 3 supports knowledge management, monitoring and evaluation and gender mainstreaming across the whole project, enabling its results to be shared, replicated and upscaled. The project is also designed to strengthen the environmental management capacities of the GFD, PA management agencies, other provincial sectors, local governments, the civil society, and community groups.Consistent with the overarching C-PAR program, this projects is closely aligned with the ecological conservation objectives outlined in the 13th Five-Year Plan for Economic and Social Development of the People’s Republic of China (2016-2020), which further mainstreams the principle of eco-civilization into the socioeconomic development priorities for the country; the National Biodiversity Strategy and Action Plan (NBSAP) for 2011-2030; the Aichi targets under the UN Convention on Biological Diversity; and the UN Development Assistance Framework (UNDAF) for China, specifically Priority Area No. 2: “*Improved and Sustainable Environment*”, Outcome 2: “*More people enjoy a cleaner, healthier and safer environment as a result of improved environmental protection and sustainable green growth*”. The project also contributes towards achievement of the UN Sustainable Development Goals for China, specifically Goal 15: “*Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss*”.The 13th National Five-year Plan (2016-2020) urges stronger environmental protection, movement towards the development of an ‘ecological civilization’ and a ‘Beautiful China’ and deepened reforms for ecological protection and redlining (prioritization of ecological function zones). Further very recent advances have included the release of the National Master Plan for the National Park System on 26 September 2017 and President Xi Jinping’s powerful statement at the 19th CPCC in October 2017 that marks the way for PA system reform and development of biodiversity networks to preserve habitats and biodiversity. The project will assist Gansu Province to upgrade its environmental legislative and planning frameworks in line with these very rapid advances in national policy, and to demonstrate the application of new concepts for reformed PA management and introduction of ecological corridors. It will therefore contribute directly towards reducing major drivers for biodiversity loss of habitat loss, degradation and fragmentation, and direct threats to globally threatened species associated with human wildlife conflict and the isolation of subpopulations, reducing related extinction risks. In addition, the project will seek to support greater inclusiveness of local communities in nature reserve management and the enhancement of the sustainability of local livelihoods such that greater local support can be secured for nature conservation. Thus, in line with the project’s biodiversity conservation objectives, its environmental impacts are expected to be overwhelmingly positive. Overall, the project will assist China to meet its commitments under the Convention on Biological Diversity, with the opportunity to showcase initial project achievements during CBD COP15 which is to be hosted by China in 2020. |

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

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| **QUESTION 2: What are the Potential Social and Environmental Risks?**  | **QUESTION 3: What is the level of significance of the potential social and environmental risks?***Note: Respond to Questions 4 and 5 below before proceeding to Question 6* | **QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?** |
| ***Risk Description*** | ***Impact and Probability (1-5)*** | ***Significance******(Low, Moderate, High)*** | ***Comments*** | ***Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.*** |
| **Risk 1: Local communities (including ethnic minorities) living in key conservation zones of NP pilots could be gradually resettled. Voluntary resettlement is proposed in the zoning plan for Giant Panda NP pilot, and could potentially be proposed for Qilian Mountains NP pilot.***SESP Principle 3: Environmental Sustainability Standard 5: Displacement and Resettlement, question 1. Would the Project potentially involve temporary or permanent and full or partial physical displacement?**SESP Principle 3: Environmental Sustainability Standard 5: Displacement and Resettlement, question 4. Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?* *SESP Principle 3: Environmental Sustainability Standard 6: Indigenous Peoples, question 6. Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)?* | I = 4P = 4 | **High** | The implementation plan for the national park (NP) system issued by the government in September 2017 states that “in key conservation zones, local communities should be gradually resettled and collectively held land should be normatively transferred through leasing, land exchange, and other approaches based on full solicitation with owners and users”. The Giant Panda National Park pilot in Sichuan, Shaanxi and Gansu provinces will cover some 56,690 ha in Gansu and be implemented from 2017-2020. A zoning plan has been developed and some 2309 people are likely to be affected, with voluntary resettlement proposed for those in the Core Zone, with the option of remaining and undertaking compatible livelihood activities. Retired persons will be allowed to remain. The approved Qilian Mountains National Park covers an approximate cumulative area of 50,000 km2 in Gansu and Qinghai provinces, and the Qinghai section is about 15,800 km2, which is more than double the current size of the PNR. The master plan for the national park has not yet been completed, but there is a high likelihood that establishment of the national park will entail some resettlement, probably focusing on voluntary eco-migration in communities situated in the core zone of the park.Tibetan communities are predominant in Gannan Prefecture, and Hui and Dongxiang ethnic minorities are present in Hezheng county, and are likely to feel these impacts (see **risk 3**). | During the project preparation phase, consultations with local communities, local government and provincial government agencies, and civil society representatives have contributed to the design of project activities focussed on participatory planning and management of natural resources in the West Qinling – Minshan Mountains landscape. Community livelihood and engagement activities have been included within the project. Indicative community level activities for the CPAR2 project include the development of co-management agreements with the respective NRs, support for sustainable livelihood activities, engagement of local people in NR management and awareness campaigns. These activities will have a positive impact in reinforcing the inherent linkages between local communities and conservation objectives, thus reducing the need for displacement and resettlement. Moreover, an environmental and social management framework (ESMF) has been prepared during the PPG phase.In accordance with the ESMF an environmental and social impact assessment (ESIA) will be carried out at project inception to assess this and all other environmental and social risks, followed by a subsequent environmental and social management plan (ESMP). Further information regarding the approved national park, including the master plan, are expected to be available at project inception. The ESIA process will draw upon this information to assess the associated impacts, and to inform the specific management measures outlined in the ensuing ESMP and standalone resettlement action plan(s) if required. Involuntary resettlement is not planned under the ongoing establishment of the NP system in China and will not be supported by this project. |
| **Risk 2: Communities in the project area (including ethnic minorities) could face economic displacement, changes to land rights and/or restricted access to resources because of the expansion of the NP and PA system, stronger PA controls and creation of ecological corridor areas. These impacts could impact women differently than men.** *SESP Principle 1: Human Rights, question 3. Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?**SESP Principle 2: Gender Equality and Women’s Empowerment Principle 2, question 2. 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?**SESP Principle 3: Environmental Sustainability Standard 5: Displacement and Resettlement, question 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)?* *SESP Principle 3: Environmental Sustainability Standard 5: Displacement and Resettlement, question 4. Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?* *SESP Principle 3: Environmental Sustainability Standard 6: Indigenous Peoples, question 6. Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)?* | I = 4P = 4 | **High** | The project design includes establishing 25,000 ha of new protected area and ecological corridor land, and, therefore, there is a risk of possible economic displacement, e.g., through the loss of land use rights. Certain land use activities would likely be prohibited as part of the process of transferring collectively held land to the state, but the residents might be allowed to continue to live in their dwellings. Some 2309 people within the 5,000ha proposed corridor section of the Giant Panda NP linking Yuhe NR to Baishuijiang NR will be subject to land use restrictions and offered voluntary resettlement (see **risk 1**). Those that remain will be assisted to transition to sustainable livelihoods that do not conflict with NP management goals (such as community ranger positions). The requirements for the establishment of ecological corridors are unclear at the present time, but are likely to include controls over certain land uses within the corridors. Local communities around the existing NRs are widely socialized to living and working inside and near conservation areas, while those in proposed PA/EC areas will require more adjustment. The existing four target NRs are managed under sustainable use arrangements, with local communities having access to firewood, grazing lands and NTFPs within the protected areas. The reduction of threats in existing NR lands is likely to reduce firewood collection from natural forests, reduce grazing damage and potentially other local resource uses.Tibetan communities are predominant in Gannan Prefecture, and Hui and Dongxiang ethnic minorities are present in Hezheng county, and are likely to feel these impacts (see **risk 3**). | During the project preparation phase, consultations with local communities, local government and provincial government agencies, and civil society representatives have contributed to the design of project activities focus on participatory planning and management of natural resources in the West Qinling – Minshan Mountains landscape. As noted above, the ESIA process will further addresses the possible socioeconomic impacts, including those related to land rights, associated with the national park and ecological corridor establishment, and management measures integrated into the project interventions, to ensure that local communities are duly informed and participate in key decisions.The master plan for the Qilian Mountains NP is expected to be in draft form by project inception, providing further clarity regarding displacement and resettlement issues. The ESIA process will also include additional consultations with local communities regarding the planned project interventions, and management measures (i.e. the ESMP and/or stand-alone management plans) will be integrated into project implementation to ensure socioeconomic impacts are positive and to prevent adverse impacts. The project will work with Yuhe and Chagangliang NRs to raise awareness, provide sustainable livelihood support (eg for community-based tourism) and develop co-management agreements with targeted communities.  |
| **Risk 3: Expansion of existing PAs and development of ecological corridors have the potential to affect the rights, lands and livelihoods (e.g. potential economic displacement, reduced access to resources, resettlement) of ethnic minority populations within and adjacent to the four project demonstration PAs and Hezheng County***SESP Principle 3: Environmental Sustainability Standard 6: Indigenous Peoples, question 1. Are indigenous peoples present in the Project area (including Project area of influence)?* *SESP Principle 3: Environmental Sustainability Standard 6: Indigenous Peoples, question 3. Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)?**SESP Principle 3: Environmental Sustainability Standard 6: Indigenous Peoples, question 6. Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?* | I = 4P = 4 | **High** | Many of the local rural communities within the West Qinling – Minshan Mountains demonstration landscape are predominantly comprised of ethnic minorities. For example, Tibetan people comprise over 90% of the populations at Duoer, Axia and Chagangliang NRs, while in Hezheng County there are 33% Hui and 24% Dongxiang. Only 2.6% of the population at Yuhe NR are of ethnic minorities. The project aims to extend the area of Chagangliang NR, an area with over 90% Tibetan minority population. In addition, the project will support the development of an ecological corridor in Hezheng County where the population consists of 33% Hui and 24% Dongxiang ethnic minorities. Potential impacts on ethnic minorities related to project activities may include: displacement and resettlement from core zones of new protected area lands (see Risk 1 above), reduced access to lands within existing nature reserves and new corridor areas for grazing, collection of timber, firewood and NTFPs (see Risk 2) – although corridor boundaries have yet to be defined and management plans have yet to be developed. In other countries, corridors may include activities such as community forestry, managed grazing and collection of NTFPs, so this might not have a large impact in practice. | Corridors are likely to include activities such as community forestry, managed grazing and collection of NTFPs, which will mitigate potential impacts.During the project preparation phase consultations were made with local communities. Additional consultations will be made as part of the ESIA, during which Free and Prior Informed Consent (FPIC) will be applied as necessary. Then management measures will be developed to ensure effective participation by local Tibetan and other ethnic minority communities. For example, facilitators that speak the local languages will support community engagement, key documents will be prepared in local languages, and communication and knowledge management techniques will be designed consistent with cultural norms and literacy circumstances. These and all other necessary management measures will be detailed in the ESMP and stand-alone management plans for livelihoods, resettlement and/or indigenous peoples as required.Involuntary resettlement is not planned under the ongoing establishment of the NP system in China and will not be supported by this project.Resettlement is associated with government co-financing. GEF funds will not be used to support resettlement. |
| **Risk 4: There are Tibetan and other ethnic minority communities living inside and near the four project demonstration PAs including the proposed Giant Panda NP. The generally low literacy rates and gender disparities among ethnic minority communities do pose a risk that rights-holders do not have the capacity to claim their rights, or that the project may exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them** *SESP Principle 1: Human Rights, question 4. Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?* *SESP Principle 1: Human Rights, question 6. Is there a risk that rights-holders do not have the capacity to claim their rights?**SESP Principle 2: Gender Equality and Women’s Empowerment Principle 2, question 2: Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?**SESP Standard 6: Indigenous Peoples, question 4. Specific communities and/or villages have been recommended for intervention during the project preparation phase, but FPIC consultations have not been conducted comprehensively.*  | I = 3P = 2 | **Moderate** | Literacy rates among ethnic Tibetan minority communities at the project sites in Gannan Prefecture are considerably lower than average rates in the province. The socioeconomic assessment (**Annex U**) describes clear adult literacy and gender disparities among Tibetan communities in and around the project demonstration sites. This includes limited ability to speak Mandarin among some older residents. These communication barriers present the risk that rights-holders do not have the capacity to claim their rights. Several communities/villages have been considered for project interventions within and near the NP pilot sites. Proposals for extensions to protected areas and development ecological corridors are currently still under consideration by the Chinese government, therefore exact requirements for FPIC remain unclear and are dynamic. | Consultations during the PPG phase included marginalized communities and have received some support from Tibetan NR staff. Tibetan speaking facilitators are planned to support activities during project implementation at these sites. Knowledge products will be developed according to the literacy and cultural circumstances of the local project communities. Gender and social inclusion training will be mandatory for project implementation staff and service providers.Further community consultations will be required during project inception, as part of the ESIA, to ensure that ethnic minority communities are fully consulted and involved in development of all project interventions and plans at the target sites (with application of FPIC throughout). The ESMP will provide specific protocols for managing this continued involvement during project implementation, as well as monitoring, evaluation, and reporting, and project budget has been allocated for these purposes. |
| **Risk 5: Project appointed duty-bearers could lack the capacity to implement the project according to UNDP and GEF standards regarding human rights, public participation, gender mainstreaming and attention to social and environmental safeguards.***SESP Principle 1: Human Rights, question 5. Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?*  | I = 4P = 2 | **Moderate** | Provincial level duty-bearers generally have higher capacities than representatives at the county and township levels. Furthermore, there is a relatively high level of uncertainty regarding the regulatory and management arrangements of the new national park system, compared to the current arrangements associated with nature reserves. | A capacity needs assessment of the Gansu Forestry Department (GFD), Bailongjiang Forestry Administration (BFA) and Gansu Endangered Animals Protection Centre (EAPC) was undertaken during the project preparation phase, and trainings are planned during the implementation phase to enhance duty-bearers’ capacities. Capacities will be further assessed as part of the ESIA, and specific management measures designed in the ESMP for ensuring that duty-bearers are capacitated to facilitate implementation of the project activities to UNDP and GEF standards and to ensure that project results are sustained after GEF funding ceases. |
| **Risk 6: There are large disparities between men and women in the patriarchal culture of most Tibetan communities in and around the project sites that could potentially be reproduced by project activities, limiting engagement and involvement of women in project implementation.***SESP Principle 2: Gender Equality and Women’s Empowerment Principle 2, question 2: Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?* | I = 3P = 2 | **Moderate** | This risk applies for the establishment of new NP, NR and EC lands totaling 25,000 ha. Also, reduction of threats in existing NR lands will reduce firewood collection from natural forests, reduce grazing damage and potentially other local resource uses. In Gansu province over 30% of rural households are led by “left behind” women who are responsible for all tasks as the men are absent, including firewood and water collection, grazing and other agricultural activities. There are large disparities between men and women in the patriarchal culture of most Tibetan communities in and around the project sites, and income generating potential within rural communities in China in general is lower for women than for men. | A gender analysis and action plan was completed during the PPG phase and will guide proactive women’s empowerment efforts during implementation (**Annex G**). Please see this plan for further detail of specific project gender mainstreaming actions and targets.The ESIA completed in accordance with the ESMF will also look at gender angles, including how gender intersects with the multiple risks in this SESP. The gender mainstreaming plan will be updated as required after the completion of the ESIA. Gender mainstreaming actions will also be incorporated into the ESMP as required. |
| **Risk 7: Project activities will occur within/adjacent to environmentally sensitive areas, posing potential risk to sensitive habitats and species if not designed and undertaken appropriately.***SESP Principle 3: Environmental Sustainability Standard 1: Biodiversity Conservation and Natural Resource Management, question 2. Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?* | I = 2P = 1 | **Low** | The objective of the project is to strengthen the effectiveness of the PA system in Gansu Province and specifically within the West Qinling Mountains-Minshan Mountains landscape, and this will be achieved through establishing new protected areas and ecological corridors and improving land use practices within and around existing reserves.The project aims to support improved protection and management of protected areas and critical habitats of endangered species and therefore will have an overall positive impact. This is a biodiversity project and the risk of damage/disruption to sensitive habitats is very low.  |  |
| **Risk 8: At the site level, the project will involve some species reintroductions, restoration of degraded habitats and reforestation to support the integrity of ecological corridors, which could pose an environmental risk if not designed and undertaken appropriately** *SESP Principle 3: Environmental Sustainability Standard 1: Biodiversity Conservation and Natural Resource Management, question 6. Does the Project involve harvesting of natural forests, plantation development, or reforestation?**SESP Principle 3: Environmental Sustainability Standard 1: Biodiversity Conservation and Natural Resource Management, question 4. Would Project activities pose risks to endangered species?* | I = 2P = 1 | **Low** | The project seeks to sustain and improved the integrity of habitat for globally threatened species through developing the PA and ecological corridor network. This will involve managing, rehabilitating and restoring habitats in and around protected areas, and targeted reintroduction of threatened species in others. The proposed ecological corridor areas in Hezheng and Liangdang Counties are under the management of the County Forest Bureaus, with the aim of providing landscape connectivity associated with existing nature reserves. In addition, the new Giant Panda NP will include a new corridor area adjacent to Yuhe NR that will require forest habitat restoration work. The project will support the rehabilitation of natural forests in these areas, and reafforestation where such forests have been cleared using native plant species. These activities have been carefully scoped using the PPG and will be implemented with specialist biodiversity expertise. Technical expertise will be provided to support species reintroductions. The risk of perverse environmental impacts, e.g. through inappropriate species selection, failed reintroductions, is considered very low. |  |
| **Risk 9: Climate change has the potential to impact the NP and PA system in Gansu, e.g., through habitat loss because of prolonged droughts or from devastating floods, impacting project outcomes in the longer-term.** *SESP Principle 3: Environmental Sustainability Standard 2: Climate Change Mitigation and Adaptation, question 2. Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?*  | I = 2P = 3 | **Moderate** | Climate change trends have been documented for the project area and have the potential to impact habitats and species populations in the long term, and therefore may affect the intended outcome of achieving increased or stable populations of indicator species - well after the project has been completed. Recent monitoring has indicated a range extension to the north of the Bailongjiang River for the Giant Panda and use of habitats at higher elevations. The impacts of climate change are highly uncertain, and it is therefore necessary to develop adaptation plans informed through climate responsive monitoring feedback. | The project design includes climate change vulnerability assessment for key species and habitats to inform planning for the Gansu PA sub-system and ecological corridor network development. These plans will address the need to increase connectivity of critical ecosystems and other climate adaptive actions. In addition, improved land use practices and ecological stewardship will provide strengthened ecosystem-based adaptation that will benefit the resilience of local communities and wildlife to cope with the forecasted impacts of climate change. The ESIA will further assess these aspects and specific management measures incorporated into the ESMP, as a guide for ensuring that sufficient checks and balances are in place to integrate climate change adaptation into the project and to bolster the enabling conditions for achieving sustainability of project results after GEF funding ceases. |
| **Risk 10: The project demonstration area is vulnerable to natural disasters, which could restrict the project’s success and long-term outcomes.** *SESP Principle 3: Environmental Sustainability Standard 3: Community Health, Safety and Working Conditions, question 5. Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?* | I = 3P = 2 | **Moderate** | Chagangliang NR Office was seriously impacted by a huge debris flow in Zhouqu county on 8th August 2010, resulting in damage to property and loss of monitoring data. The risk of similar occurrences exists. | This risk will be considered by the ESIA and management measures detailed in the ESMP as required.The project interventions aim to increase the overall resilience of PA management in the demonstration landscape area. This includes increased financial resources and sustainability for PA management and improved monitoring and information management systems that include off-site data storage (eg cloud storage) – these project activities will help prevent some of the potential negative impacts associated with natural disasters, such as loss of ecological monitoring data that occurred in 2010. |
|  | **QUESTION 4: What is the overall Project risk categorization?**  |
| **Select one (see** [**SESP**](http://www.undp.org/content/undp/en/home/librarypage/operations1/undp-social-and-environmental-screening-procedure.html) **for guidance)** | **Comments** |
| ***Low Risk*** | **☐** |  |
| ***Moderate Risk*** | **☐** |  |
| ***High Risk*** | **☒**  | 10 risks have been identified, of which their overall impact and probability have been assessed as High (3 risks), Moderate (5 risks), and Low (2 risks). The risks with High rating relate to the voluntary resettlement (Risk 2) and economic displacement (Risk 1) of communities from project sites – both risks are expected to apply to ethnic minorities (Risk 3).It is considered that the remaining project activities with low – moderate potential adverse social risks are limited in scale, can be identified with a reasonable degree of certainty, and can be addressed through application of standard best practice, mitigation measures and stakeholder engagement during project implementation – measures of which are captured in the project design (i.e. ProDoc and its annexes).In line with UNDP’s SES, an environmental and social management framework (ESMF) has been developed during the project preparation phase (see **Annex E**). Resources have been allocated in the project budget for implementation of the ESMF via carrying out an environmental and social impact assessment (ESIA), with an ESIA report – developing specific management measures that will be incorporated into an environmental and social management plan (ESMP).Consistent with the overall C-PAR program, the project will implement other safeguard plans, including but not limited to the following:* Implementation of the project gender action plan (**Annex G**) in capacity building, livelihoods, and other activities to ensure gender equity and women’s empowerment.
* Implementation of a stakeholder engagement plan (**Annex F**) that identifies the roles and responsibilities of implementing partners, beneficiaries, enabling stakeholders, and others.
* Implementation of a grievance and accountability mechanism that will allow local communities and other stakeholders to raise concerns and grievances, and facilitate follow-up corrective action responses (the GRM will be detailed in the ESMP).

Standard M&E and adaptive management procedures will be applied during project implementation. And, the independent Mid-term Review and Terminal Evaluation will assess whether appropriate risk mitigation measures have been taken, and how the ESMP has been implemented. |
|  | **QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?** |  |
| Check all that apply | **Comments** |
| ***Principle 1: Human Rights*** | **☒** | See Risks 2, 4, 5  |
| ***Principle 2: Gender Equality and Women’s Empowerment*** | **☒** | See Risks 2, 4, 6  |
| ***1. Biodiversity Conservation and Natural Resource Management*** | **☐** |  |
| ***2. Climate Change Mitigation and Adaptation*** | **☒** | See Risk 9 |
| ***3. Community Health, Safety and Working Conditions*** | **☒** | See Risk 10 |
| ***4. Cultural Heritage*** | **☐** |  |
| ***5. Displacement and Resettlement*** | **☒** | See Risks 1, 2, 3 |
| ***6. Indigenous Peoples*** | **☒** | See Risks 1, 2, 3, 4 |
| ***7. Pollution Prevention and Resource Efficiency*** | **☐** |  |

SESP Attachment 1. Social and Environmental Risk Screening Checklist

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| **Checklist of Potential Social and Environmental Risks** |  |
| **Principle 1: Human Rights** | Answer Yes/No |
| 1. Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups? | No |
| 2. Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? [[11]](#footnote-11)  | No |
| 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? | No |
| **Principle 2: Gender Equality and Women’s Empowerment** |  |
| 1. Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?  | No |
| 2. Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits? | **Yes** |
| 3. Have women’s groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment? | No |
| 4. Would the Project potentially limit women’s ability to use, develop and protect natural resources, 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** |
| **Principle 3: Environmental Sustainability:** Screeningquestions regarding environmental risks are encompassed by the specific Standard-related questions below |  |
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| **Standard 1: Biodiversity Conservation and Sustainable** [**Natural**](#SustNatResManGlossary) **Resource Management** |  |
| 1.1 Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services?*For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes* | No |
| 1.2 Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities? | **Yes** |
| 1.3 Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5) | No |
| 1.4 Would Project activities pose risks to endangered species? | **Yes** |
| 1.5 Would the Project pose a risk of introducing invasive alien species?  | No |
| 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? *For example, construction of dams, reservoirs, river basin developments, groundwater extraction* | No |
| 1.9 Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)  | No |
| 1.10 Would the Project generate potential adverse transboundary or global environmental concerns? | No |
| 1.11 Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? *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.* | No |
| **Standard 2: Climate Change Mitigation and Adaptation** |  |
| 2.1 Will the proposed Project result in significant[[12]](#footnote-12) greenhouse gas emissions or may exacerbate climate change?  | No |
| 2.2 Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?  | **Yes** |
| 2.3 Is the proposed Project likely to directly or indirectly increase social and environmental [vulnerability to climate change](#CCVulnerabilityGlossary) now or in the future (also known as maladaptive practices)?*For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population’s vulnerability to climate change, specifically flooding* | No |
| **Standard 3: Community Health, Safety and Working Conditions** |  |
| 3.1 Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities? | No |
| 3.2 Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)? | No |
| 3.3 Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)? | No |
| 3.4 Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure) | No |
| 3.5 Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions? | **Yes** |
| 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)?  | No |
| 3.9 Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)? | No |
| **Standard 4: Cultural Heritage** |  |
| 4.1 Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts) | No |
| 4.2 Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes? | No |
| **Standard 5: Displacement and Resettlement** |  |
| 5.1 Would the Project potentially involve temporary or permanent and full or partial physical displacement? | **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?[[13]](#footnote-13) | 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** |
| **Standard 6: Indigenous Peoples** |  |
| 6.1 Are indigenous peoples present in the Project area (including Project area of influence)? | **Yes** |
| 6.2 Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples? | No |
| 6.3 Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)? *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.* | **Yes** |
| 6.4 Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned? | **Yes** |
| 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? | **Yes** |
| 6.7 Would the Project adversely affect the development priorities of indigenous peoples as defined by them? | No |
| 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? | No |
| **Standard 7: Pollution Prevention and Resource Efficiency** |  |
| 7.1 Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or [transboundary impacts](#TransboundaryImpactsGlossary)?  | No |
| 7.2 Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)? | No |
| 7.3 Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs?*For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol*  | No |
| 7.4 Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health? | No |
| 7.5 Does the Project include activities that require significant consumption of raw materials, energy, and/or water?  | No |

## C-PAR3 (Qinghai project) SESP Template

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| ***Project Information***  |  |
| 1. Project Title
 | Strengthening the PA system in the Qilian Mountains-Qinghai Lake landscape(China’s Protected Areas System Reform – Child Project #3 (C-PAR3)) |
| 1. Project Number
 | PIMS 5690 |
| 1. Location (Global/Region/Country)
 | People’s Republic of China |

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

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| **QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?** |
| ***Briefly describe in the space below how the Project mainstreams the human-rights based approach***  |
| The project design follows a human-rights based approach. Consolidation of the protected area system in the Qilian Mountains-Qinghai Lake landscape to conserve globally significant biodiversity and development of landscape level management will promote resilience and a functional natural environment across these critical ecosystems. The project aims to strengthen the enabling conditions both at the institutional and site level, to enhance the participation of local communities in natural resource management towards achieving mutually beneficial conservation and socioeconomic outcomes. Although the current protected areas in the Qilian Mountains-Qinghai Lake landscape, namely the Qinghai Lake national nature reserve (NNR) and the Qilian Mountains provincial nature reserve (PNR), are managed under sustainable use arrangements, e.g., access for local Tibetan herders to grassland ecosystems, there remain threats to globally significant biodiversity that are not being effectively managed. The project is designed to increase participation of local ethnic minority communities in collaborative management and innovative conservation financing arrangements, including but not limited to: (1) expansion of the PA system and management under collaborative community arrangements; (2) community and/or herder group agreements to remove or adjust fencing to reduce threats to Przewalski’s gazelle and increase habitat connectivity; (3) development of community jobs in support of PA management; (4) support for sustainable alternative livelihoods linked to conservation incentives, e.g., biodiversity friendly eco-tourism; (5) collaborative implementation of grassland restoration, utilizing local herders to patrol and management the process; (5) collaborative livestock management in high mountain grasslands, reducing seasonal fragmentation of habitat for key species, including the snow leopard; and (6) pilot implementation of innovative conservation financing, e.g., through conservation easement arrangements, including transfer of tenure and/or land use rights, to support restoration and improve habitat management. Inclusive consultations during the project preparation phase with local communities, local governments, civil society, and provincial agencies have socialized the key stakeholders to the proposed interventions. An environmental and social management framework (ESMF) has also been developed during the project preparation phase, to provide practical guidance to the implementation team for ensuring participation and inclusion, equity and non-discrimination, accountability and rule of law. The Qilian Mountains National Park (NP), approved as an NP pilot in June 2017, is part of the NP system pilot implementation currently being led by the National Development and Reform Commission (NDRC). The overall implementation plan for the NP system that was released in September 2017 indicates that local communities situated with key conservation zones will be gradually resettled and collectively held land normatively transferred through leasing, land exchange, and other approaches. The C-PAR program, including the C-PAR3 project, are well positioned to assist the governmental partners in implementing these envisaged actions according to human rights related standards and practices according to national and international laws, through participatory community consultations, demonstration of collaborative management arrangements that involve local communities in the management of the protected areas, and development of sustainable alternative livelihood opportunities.An environmental and social management framework (ESMF) has been developed during the project preparation phase for four CPAR projects including this project. An environmental and social impact assessment (ESIA) will be carried out during project inception to further evaluate potential impacts associated with the project activities, and management measures will be built into an environmental and social management plan (ESMP) to guide the implementation processes. These measures seek to provide an adequate response to the management of these risks in line with UNDP policy. A project-level GRM will be developed as part of this process. |
| ***Briefly describe in the space below how the Project is likely to improve gender equality and women’s empowerment*** |
| At the site level, the direct beneficiaries of the C-PAR3 project are the local communities and management stations where the project interventions are planned within the Qilian Mountains-Qinghai Lake landscape, where rural villages are predominantly comprised of ethnic minorities, particularly Tibetan minorities. Literacy rates among ethnic Tibetan minorities are considerably lower than average rates in the province, and there are marked disparities between men and women under the patriarchal Tibetan households. A separate gender analysis and action plan were completed for the project by a Community Development and Gender Specialist during the PPG phase. During the project preparation phase, consultations were made with local communities, as well as representatives of provincial government agencies and civil society organizations. Some of the interviews were held only with women, with the assistance of Tibetan speaking facilitators, who are also planned to support activities during project implementation. The project results framework contains measurable indicators related to gender equality and women’s empowerment; an ATLAS gender marker of 2 has been applied to the project. For example, a target of 50% women representation among direct project beneficiaries has been applied in the project design, e.g., local collaborative management committees should have at least 40% women members. Sustainable alternative livelihoods will be developed that facilitate equitable participation by women. Gender and social inclusion training will be mandatory for project implementation staff and service providers, and resources have been allocated to monitor and evaluate socioeconomic benefits as part of the program environmental and social management plan (ESMP), which will be developed during project inception after the ESIA is complete. Moreover, knowledge products will be developed and disseminated according to the literacy and cultural circumstances of the local project communities, to ensure equitable gender and social inclusion.Specific roles have been integrated into the project team, including but not limited to the following:1. The project Monitoring & Evaluation / Safeguards Officer will champion overall gender mainstreaming on the project, with back-up from the Program Alignment Officer and the UNDP country office.
2. The Project Manager will appoint a gender focal point in the PMO who will implement and monitor the project level gender mainstreaming action plan and support project focal points at PA Administration and site levels to mainstream gender into all project activities.
3. The Qilian Mountain NP and the Qinghai Lake NNR will each designate a staff member as a gender focal point who will assist in the implementation of the gender mainstreaming plan and support the project-recruited gender experts.
4. Project-recruited gender experts will support the project with gender training, monitoring & evaluation of site activities, and consultations with local communities.
5. The gender mainstreaming objectives for the project will be championed and monitored by the project-recruited gender experts and the project gender focal points, with back-up from the UNDP country office gender experts.
 |
| ***Briefly describe in the space below how the Project mainstreams environmental sustainability*** |
| The project seeks to improve the effectiveness of the protected area system in the Qilian Mountains-Qinghai Lake landscape to conserve globally significant biodiversity, including snow leopard and Przewalski’s gazelle. Component 1 will consolidate the PA system in this landscape by increasing coverage of Key Biodiversity Areas (KBAs) and increasing connectivity. To complement PA consolidation and address threats across the wider landscape, a landscape-level management plan will be developed through stakeholder engagement. Component 2 will operationalize the consolidated PA system in the target landscape and strengthen community participation in natural resource management, with the goal of mutually beneficial conservation and socioeconomic outcomes, along the poverty-environment nexus and consistent with the precautionary principle in biodiversity conservation and natural resource management, respecting priorities of both conservation and sustainable development. Under Component 3 the requisite enabling conditions for sustaining the project results will be strengthened through targeted knowledge management, monitoring & evaluation, and gender mainstreaming and social inclusion. The project is also designed to strengthen the environmental management capacities of the QFD, PA management agencies, other provincial sectors, local governments, the civil society, and community groups.Consistent with the overarching C-PAR program, this project is closely aligned with the ecological conservation objectives outlined in the 13th Five-Year Plan for Economic and Social Development of the People’s Republic of China (2016-2020), which further mainstreams the principle of eco-civilization into the socioeconomic development priorities for the country; the National Biodiversity Strategy and Action Plan (NBSAP) for 2011-2030; the Aichi targets under the UN Convention on Biological Diversity; and the UN Development Assistance Framework (UNDAF) for China, specifically Priority Area No. 2: “*Improved and Sustainable Environment*”, Outcome 2: “*More people enjoy a cleaner, healthier and safer environment as a result of improved environmental protection and sustainable green growth*”. The project also contributes towards achievement of the UN Sustainable Development Goals for China, specifically Goal 15: “*Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss*”. |

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

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| **QUESTION 2: What are the Potential Social and Environmental Risks?**  | **QUESTION 3: What is the level of significance of the potential social and environmental risks?***Note: Respond to Questions 4 and 5 below before proceeding to Question 6* | **QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?** |
| ***Risk Description*** | ***Impact and Probability (1-5)*** | ***Significance******(Low, Moderate, High)*** | ***Comments*** | ***Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.*** |
| **Risk 1: Local communities (including ethnic minorities) living in key conservation zones of NP pilot (Qilian Mountains) could be gradually resettled.** *Standard 5: Displacement and Resettlement**5.1. Would the potential outcomes of the Project potentially involve temporary or permanent and full or partial physical displacement?**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?**Standard 6: Indigenous Peoples* *6.6. Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?* | I = 4P = 3 | **High** | The approved Qilian Mountains National Park covers an approximate cumulative area of 50,000 km2 in Gansu and Qinghai provinces, and the Qinghai section is about 15,800 km2, which is more than double the current size of the PNR. The master plan for the national park has not yet been completed, but there is a high likelihood that establishment of the national park will entail some resettlement, probably focusing on voluntary eco-migration in communities situated in the core zone of the park. The master plan for the Qilian Mountains NP is expected to be in draft form by project inception, providing further clarity regarding potential resettlement.Tibetan ethnic minorities make up a significant proportion of the inhabitants in the communities where project interventions are planned and therefore these impacts could apply to ethnic minorities (see Risk 3). | Based on initial assessments, an environmental and social management framework (ESMF) has been prepared during the PPG phase to put in place measures for the management of the project’s social and environmental risks.In accordance with the ESMF, an environmental and social impact assessment (ESIA) will be carried out at project inception to assess this and all other environmental and social risks, followed by a subsequent environmental and social management plan (ESMP). Free and Prior Informed Consent (FPIC) must be applied throughout the ESIA/ESMP; no relocation will take place without FPIC. Further information regarding the approved national park, including the master plan, are expected to be available at project inception. The ESIA process will draw upon this information to assess the associated impacts, and to inform the specific management measures outlined in the ensuing ESMP and standalone Resettlement Action Plan(s) if required. Indicative community level activities for the C-PAR3 project include strengthening the existing community ranger program, implementing participatory grassland restoration, and initiating collaborative livestock management in high mountain grassland ecosystems. These activities will have a positive impact in reinforcing the inherent linkages between the herder communities and conservation objectives, thus reducing the need for displacement and resettlement.Involuntary resettlement is not planned under the ongoing establishment of the NP system in China and will not be supported by this project.Resettlement is linked to government co-financing. GEF funds will not be used to support resettlement. |
| **Risk 2: Communities in the project area (including ethnic minorities) could face economic displacement, changes to land rights and/or restricted access to resources because of the expansion of the NP and PA system, stronger PA controls and creation of ecological corridor areas. These impacts could impact women differently than men.** *Principle 1: Human Rights, 1.3. Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?**Principle 2 Gender Equality and Womern’s Empowerment, 2.4: Would the Project potentially limit women’s ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services?**Standard 5: Displacement and Resettlement**5.2. Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due* *to land acquisition or access restrictions – even in the absence of physical relocation?**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?**Standard 6: Indigenous Peoples, 6.6. Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?* | I = 3P = 4 | **High** | Through the planned establishment of new protected area(s) and adjustments to land use practices to improve grazing management, certain restrictions to resources could be applied, including to ethnic Tibetan communities which make up most residents in the project area.The planned PA expansion is envisaged to be achieved through sustainable use arrangements, with local herders having access to grasslands within the protected areas, like the current operation of the Qinghai Lake NNR and the Qilian Mountains PNR. The project is proposing some innovative approaches, e.g., through conservation easements and other incentive mechanisms that will require changes in behaviour and current land use practices. For the Qinghai Lake NNR, the project design includes pilot implementation of innovative conservation financing, e.g., through conservation easements, that might involve changes in land tenure arrangements. Communities inside and near the Qinghai Lake NNR have been socialized to the issue of fencing and habitat fragmentation of the Przewalski's gazelle (*Procapra przewalskii)*; although fencing continues to be an issue, local herders have participated in earlier interventions aimed at removing and/or lowering the fences. For the Qilian Mountains PA, participatory grassland restoration and livestock management arrangements are planned, with mutually beneficial conservation and socioeconomic benefits. For the Qilian Mountains PA, the situation is a bit different; there has been less engagement with local communities, considering that PA management was first put in place in 2014 and the PNR has been upgraded to a national park in 2017. The implementation plan for national NP reform issued by the Chinese government in September 2017 for the national park system indicates that in key conservation zones, collectively held land should be normatively transferred through leasing, land exchange, and other approaches based on full solicitation with owners and users. It is not yet clear how this will be applied to the Qilian Mountains NP. The master plan for the Qilian Mountains NP is expected to be in draft form by project inception, providing further clarity regarding potential displacement.Tibetan ethnic minorities make up a significant proportion of the inhabitants in the communities where project interventions are planned and therefore these impacts could apply to ethnic minorities (see Risk 3). | During the project preparation phase consultations with local communities, local government units, provincial government agencies, and civil society representatives have contributed to the design of project activities focus on participatory planning and management of natural resources in the Qilian Mountains-Qinghai Lake landscape. Local awareness has been further strengthened through the approval of the Qilian Mountains National Park pilot in June 2017.As noted above, the ESIA process will further assess the possible socioeconomic impacts, including those related to economic displacement and land rights, associated with the national park establishment and project activities, to ensure that local communities are duly informed and participate in key decisions.The ESIA process will also include additional consultations with local communities regarding the planned project interventions, and management measures (i.e. the ESMP and/or stand-alone management plans) will be integrated into project implementation to ensure socioeconomic impacts are positive and to prevent adverse impacts. Free and Prior Informed Consent (FPIC) must be applied in line with the [UNDP SES Guidance Note on Indigenous Peoples](https://info.undp.org/sites/bpps/SES_Toolkit/SES%20Document%20Library/Uploaded%20October%202016/Final%20UNDP%20SES%20Indigenous%20Peoples%20GN_Jan2017.pdf?Web=1). The need for a stand-alone Livelihood Action Plan will be explored during the ESIA and addressed, as determined appropriate, in the ESMP.There will also be a grievance redress mechanism put in place for project-affected communities to raise any grievances and for implementation partners to respond to accordingly. |
| **Risk 3: Expansion of existing PAs has the potential to affect the rights, lands and livelihoods (e.g. potential economic displacement, reduced access to resources, resettlement) of ethnic minority populations within and adjacent to the project demonstration PAs (including the Qilian Mountains NP pilot).** *Standard 6: Indigenous Peoples, 6.1. Are indigenous peoples present in the Project area (including Project area of influence)?**6.3: Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)?* *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?**6.6. Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?* | I = 4P = 4 | **High** | Most of the local rural communities within the Qilian Mountains-Qinghai Lake landscape are predominantly comprised of ethnic minorities. For example, 63.4% of the inhabitants in Gangcha County (Qinghai Lake catchment) were Tibetan in 2016, and 79.2% of Qilian County (Qilian Mountains ecosystem) were made of ethnic minorities, including 29.6% Tibetan, 34.9% Hui, and 10.3% Mongolian[[14]](#footnote-14). Considering the planned establishment of new protected area(s) and adjustments to land use practices to enhance conservation outcomes, the project could potentially affect the human rights, lands, natural resources, and traditional livelihoods of ethnic minorities. Several communities/villages have been considered for project interventions within the Qilian Mountains-Qinghai Lake landscape. The selection has been progressed to the township level, with specific communities and/or villages identified and to be finalized in the inception phase. | During the project preparation phase consultations were made with local communities, local government officials, the QFD, other provincial government agencies, and the civil society representatives. Further community consultations will be required during project inception, as part of the ESIA, to ensure that ethnic minority communities are fully consulted and involved in development of all project interventions and plans at the target sites (with application of FPIC throughout). The ESMP will provide specific protocols for managing this continued involvement during project implementation, as well as monitoring, evaluation, and reporting, and project budget has been allocated for these purposes. For example, facilitators that speak the local languages will support community engagement, key documents will be prepared in local languages, and communication and knowledge management techniques will be designed consistent with cultural norms and literacy circumstances. The need for a stand-alone Ethnic Minorities Plan will be explored during the ESIA and addressed, as determined appropriate, in the ESMP. |
| **Risk 4: Marginalized stakeholder groups, including women and ethnic minorities, could face barriers to full, meaningful participation in project activities (e.g. planned expansion of PA subsystem) that could affect them negatively.***Principle 1: Human Rights* *Question 4. Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?**Question 6. Is there a risk that rights-holders do not have the capacity to claim their rights?**Principle 2: Gender Equality and Women’s Empowerment, 2.2: Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?**Standard 6: Indigenous Peoples**6.1. Are indigenous peoples present in the Project area (including Project area of influence)?**6.4. Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?* | I = 3P = 2 | **Moderate** | Literacy rates among ethnic Tibetan minority communities are considerably lower than average rates in the province. Also, there are large disparities between men and women in the patriarchal culture of most Tibetan communities.Further, in the past, master plans for PAs have been developed in a largely top-down fashion, with high participation of the protected areas but low participation of other relevant agencies and local communities. | Consultations during the PPG phase have been supported by Tibetan assistants and some interviews were held only with women. A gender analysis was undertaken and a Gender Action Plan developed, which will be implemented for the duration of the project. Tibetan speaking facilitators are also planned to support activities during project implementation. Knowledge products will be developed according to the literacy and cultural circumstances of the local project communities. Further community consultations will be required during project inception, as part of the ESIA, to ensure that ethnic minority communities are fully consulted and involved in development of all project interventions and plans at the target sites (with application of FPIC throughout). The ESMP will provide specific protocols for managing this continued involvement during project implementation, as well as monitoring, evaluation, and reporting, and project budget has been allocated for these purposes. |
| **Risk 5: Project appointed duty-bearers at the county and township level (e.g. community mobilisers) could lack the capacity to implement the project according to UNDP standards regarding human rights, public participation, gender mainstreaming and attention to social and environmental safeguards.***Principle 1: Human Rights, 1.5. Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?* | I = 3P = 2 | **Moderate** | While Provincial level duty-bearers have reasonably high capacities, representatives at the county and township levels could lack capacity to implement the project activities to required standards. Furthermore, there is a relatively high level of uncertainty regarding the regulatory and management arrangements of the national park system, compared to the current arrangements associated with nature reserves, and therefore some unknowns about the extent to which these will require new skills/knowledge/ experiences. | A capacity needs assessment of the Qinghai Forestry Department (QFD) was undertaken during the project preparation phase, and trainings are planned during the implementation phase to enhance duty-bearers’ capacities.Local capacities will be further assessed as part of the ESIA, and specific management measures designed in the ESMP for ensuring that duty-bearers are capacitated to facilitate implementation of the project activities and to ensure that project results are sustained after GEF funding ceases. |
| **Risk 6: There are large disparities between men and women in the patriarchal culture of most Tibetan communities in and around the project sites that could potentially be reproduced by project activities, limiting engagement and involvement of women in project implementation.***Principle 2: Gender Equality and Women’s Empowerment, question 2: Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?* | I = 3P = 2 | **Moderate** | There are large disparities between men and women in the patriarchal culture of most Tibetan communities, and income generating potential within rural communities in China in general is lower for women than for men. | A gender analysis and action plan was completed during the PPG phase and will guide proactive women’s empowerment efforts during implementation. Please see this plan for further detail of specific project gender mainstreaming actions and targets.The ESIA completed in accordance with the ESMF will also look at gender angles, including how gender intersects with the multiple risks in this SESP. The gender mainstreaming plan will be updated as required after the completion of the ESIA. Gender mainstreaming actions will also be incorporated into the ESMP and the Gender Action Plan updated as required. |
| **Risk 7: Project activities will occur within/adjacent to environmentally sensitive areas, posing potential risk to sensitive habitats and species if not designed and undertaken appropriately.***Standard 1: Biodiversity Conservation and Natural Resource Management,* *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?* *1.5 Would the Project pose a risk of introducing invasive alien species?**1.6. Does the Project involve harvesting of natural forests, plantation development, or reforestation?* | I = 2P = 1 | **Low** | The objective of the project is to strengthen the effectiveness of the PA system within the Qilian Mountains-Qinghai Lake landscape, and this will be achieved through establishing new protected areas and improving land use practices within and near existing ones. The project is specifically designed to support better protection and management of protected areas and critical habitats of endangered species. Regarding restoration, the project provides incremental support to grassland restoration programs planned by the Qinghai Agricultural-Animal Husbandry Department, promoting natural regeneration or introduction of native species, reducing the risk for introduction of invasive alien species.This biodiversity project was developed with specialist expertise and the risk of adverse outcomes to habitats is considered low. |  |
| **Risk 8: Climate change has potential to negatively impact species populations and targeted habitats/protected areas.***Standard 2: Climate Change Mitigation and Adaptation, 2.2. Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?* | I = 2P = 2 | **Low** | Climate change projects are uncertain and most likely to impact the project in the longer-term, with lower probability and scope of impact during the project term itself.The project will build upon the climate change adaptation strategy for the Qinghai PA system that was developed under the recently closed GEF-4 financed project. Project activities are likely to help build resilience of habitats and communities to climate change. For example, the project design includes preparation of a PA sub-system consolidation plan for the Qilian Mountains-Qinghai Lake landscape, and this plan will address increasing connectivity of critical ecosystems and promoting protection of climate refugia. Moreover, improved land use practices and ecological stewardship by local communities are envisaged to result in improved quality of grasslands, thus strengthening the resilience of local herders and wildlife to cope with the forecast impacts of climate change. |  |
|  | **QUESTION 4: What is the overall Project risk categorization?**  |
| **Select one (see** [**SESP**](http://www.undp.org/content/undp/en/home/librarypage/operations1/undp-social-and-environmental-screening-procedure.html) **for guidance)** | **Comments** |
| ***Low Risk*** | **☐** |  |
| ***Moderate Risk***  | **☐** |  |
| ***High Risk*** | **X** | Eight project risks have been identified, of which their overall impact and probability have been assessed as High (3 risks), Moderate (3 risks), and Low (2 risks). The risks with High rating relate to the voluntary resettlement (Risk 1) and economic displacement (Risk 2) of communities from project sites and the likelihood that both risks relate to ethnic minorities (Risk 3).In line with UNDP’s SES, an environmental and social management framework (ESMF) has been developed during the project preparation phase (see Annex F). Resources have been allocated in the project budget for implementation of the ESMF via carrying out an environmental and social impact assessment (ESIA), with an ESIA report – developing specific management measures that will be incorporated into an environmental and social management plan (ESMP).Consistent with the overall C-PAR program, the project will implement other relevant management plans, which may be updated as part of the ESIA/ESMP process, including but not limited to the following:* Implementation of the project gender strategy and action plan in capacity building, livelihoods, and other activities to ensure gender equity and women’s empowerment.
* Implementation of a stakeholder engagement plan that identifies the roles and responsibilities of implementing partners, beneficiaries, enabling stakeholders, and others.
* Implementation of a grievance redress mechanism that will allow local communities and other stakeholders to raise concerns and grievances and facilitate follow-up corrective action responses (the GRM will be detailed in the ESMP).

Standard M&E and adaptive management procedures will be applied during project implementation. A project M&E/Safeguards Officer will support the project team to oversee coordination and implementation of risk management measures. And, the independent Midterm Review and Terminal Evaluation assess whether appropriate risk mitigation measures have been taken, and how the ESMP has been implemented. |
|  | **QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?** |  |
| Check all that apply | **Comments** |
| ***Principle 1: Human Rights*** | **X** | See Risks 2, 4, 5 |
| ***Principle 2: Gender Equality and Women’s Empowerment*** | **X** | See Risks 2, 6 |
| ***1. Biodiversity Conservation and Natural Resource Management*** | **☐** |  |
| ***2. Climate Change Mitigation and Adaptation*** | **☐** |  |
| ***3. Community Health, Safety and Working Conditions*** | **☐** |  |
| ***4. Cultural Heritage*** | **☐** |  |
| ***5. Displacement and Resettlement*** | **X** | See Risks 1, 2 |
| ***6. Indigenous Peoples*** | **X** | See Risks 1, 2, 3 |
| ***7. Pollution Prevention and Resource Efficiency*** | **☐** |  |

SESP Attachment 1. Social and Environmental Risk Screening Checklist

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| --- | --- |
| **Checklist Potential Social and Environmental Risks** |  |
| **Principles 1: Human Rights** | **Answer (Yes/No)** |
| 1. Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups? | No |
| 2. Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? [[15]](#footnote-15)  | No |
| 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? | No |
| **Principle 2: Gender Equality and Women’s Empowerment** |  |
| 1. Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?  | No |
| 2. Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits? | **Yes** |
| 3. Have women’s groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment? | No |
| 4. Would the Project potentially limit women’s ability to use, develop and protect natural resources, 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* | No |
| **Principle 3: Environmental Sustainability:** Screeningquestions regarding environmental risks are encompassed by the specific Standard-related questions below |  |
|  |  |
| **Standard 1: Biodiversity Conservation and Sustainable** [**Natural**](#SustNatResManGlossary) **Resource Management** |  |
| 1.1 Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services?*For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes* | No |
| 1.2 Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities? | **Yes** |
| 1.3 Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5) | No |
| 1.4 Would Project activities pose risks to endangered species? | No |
| 1.5 Would the Project pose a risk of introducing invasive alien species?  | **Yes** |
| 1.6 Does the Project involve harvesting of natural forests, plantation development, or reforestation? | **Yes** |
| 1.7 Does the Project involve the production and/or harvesting of fish populations or other aquatic species? | No |
| 1.8 Does the Project involve significant extraction, diversion or containment of surface or ground water? *For example, construction of dams, reservoirs, river basin developments, groundwater extraction* | No |
| 1.9 Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)  | No |
| 1.10 Would the Project generate potential adverse transboundary or global environmental concerns? | No |
| 1.11 Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? *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.* | No |
| **Standard 2: Climate Change Mitigation and Adaptation** |  |
| 2.1 Will the proposed Project result in significant[[16]](#footnote-16) greenhouse gas emissions or may exacerbate climate change?  | No |
| 2.2 Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?  | **Yes** |
| 2.3 Is the proposed Project likely to directly or indirectly increase social and environmental [vulnerability to climate change](#CCVulnerabilityGlossary) now or in the future (also known as maladaptive practices)?*For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population’s vulnerability to climate change, specifically flooding* | No |
| **Standard 3: Community Health, Safety and Working Conditions** |  |
| 3.1 Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities? | No |
| 3.2 Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)? | No |
| 3.3 Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)? | No |
| 3.4 Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure) | No |
| 3.5 Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions? | No |
| 3.6 Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)? | 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)?  | No |
| 3.9 Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)? | No |
| **Standard 4: Cultural Heritage** |  |
| 4.1 Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts) | No |
| 4.2 Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes? | No |
| **Standard 5: Displacement and Resettlement** |  |
| 5.1 Would the Project potentially involve temporary or permanent and full or partial physical displacement? | **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?[[17]](#footnote-17) | 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** |
| **Standard 6: Indigenous Peoples** |  |
| 6.1 Are indigenous peoples present in the Project area (including Project area of influence)? | **Yes** |
| 6.2 Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples? | No |
| 6.3 Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)? *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.* | **Yes** |
| 6.4 Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned? | **Yes** |
| 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? | **Yes** |
| 6.7 Would the Project adversely affect the development priorities of indigenous peoples as defined by them? | No |
| 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? | No |
| **Standard 7: Pollution Prevention and Resource Efficiency** |  |
| 7.1 Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or [transboundary impacts](#TransboundaryImpactsGlossary)?  | No |
| 7.2 Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)? | No |
| 7.3 Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs?*For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol*  | No |
| 7.4 Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health? | No |
| 7.5 Does the Project include activities that require significant consumption of raw materials, energy, and/or water?  | No |

## C-PAR4 (MPA project) SESP Template

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| ***Project Information***  |  |
| 1. Project Title
 | **Strengthening Marine Protected Areas in SE China to conserve globally significant coastal biodiversity** **(China’s Protected Areas System Reform – Child Project #4 (CPAR4))** |
| 1. Project Number
 | PIMS 5379 |
| 1. Location (Global/Region/Country)
 | China |

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

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| **QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?** |
| ***Briefly describe in the space below how the Project mainstreams the human-rights based approach***  |
| A human rights based approach is about empowering people to know and claim their rights and increasing the ability and accountability of individuals and institutions who are responsible for respecting, protecting and fulfilling rights. The project will achieve integration of human-rights based approaches through its Objective, which is “*To conserve globally significant coastal biodiversity in South-East (SE) China through integrated seascape planning and threat management, MPA network expansion and strengthened MPA operations*”. The project’s three main components are: 1. Expanded and strengthened MPA network with biodiversity mainstreamed into marine spatial planning. 2. Improved management effectiveness of MPA/ESAs in the project pilot areas; and 3. MPA network functioning for improved data and knowledge management, monitoring and evaluation. Conservation of biodiversity for current and future generations, by its nature, secures fundamental human rights.A human rights based approach will be achieved by facilitating participation of stakeholders, particularly civil society and appointed public sector officials at appropriate levels in. In particular, the project will champion and demonstrate community participation and empowerment in the management of MPAs, and the benefits they can provide to coastal communities, for example through ecotourism and sustainable artisanal fisheries. No dependent rural communities live adjacent to MPAs in Xiamen Bay and Zhuhai-Jiangmen pilot areas, while local communities in and adjacent to the Qinzhou–Behai pilot area use the intertidal flats and coastal waters for artisanal fisheries, shellfish cultivation and harvest, and some tourism. Both the rural and urban populations contain small proportions of ethnic minorities. Field surveys in the Qinzhou-Behai pilot area showed that production activities and everyday lives of the ethnic minority people were very similar to that of Han Majority and most could speak Mandarin and read Standard Chinese characters except some very elderly people. The project will strive to ensure that human rights approaches are embedded and Aarhus Convention principles are enforced at all levels. During the project preparation phase, consultation sessions and meetings were held with key stakeholder groups in order to maximise understanding of the barriers and opportunities related to the conservation of globally significant coastal biodiversity in SE China, and any impacts (positive and negative) on human rights. Further details are provided in the PPG Report on Socio-economic situation (Annex P to the Project document), and in the Gender Analysis and Action Plan (Annex G to the Project document). Particular attention to social safeguards was given to the Qinzhou-Behai Coastal Waters pilot area. The project design makes the assumption that the consultations during project preparation strengthens the transparency and legitimacy of the proposed project activities, notwithstanding that during project implementation, activities can and should be adapted to ensure that the human rights of stakeholders are preserved and/or reinforced. The PPG awareness-raising dialogues, stakeholder consultations and review workshop were intended to engage as many key stakeholders as possible in order to incorporate their diverse perspectives in as many project activities as possible, and reduce the risks of marginalizing any stakeholders, particularly local communities. An ESMF was developed for this project (jointly with the three other UNDP-supported child projects in the C-PAR program) and will be implemented during the inception phase of the project. This will include a targeted assessment of potential economic displacement impacts due to new MPA establishment (see Risk 1 below). |
| ***Briefly describe in the space below how the Project is likely to improve gender equality and women’s empowerment*** |
| During the PPG phase, explicit attention was given to gender during community meetings and one-on-one interviews to document and understand the different ways in which women and men access to and utilize natural resources and to identify any obstacles to equal participation in the conservation of the natural resources and environment. Large gender disparities persist in areas of education attainment, training opportunities, employment opportunities, participation, decision making, and wage equality in the project area. Due to traditional gender norms that men are responsible for outside affairs while women for domestic work and other social-cultural barriers, women continue to face disparities in access to training, employment participation opportunities, and decision making opportunities, while taking up almost all housework.The project will build on this baseline to promote gender equality and women’s empowerment in SE China and the three pilot areas by employing inclusive approaches and processes in the implementation of all its planned activities. The proposed project activities have been derived from a broad-based consultative process, with specific effort to consult women, particularly in the communities related to MPAs (Qinzhou-Behai pilot area). Details of the consultations have been documented by the PPG Community Development and Gender Specialist and were taken into account in the project’s Gender Analysis and Action Plan (ProDoc Annex G). Project implementation will provide many opportunities to ensure that gender issues are directly addressed. Stakeholder platforms, meetings and capacity building programs will be designed to ensure that challenging targets above the baseline are met for participation by women (only about 20% of MPA staff are currently women), while the project’s engagement in the target villages of the Qinzhou-Behai pilot area will aim to ensure that at least 50% of the beneficiaries are women.Gender equality was taken into account in the formulation of the project, and the project management unit? will take care to ensure tracking key indicators (in the Results Framework?), such as the balance of women participants in the capacity development and livelihood activities and the extent to which gender issues inform deliberations and recommendations. The project document makes specific reference to three GEF requirements for mainstreaming gender issues in projects: 1. Gender mainstreaming and capacity building within GEF project staff to improve socio-economic understanding of gender issues. This will be achieved through targeted support from a Gender specialist hired at the start of the project to train all PMO staff, gender focal points and specialists in gender issues. A CPAR Programme Safeguards specialist with specific responsibility for gender mainstreaming will also contribute 2.2 months per year to this child project.
2. A designated focal point for gender issues to support development, implementation, monitoring and strategy on gender mainstreaming internally and externally. The Project Manager will appoint a Gender Focal point in the PMO, who will implement and monitor the strategy and support project Focal points at provincial, municipal and MPA level to mainstream gender into all project activities.
3. Working with experts in gender issues to utilize their expertise in developing and implementing GEF projects. The PMO Gender Focal Point will promote gender mainstreaming by all of the consultants hired for project implementation. Co-management and livelihoods specialists will be hired to support implementation in the target villages of the Qinzhou-Behai pilot area, and gender mainstreaming expertise will be specifically required in their TOR.

The implementation of these requirements will be championed and monitored by the project-recruited gender and safeguards specialist and the project Gender Focal Points, with back-up from the UNDP-CO gender focal point, during project implementation. As a result, gender equality will be improved in environmental management, and women will be empowered to participate fully in, influence and benefit from all project activities.  |
| ***Briefly describe in the space below how the Project mainstreams environmental sustainability*** |
| The project objective contributes directly to environmental sustainability including the UN’s Sustainable Development Goal #14 Life Below Water (*Conserve and sustainably use the oceans, seas and marine resources for sustainable development*), several of the CBD Aichi Targets and China’s National Biodiversity Strategy and Action Plan (CNBSAP) and Ecological Civilization reforms. The overall impact on environmental sustainability is expected to be overwhelmingly positive and an important contribution to sustainable development in the project area. Environmental sustainability of the project’s interventions will be promoted through a mix of strategies including: Component 1: expansion and enhanced connectivity of the MPA network and mainstreaming of biodiversity into marine spatial planning; Component 2: capacity development of MPA staff, improved management effectiveness of the MPAs, reduction of locally specific threats, increased number of community-based conservation programmes and raised public awareness; Component 3: enhanced networking between MPAs, monitoring, evaluation and information sharing. Together these will ensure sustainability of coastal ecosystems and related globally significant biodiversity (together with the associated economic and social benefits that they provide). The project will be proactive in promoting sustainability in the implementation of all its outputs. A key target will be the creation of an active and lasting MPA network together with an information-sharing platform, through which capacity development and the development of guidelines and tools will be shared, including with other regional and global MPA networks.  |

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

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| **QUESTION 2: What are the Potential Social and Environmental Risks?**  | **QUESTION 3: What is the level of significance of the potential social and environmental risks?***Note: Respond to Questions 4 and 5 below before proceeding to Question 6* | **QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?** |
| ***Risk Description*** | ***Impact and Probability (1-5)*** | ***Significance******(Low, Moderate, High)*** | ***Comments*** | ***Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.*** |
| **Risk 1: New MPAs and enhanced management of existing MPAs could lead to access restrictions for fishermen/women, resulting in economic displacement** *Principle 1, question 3: Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?**Principle 2, question 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?**Principle 3, Standard 5.2: Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?* | I = 3P = 2 | **Moderate** | This risk arises as a result of mainly existing (and some potential) access restrictions to marine resources (fish and shell-fish) for local communities in the Qinzhou-Behai pilot area. The 2 existing MPAs in Behai Municipality already theoretically restrict access to some marine resources, and enforcement has caused ongoing conflicts with MPA staff. Additionally, the creation of a new MPA in Sanniang Bay (Qinzhou Municipality) could lead to new access restrictions for fishermen/women (although note that the community is generally supportive of the establishment of this MPA). Since no people live in the core areas of potential new MPAs, there is a zero risk of physical displacement / resettlement. | An ESMF was developed for this project (jointly with the three other UNDP-supported child projects in the C-PAR program). Per that ESMF, a targeted assessment of potential impacts in the pilot areas will be completed during the project inception phase, and management measures detailed. If determined necessary based on the findings of the assessment, a Livelihoods Action Plan will be developed.The project will address this risk proactively, working with co-management and livelihoods specialists and community facilitators to design and demonstrate new participatory approaches to co-management through piloting village-level agreements with the MPAs and designing local regulations to allow sustainable artisanal access to marine resources. These will be backed up with piloting eco-compensation mechanisms and sustainable livelihoods diversification. Mechanisms to up-scale successful pilots from the target villages will be in place by the end of the project. |
| **Risk 2: Existing community conflicts over access to marine resources could be exacerbated by project activities***Principle 1, question 8: Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?* | I = 2P = 2 | **Low** | There are existing low level conflicts between communities in Behai Municipality and the related MPAs over access to marine resources. While complex in nature, these are low-level, ongoing and only involve a small number of people. The probability that these could be exacerbated by project activities is very low, and the impact limited in scale. Through the measures described for Risk 1, the project will pilot participatory conflict resolution, and is therefore designed to help resolve these ongoing low-level conflicts. Local stakeholders are included in the stakeholder engagement plan. |  |
| **Risk 3: There are gender disparities at project sites that could potentially be reproduced by the creation/enhanced management of MPAs** *Principle 2, question 2: Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?* | I = 3P = 2 | **Moderate** | Large gender disparities persist in areas of education attainment, training opportunities, employment opportunities, participation, decision making, and wage equality in the project area.  | A gender analysis and gender mainstreaming plan has been completed. The project will make targeted efforts to reduce discriminations against women in line with the project’s gender targets. The gender mainstreaming strategy includes the following: * Consult with women groups about their needs, priorities etc. associated with the project interventions
* Promote equal representation of women in project related decisions in communities
* Women’s equal participation in the project activities
* Women staff of PAs and PMOs trained proportionally
* Women-targeted budget if necessary
* Equal payment for men and women, when applicable
* Key gender-sensitive indicators and targets will be included in the project results framework:
* 50% of the beneficiaries of the pilot community activities will be women
 |
| **Risk 4: Project activities will occur within/adjacent to environmentally sensitive areas posing potential risk to sensitive habitats and species***Principle 3: Standard 1, question 2****:*** *Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?* | I = 2P = 1 | **Low** | Most project activities will occur adjacent to or within MPAs and ecologically sensitive areas. This is a biodiversity project and the objective and all activities are targeted on improving the management effectiveness and sustainability of MPAs. Therefore, expected biodiversity outcomes are positive and the risk of damage/disruption to sensitive habitats is very low. |  |
| **Risk 5: There are small levels of ethnic minorities in project sites that could be impacted by project activities***Principle 6, question 1: Are indigenous peoples present in the Project area (including Project area of influence)?* | 1 = 2P = 1 | **Low** | There are low levels of ethnic minorities in the project sites, estimated at less than 5% of the total population. Field surveys showed that production activities and everyday lives of the ethnic minority people were very similar to that of Han Majority and most could speak Mandarin and read Standard Chinese characters except some very elderly people. The potential impacts on ethnic minorities are very low. Local working groups and communications are included in the stakeholder engagement plan. |  |
| **Risk 6: Creation of MPAs and ESAs will change the use of marine resources with potential adverse impacts on habitats** *Principle 3: Standard 1, question 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)* | I = 2P = 1 | **Low** | The project target to expand the area of MPAs and ESAs by 40,000ha will change the use of lands and resources, but in a way that will only deliver positive impacts for habitats and ecosystems through enhanced conservation management. The project objective and activities are targeted on improving the condition of coastal and marine habitats. Therefore, expected outcomes are positive and the risk of adverse impacts is considered low. The issues of limitations of access to lands and economic displacement are covered under Risk 1. |  |
| **Risk 7: Project will address harvesting of fish and aquatic species, which could damage aquatic habitats if carried out at unsustainable levels***Principle 3: Standard 1, question 7: Does the Project involve the production and/or harvesting of fish populations or other aquatic species?* | I = 2P= 1 | **Low** | Project activities will be aimed at reducing risks to fish populations and other aquatic species, including through the Coastal Biodiversity Action Plans, co-management and better regulations and enforcement for each pilot area. The project will address more sustainable harvesting of fish and shellfish in its pilot areas, as well as measures to enhance fish populations (such as establishment of no-take zones and artificial reefs). In Sanniang Bay, livelihood diversification may involve support for sustainable oyster cultivation however no artificial inputs will be required.  |  |
| **Risk 8: Climate change impacts are expected in coastal ecosystems in China, risking achievement of project targets/objective***Principle 3, Standard 2, question 2: Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?* | I = 2P = 2 | **Low** | This risk is considered to be low by end of project. However, in the long-term, the impacts of climate change may have significant impacts on coastal ecosystems and globally significant biodiversity in SE China. The project will build adaptation measures into relevant activities to address the long-term risk. In particular, climate change adaptation will be mainstreamed into all guidelines as well as the Coastal Biodiversity Action Plans that will be prepared and implemented for each pilot area. |  |
|  | **QUESTION 4: What is the overall Project risk categorization?**  |
| **Select one (see** [**SESP**](http://www.undp.org/content/undp/en/home/librarypage/operations1/undp-social-and-environmental-screening-procedure.html) **for guidance)** | **Comments** |
| ***Low Risk*** | **☐** |  |
| ***Moderate Risk*** | **X** | A total of 8 risks have been identified. Six have been assessed as low significance and two have been assessed as moderate significance: (1) Risk 1: access restrictions for fishermen/women); (2) Risk 3: There are gender disparities that could potentially be reproduced by the creation/enhanced management of MPAs. The following safeguards are triggered: *Principle 1: Human Rights*, *Principle 2: Gender Equality and Women’s Empowerment* and *Standard 5: Displacement and Resettlemen*t*.*The overall project risk categorization is moderate. An ESMF has been prepared for the project (and three other CPAR projects) outlining the additional safeguard measures that apply to the project and will be completed during the project inception phase to minimize potential risks. In accordance with this ESMF, a targeted assessment of potential economic displacement risks will be completed and required management measures detailed. This will include the completion of a livelihoods action plan if justified by the assessment results. This SESP template will form the basis of the targeted assessment and will be updated as required.A gender assessment has been completed along with a gender mainstreaming plan. Implementation of the project gender action plan will be integrated in all capacity building, livelihoods and other activities to ensure that institutions and individuals optimize gender outcomesThe six risks rated as low significance have been considered in the design of the project. The project could potentially have low adverse impacts on Environmental Sustainability, Fish populations and other aquatic species, Climate Change Mitigation and Adaptation and Ethnic Minorities (Indigenous Peoples)**.** The project has been designed specifically to mitigate them further. Defined M&E and adaptive management procedures will be applied during project implementation. Key measures will include:* Ensuring capacity development and improved management effectiveness of MPAs, and greater community participation and co-management.
* Comprehensive stakeholder engagement plan that considers broad range of stakeholders and how to consult and engage them in project activities
* All plans, tools and measures incorporate climate change adaptation considerations

Support for safeguards and gender has been built into the project budget, and specific responsibilities allocated to Project Management Unit staff. Oversight will also be provided by the CPAR1 National project team. The independent Mid-Term Review and Terminal Evaluation will be tasked to assess whether these mitigation measures have been met. This will be explicitly stated in the Terms of Reference of these consultancies. |
| ***High Risk*** | **☐** |  |
|  | **QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?** |  |
| Check all that apply | **Comments** |
| ***Principle 1: Human Rights*** | **X** | See Risk 1. The project could potentially cause economic displacement and restricted access to resources through the creation of new MPAs and stricter enforcement of access regulations at existing MPAs. This risk will be assessed by a targeted assessment conducted during the inception phase. No related project activities will commence until this assessment is complete and management measures identified, approved and put in place.  |
| ***Principle 2: Gender Equality and Women’s Empowerment*** | **X** | See Risk 3. Gender disparities exist at project sites and could potentially be enhanced by project activities. A gender assessment has been completed along with a gender mainstreaming plan. Implementation of the project gender action plan will be integrated in all capacity building, livelihoods and other activities to ensure that institutions and individuals optimize gender outcomes. |
| ***1. Biodiversity Conservation and Natural Resource Management*** | **☐** |  |
| ***2. Climate Change Mitigation and Adaptation*** | **☐** |  |
| ***3. Community Health, Safety and Working Conditions*** | **☐** |  |
| ***4. Cultural Heritage*** | **☐** |  |
| ***5. Displacement and Resettlement*** | **X** | See Risk 1. The project could potentially cause economic displacement and restricted access to resources through the creation of new MPAs and stricter enforcement of access regulations at existing MPAs. This risk will be assessed by a targeted assessment conducted during the inception phase. No related project activities will commence until this assessment is complete and management measures identified, approved and put in place. |
| ***6. Indigenous Peoples*** | **☐** |  |
| ***7. Pollution Prevention and Resource Efficiency*** | **☐** |  |

SESP Attachment 1. Social and Environmental Risk Screening Checklist

|  |  |
| --- | --- |
| **Checklist Potential Social and Environmental Risks** |  |
| **Principles 1: Human Rights** | **Answer (Yes/No)** |
| 1. Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups? | No |
| 2. Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? [[18]](#footnote-18)  | No |
| 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? | No |
| 5. Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project? | No |
| 6. Is there a risk that rights-holders do not have the capacity to claim their rights?  | No |
| 7. Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process? | No |
| 8. Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals? | **Yes** |
| **Principle 2: Gender Equality and Women’s Empowerment** |  |
| 1. Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?  | No |
| 2. Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits? | **Yes** |
| 3. Have women’s groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment? | No |
| 4. Would the Project potentially limit women’s ability to use, develop and protect natural resources, 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** |
| **Principle 3: Environmental Sustainability:** Screeningquestions regarding environmental risks are encompassed by the specific Standard-related questions below |  |
|  |  |
| **Standard 1: Biodiversity Conservation and Sustainable** [**Natural**](#SustNatResManGlossary) **Resource Management** |  |
| 1.1 Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services?*For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes* | No |
| 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? | No |
| 1.5 Would the Project pose a risk of introducing invasive alien species?  | No |
| 1.6 Does the Project involve harvesting of natural forests, plantation development, or reforestation? | No |
| 1.7 Does the Project involve the production and/or harvesting of fish populations or other aquatic species? | **Yes** |
| 1.8 Does the Project involve significant extraction, diversion or containment of surface or ground water? *For example, construction of dams, reservoirs, river basin developments, groundwater extraction* | No |
| 1.9 Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)  | No |
| 1.10 Would the Project generate potential adverse transboundary or global environmental concerns? | No |
| 1.11 Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? *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.* | No |
| **Standard 2: Climate Change Mitigation and Adaptation** |  |
| 2.1 Will the proposed Project result in significant[[19]](#footnote-19) greenhouse gas emissions or may exacerbate climate change?  | No |
| 2.2 Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?  | **Yes** |
| 2.3 Is the proposed Project likely to directly or indirectly increase social and environmental [vulnerability to climate change](#CCVulnerabilityGlossary) now or in the future (also known as maladaptive practices)?*For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population’s vulnerability to climate change, specifically flooding* | No |
| **Standard 3: Community Health, Safety and Working Conditions** |  |
| 3.1 Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities? | No |
| 3.2 Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)? | No |
| 3.3 Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)? | No |
| 3.4 Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure) | No |
| 3.5 Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions? | No |
| 3.6 Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)? | 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)?  | No |
| 3.9 Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)? | No |
| **Standard 4: Cultural Heritage** |  |
| 4.1 Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts) | No |
| 4.2 Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes? | No |
| **Standard 5: Displacement and Resettlement** |  |
| 5.1 Would the Project potentially involve temporary or permanent and full or partial physical displacement? | No |
| 5.2 Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?  | **Yes** |
| 5.3 Is there a risk that the Project would lead to forced evictions?[[20]](#footnote-20) | No |
| 5.4 Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?  | No |
| **Standard 6: Indigenous Peoples** |  |
| 6.1 Are indigenous peoples present in the Project area (including Project area of influence)? | **Yes** |
| 6.2 Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples? | No |
| 6.3 Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)? *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.* | No |
| 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? | No |
| 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? | No |
| **Standard 7: Pollution Prevention and Resource Efficiency** |  |
| 7.1 Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or [transboundary impacts](#TransboundaryImpactsGlossary)?  | No |
| 7.2 Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)? | No |
| 7.3 Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs?*For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol*  | No |
| 7.4 Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health? | No |
| 7.5 Does the Project include activities that require significant consumption of raw materials, energy, and/or water?  | No |

## Indicative Outline of Environmental and Social Impact Assessment (ESIA) Report

UNDP Social and Environmental Standards:

ESIA Report – Indicative Outline

Please refer to the [UNDP SES Guidance Note on Assessment and Management](https://info.undp.org/sites/bpps/SES_Toolkit/SES%20Document%20Library/Uploaded%20October%202016/Final_UNDP_SES_Assessment_and_Management_GN_-_Dec2016.pdf) for additional information.

An ESIA report should include the following major elements (not necessarily in the following order):

**(1) Executive summary:** Concisely discusses significant findings and recommended actions.

**(2) Legal and institutional framework:** Summarizes the analysis of the legal and institutional framework for the project, within which the social and environmental assessment is carried out, including (a) the country's applicable policy framework, national laws and regulations, and institutional capabilities (including implementation) relating to social and environmental issues; obligations of the country directly applicable to the project under relevant international treaties and agreements; (b) applicable requirements under UNDP’s SES; and (c) and other relevant social and environmental standards and/or requirements, including those of any other donors and development partners. Compares the existing social and environmental framework and applicable requirements of UNDP’s SES (and those of other donors/development partners) and identifies any potential gaps that will need to be addressed.

**(3) Project description:** Concisely describes the proposed project and its geographic, social, environmental, and temporal context, including any offsite activities that may be required (e.g., dedicated pipelines, access roads, power supply, water supply, housing, and raw material and product storage facilities), as well as the project’s primary supply chain. Includes a map of sufficient detail, showing the project site and the area that may be affected by the project’s direct, indirect, and cumulative impacts. (i.e. area of influence).

**(4) Baseline data:** Summarizes the baseline data that is relevant to decisions about project location, design, operation, or mitigation measures; identifies and estimates the extent and quality of available data, key data gaps, and uncertainties associated with predictions;assesses the scope of the area to be studied and describes relevant physical, biological, and socioeconomic conditions, including any changes anticipated before the project commences; and takes into account current and proposed development activities within the project area but not directly connected to the project.

**(5) Social and environmental risks and impacts:** Predicts and takes into account all relevant social and environmental risks and impacts of the project, including those related to UNDP’s SES (Overarching Policy and Principles and Project-level Standards). These will include, but are not limited to, the following:

*(a) Environmental risks and impacts*, including: any material threat to the protection, conservation, maintenance and rehabilitation of natural habitats, biodiversity, and ecosystems; those related to climate change and other transboundary or global impacts; those related to community health and safety; those related to pollution and discharges of waste; those related to the use of living natural resources, such as fisheries and forests; and those related to other applicable standards.[[21]](#footnote-21)

*(b) Social risks and impacts*, including: any project-related threats to human rights of affected communities and individuals; threats to human security through the escalation of personal, communal or inter-state conflict, crime or violence; risks of gender discrimination; risks that adverse project impacts fall disproportionately on disadvantaged or marginalized groups; any prejudice or discrimination toward individuals or groups in providing access to development resources and project benefits, particularly in the case of disadvantaged or marginalized groups; negative economic and social impacts relating to physical displacement (i.e. relocation or loss of shelter) or economic displacement (i.e. loss of assets or access to assets that leads to loss of income sources or means of livelihood) as a result of project-related land or resource acquisition or restrictions on land use or access to resources; impacts on the health, safety and well-being of workers and project-affected communities; and risks to cultural heritage.

**(6) Analysis of alternatives:** systematically compares feasible alternatives to the proposed project site, technology, design, and operation – including the "without project" situation – in terms of their potential social and environmental impacts; assesses the alternatives’ feasibility of mitigating the adverse social and environmental impacts; the capital and recurrent costs of alternative mitigation measures, and their suitability under local conditions; the institutional, training, and monitoring requirements for the alternative mitigation measures; for each of the alternatives, quantifies the social and environmental impacts to the extent possible, and attaches economic values where feasible. Sets out the basis for selecting the particular project design.

**(7) Mitigation Measures:** Inclusion or summary of (with attachment of full) Environmental and Social Management Plan (ESMP) (see indicative outline of ESMP below.) The ESMP identifies mitigation measures required to address identified social and environmental risks and impacts, as well as measures related to monitoring, capacity development, stakeholder engagement, and implementation action plan.

**(8) Conclusions and Recommendations:** Succinctly describes conclusion drawn from the assessment and provides recommendations.

**(9) Appendices:**  (i) List of the individuals or organisations that prepared or contributed to the social and environmental assessment; (ii) References – setting out the written materials both published and unpublished, that have been used; (iii) Record of meetings, consultations and surveys with stakeholders, including those with affected people and local NGOs. The record specifies the means of such stakeholder engagement that were used to obtain the views of affected groups and local NGOs, summarizes key concerns and how these concerns addressed in project design and mitigation measures; (iv) Tables presenting the relevant data referred to or summarized in the main text; (v) Attachment of any other mitigation plans; (vi) List of associated reports or plans.

## Indicative outline of Environmental and Social Management Plan (ESMP)

UNDP Social and Environmental Standards:

ESMP – Indicative Outline

Please refer to the [UNDP SES Guidance Note on Assessment and Management](https://info.undp.org/sites/bpps/SES_Toolkit/SES%20Document%20Library/Uploaded%20October%202016/Final_UNDP_SES_Assessment_and_Management_GN_-_Dec2016.pdf) for additional information.

An ESMP may be prepared as part of the Environmental and Social Impact Assessment (ESIA) or as a stand-alone document.[[22]](#footnote-22) The content of the ESMP should address the following sections:

**(1) Mitigation:** Identifies measures and actions in accordance with the mitigation hierarchy that avoid, or if avoidance not possible, reduce potentially significant adverse social and environmental impacts to acceptable levels. Specifically, the ESMP: (a) identifies and summarizes all anticipated significant adverse social and environmental impacts; (b)describes – with technical details – each mitigation measure, including the type of impact to which it relates and the conditions under which it is required (e.g., continuously or in the event of contingencies), together with designs, equipment descriptions, and operating procedures, as appropriate; (c)estimates any potential social and environmental impacts of these measures and any residual impacts following mitigation; and (d) takes into account, and is consistent with, other required mitigation plans (e.g. for displacement, indigenous peoples).

**(2) Monitoring:** Identifies monitoring objectives and specifies the type of monitoring, with linkages to the impacts assessed in the environmental and social assessment and the mitigation measures described in the ESMP. Specifically, the monitoring section of the ESMP provides (a) a specific description, and technical details, of monitoring measures, including the parameters to be measured, methods to be used, sampling locations, frequency of measurements, detection limits (where appropriate), and definition of thresholds that will signal the need for corrective actions; and (b) monitoring and reporting procedures to (i) ensure early detection of conditions that necessitate particular mitigation measures, and (ii) furnish information on the progress and results of mitigation.

**(3) Capacity development and training:** To support timely and effective implementation of social and environmental project components and mitigation measures, the ESMP draws on the environmental and social assessment of the existence, role, and capability of responsible parties on site or at the agency and ministry level. Specifically, the ESMP provides a description of institutional arrangements, identifying which party is responsible for carrying out the mitigation and monitoring measures (e.g. for operation, supervision, enforcement, monitoring of implementation, remedial action, financing, reporting, and staff training). Where support for strengthening social and environmental management capability is identified, ESMP recommends the establishment or expansion of the parties responsible, the training of staff and any additional measures that may be necessary to support implementation of mitigation measures and any other recommendations of the environmental and social assessment.

**(4) Stakeholder Engagement:** Outlines plan to engage in meaningful, effective and informed consultations with affected stakeholders. Includes information on (a) means used to inform and involve affected people in the assessment process; (b) summary of stakeholder engagement plan for meaningful, effective consultations during project implementation, including identification of milestones for consultations, information disclosure, and periodic reporting on progress on project implementation; and (c) description of effective processes for receiving and addressing stakeholder concerns and grievances regarding the project’s social and environmental performance.

**(5) Implementation action plan (schedule and cost estimates):** For all four above aspects (mitigation, monitoring, capacity development, and stakeholder engagement), ESMP provides (a) an implementation schedule for measures that must be carried out as part of the project, showing phasing and coordination with overall project implementation plans; and (b) the capital and recurrent cost estimates and sources of funds for implementing the ESMP. These figures are also integrated into the total project cost tables. Each of the measures and actions to be implemented will be clearly specified and the costs of so doing will be integrated into the project's overall planning, design, budget, and implementation.

1. 本项目中的国家公园制度是指一个现代的保护区系统，它有一套符合国际标准界定的保护区类别，且有一套有效的管理、质量保证机制以及国家和地方发展和部门规划的主流标准。 [↑](#footnote-ref-1)
2. 联合国开发计划署社会与环境标准（SES）, 第48页. <https://www.undp.org/ses> [↑](#footnote-ref-2)
3. 4国务院：为由于中大型水库建筑施工所导致的安置居民提供帮助的相关规定，2006年5月17日http://www.gov.cn/gongbao/content/2006/content\_389912.htm [↑](#footnote-ref-3)
4. 5 Wilmsen, B. 2011. 关于中国水坝项目的居民迁徙安置问题的进展，问题和预期。中国信息报，第25（2）期。 [↑](#footnote-ref-4)
5. 中国国家民族事务委员会。 民族区域自治法*(第二修正案)，* 2001年2月28*。*  http://www.seac.gov.cn/art/2011/6/29/art\_4901\_128701.html [↑](#footnote-ref-5)
6. 国务院办公厅。中华人民共和国民族区域自治法实施细则。2005年5月11日颁发。<http://www.gov.cn/xxgk/pub/govpublic/mrlm/200803/t20080328_31650.html> [↑](#footnote-ref-6)
7. 自愿安置由政府基金支持，GEF基金不予支持。 [↑](#footnote-ref-7)
8. Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to “women and men” or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals. [↑](#footnote-ref-8)
9. In regards to CO2, ‘significant emissions’ corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.] [↑](#footnote-ref-9)
10. Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections. [↑](#footnote-ref-10)
11. Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to “women and men” or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals. [↑](#footnote-ref-11)
12. In regards to CO2, ‘significant emissions’ corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.] [↑](#footnote-ref-12)
13. Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections. [↑](#footnote-ref-13)
14. Source: Qinghai Provincial Poverty Alleviation Office: Poverty Investigation in 2015. [↑](#footnote-ref-14)
15. Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to “women and men” or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals. [↑](#footnote-ref-15)
16. In regards to CO2, ‘significant emissions’ corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.] [↑](#footnote-ref-16)
17. Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections. [↑](#footnote-ref-17)
18. Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to “women and men” or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals. [↑](#footnote-ref-18)
19. In regards to CO2, ‘significant emissions’ corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.] [↑](#footnote-ref-19)
20. Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections. [↑](#footnote-ref-20)
21. For example, the Environmental, Health, and Safety Guidelines (EHSGs), which are technical reference documents with general and industry-specific statements of Good International Industry Practice. The EHSGs contain information on industry- specific risks and impacts and the performance levels and measures that are generally considered to be achievable in new facilities by existing technology at reasonable cost. Available at [www.ifc.org/ehsguidelines](http://www.ifc.org/ehsguidelines). [↑](#footnote-ref-21)
22. This may be particularly relevant where contractors are being engaged to carry out the project, or parts thereof, and the ESMP sets out the requirements to be followed by contractors. In this case the ESMP should be incorporated as part of the contract with the contractor, together with appropriate monitoring and enforcement provisions. [↑](#footnote-ref-22)