

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

Project Information

| Project Information | |
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| 1. Project Title | Páramos for Life |
| 2. Project Number (i.e. Atlas project ID, PIMS+) | PIMS 6296; GEF ID 10361 |
| 3. Location (Global/Region/Country) | Colombia |
| 4. Project stage (Design or Implementation) | Design (CEO Endorsement Request) |
| 5. Date | April 22, 2021 |

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

QUESTION 1: How Does the Project Integrate the Programming Principles in Order to Strengthen Social and Environmental Sustainability?

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

The project will contribute to the conservation of páramo ecosystems by promoting sustainable systems for the conservation of biodiversity, ecosystem services, and agrobiodiversity, and the adequate management of socio-environmental conflicts in 16 páramo complexes in Colombia. The project will adopt a human rights-based approach in its implementation of field activities necessary to protect human life and the environment. The project includes measures to strengthen dialogue mechanisms and decision-making processes, in accordance with the principle of non-discrimination and equal human rights. The project also seeks to increase the inclusion of potentially vulnerable people and groups (e.g. indigenous peoples, women, farmers), to conserve the páramos through the development of an environmental governance framework for the adequate management of socio-environmental conflicts in the 16 prioritized páramo complexes, promoting sustainable systems for the conservation of biodiversity, ecosystem services, and agrobiodiversity.

The project will strive to ensure the commitment and participation of key stakeholders in all stages of the project in the targeted areas of 16 páramo complexes. During the development of the Project Preparation Grant (PPG) phase, an analysis of stakeholders was carried out taking into account gender issues and cultural issues, without discrimination, serving as the basis for the preparation of the Comprehensive Stakeholder Participation Plan. The following was identified; i) key project stakeholders (rural communities of the páramos, indigenous peoples, women and women's groups); ii) the basic roles and responsibilities of the main stakeholders in the project, including government institutions at the national level, departmental governments, academic and research institutions, the private sector, Civil Society Organizations (CSOs) and local communities, including women's associations; iii) aspects of project governance, communication strategy and information management, and iv) dispute resolution procedures through the UNDP mechanism to address grievances, complaints and suggestions during project implementation, among others.

At the beginning of the project, the process of free, prior, and informed consent (FPIC) will be undertaken with the indigenous peoples (Kokonukos, Quillasingas, Pastos, Nasa, U`wa), for specific activities where it is required. The project will make sure to use participatory processes for planning, implementation, and monitoring of activities to ensure effective and meaningful participation of local communities (farmers and indigenous), and avoid negative impacts on human rights, regardless of their race, color, gender, language, religion, political views or other affiliations, national or social origin, place of birth or other circumstances; and ensuring that all UNDP standards are thoroughly followed. For indigenous peoples, the project will take into account their political-organizational structures, traditional and ancestral knowledge in the development of the project interventions

(e.g., practices of own production, seed rescue, conservation of life zones) and will promote communal traditions such as community workdays, rituals, knowledge of the elderly, dialogues of knowledge, meetings of ancestral experts, bartering.

The project will hire a gender and participation specialist who will facilitate and support the participatory process, train the program management unit (PMU) in using the participatory decision-making process, and ensuring that local stakeholders (indigenous peoples, farming communities, women, youth, disadvantaged groups) are included in the planning and decision-making process at the level of each páramo complex, as well as monitoring and reporting the progress in the participation of these stakeholders throughout the project.

During the PPG phase, the Comprehensive Stakeholder Participation Plan, the Gender Action Plan, the Environmental and Social Management Framework (ESMF), and the Indigenous Peoples Planning Framework (IPPF) were developed. At the start of the project, an Environmental and Social Impact Assessment (ESIA) will be carried out to further evaluate the potential risks associated with project activities, and appropriate prevention, mitigation measures, management, and monitoring measures will be included in the Environmental and Social Management Plan (ESMP) for interventions with potentially significant adverse impacts. Similarly, to mitigate any possible risk of economic displacement due to land-use restrictions or access to resources, a Livelihoods Action Plan will be developed to assess potential negative impacts on the communities' livelihoods, such as results of the reconversion and/or substitution process and mitigation measures will be identified to reduce these impacts. These measures seek to provide an adequate response to the management of these risks, always upholding human rights in line with the UNDP SES policy.

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

The project will promote gender equality and empowerment of women by promoting their equitable representation and by making them active participants in decision-making processes, as well as in activities to address threats to biodiversity and ecosystem services in the 16 priority páramo complexes in Colombia. At the same time opportunities will be provided for men and women to improve their own and their families well-being. A gender analysis has been carried out and identified prevalent gender gaps in terms of parity in the decision-making spaces, women's livelihoods, and access to and control of resources. Therefore, the project seeks to ensure that women and men are provided equal opportunities to participate and benefit from the project's interventions such as complementary conservation strategies, payment for environmental services schemes, rural extension programs, implementation of sustainable productivity models, promotion and access to markets with green business criteria, capacity building, etc., as well as promoting focused measures to address inequalities and increase empowerment of women. In the project design emphasis will be given to women and their representation, 50% should be women and that the impact of the project activities on women should also be considered. Additionally, specific activities have been integrated to balance the participation of women and men, promoting their equitable representation and making women active participants in decision-making processes and in the implementation of actions to address the conservation and sustainable use of the landscapes of the prioritized páramos. At the same time, opportunities will be provided for women to improve their well-being, that of their families, and be empowered through their full and effective participation in groups of páramo managers, in community monitoring networks, and intersectoral dialogue tables. Likewise, the project will contribute to guaranteeing food security/self-sufficiency and income for women and their families by supporting sustainable agricultural practices such as beekeeping, nature tourism, low-impact crops. The above actions are an integral part and are detailed in the Gender Action Plan, which was developed during the PPG.

Gender equality is an important aspect of this project, and it has been incorporated in all phases of the project life cycle, meaning a gender-sensitive approach will be promoted at all times. Additionally, the Project Results Framework (PRF) includes gender-sensitive indicators and will be monitored during project implementation; to this end, financial and human resources have been allocated for gender mainstreaming during project implementation and for monitoring purposes. In addition, the Comprehensive Stakeholder Participation Plan, which was also developed during the PPG phase, made it possible to identify women and women's groups in the prioritized páramo complexes that will be directly involved in the project implementation. According to the rating of the UNDP Gender Marker, the project is classified as GEN2.

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

The project will conserve páramo ecosystems by promoting sustainable systems for the conservation of biodiversity, ecosystem services, agrobiodiversity, and the management of socio-environmental conflicts within the 16 prioritized páramo complexes. Through component 1, the project will implement a governance framework that will strengthen dialogue and decision-making mechanisms for the conservation of biodiversity and high Andean forests and will incorporate strategies for conflict management and transformation. In the same way, the community will be included in the monitoring of biodiversity, ecosystem services, and in general the management of the páramo complexes. Through component 2, the project will support the formulation and implementation of participatory management plans; as well as the creation and/or strengthening of at least three complementary conservation strategies (CCS) and/or Territories and Areas Conserved by Indigenous Peoples and Local Communities (also known as ICCAs). In addition, participatory ecological

restoration activities will be implemented to contribute to improving connectivity, restoring degraded areas, and building resilience to climate change. The activities of component 3 will be focusing on supporting local strategies for the reconversion of agricultural activities that currently exert pressure on natural ecosystems and affect the conservation of the páramos. These strategies will include mechanisms that assist producers in the substitution of high-impact activities and the implementation of productive systems based on biodiversity and agrobiodiversity and in the consolidation of value chains for these traditional systems, practices, and products of interest to the local communities. Component 4 will focus on knowledge management to promote best practices related to the integral management of páramos.

Among the global environmental benefits expected from the project are 2,194,384 ha of 16 páramo complexes with the implementation of different actions for their management and conservation, of which 1,090,833 ha of terrestrial protected areas (9 national natural parks) under better management for its conservation and sustainable use, 1,051,871 ha will be under improved practices and 4,389 ha of restored land. Similarly, the project will improve the conservation of threatened páramo species: mountain tapir (*Tapirus pinchaque*), spectacled bear (*Tremarctos ornatus*), Andean condor (*Vultur gryphus*) and puma (*Puma concolor*). The project will support the CPD of Colombia (2021-2024), "Government institutions strengthen their capacity and implement strategies that promote sustainable consumption and production patterns and the preservation and sustainable use of natural resources", as well as the country's commitments to International Environmental Conventions such as: the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), and the 1992 Convention on Biological Diversity,

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

The participation of stakeholders, mainly people, vulnerable and marginalized groups (women, indigenous peoples, farmers), is essential for the success of the Páramos for Life project, since these stakeholders can improve their performance, allow a better design and execution of activities, as well as reducing risks in processes that may affect them favorably or unfavorably in their livelihoods, territories, rights, autonomy, cultural identity, etc. Under this premise, the project carried out the Comprehensive Stakeholder Participation Plan, during the PPG phase that aims to "support the development of solid, constructive and responsive relationships for the design and implementation of the project". Where it has been included, responsibility and accountability towards key project stakeholders will be promoted to facilitate the active engagement of the local community and participation in decision-making. Likewise, timely, accessible and functional information will be delivered through different communication media such as webpages, technical documents, radio, community station, meetings, online forums/website, network exchanges. Finally, a mechanism for accountability where project stakeholders can communicate their concerns and have access to grievance redress mechanisms and processes to ensure that people, indigenous peoples, and communities affected by the project have access to appropriate complaint resolution procedures to address complaints and resolve any dispute related to project implementation or non-compliance with social and environmental safeguards.

Part B. Identifying and Managing Social and Environmental Risks

| <p>QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Complete SESP Attachment 1 before responding to Question 2.</i></p> | <p>QUESTION 3: What is the level of significance of the potential social and environmental risks? <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6.</i></p> | | | <p>QUESTION 6: Describe the assessment and management measures for each risk rated Moderate, Substantial or High.</p> |
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| <p>Risk Description (broken down by event, cause, impact)</p> | <p>Impact and Likelihood (1-5)</p> | <p>Significance (Low, Moderate Substantial, High)</p> | <p>Comments (optional)</p> | <p>Description of assessment and management measures for risks rated as Moderate, Substantial or High</p> |
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| <p>Risk 1: Vulnerable or marginalized groups, including indigenous peoples (Kokonukos, Quillasingas, Pastos, Nasa, U`wa) may not participate in the design of the project and therefore, not be associated with, support or benefit from it. Free, prior and informed consent (FPIC) has not been achieved</p> <p>Human Rights Principle: q3, q5 Accountability Principle: q13 Standard 6: q6.1, q6.2, q6.3, q6.4, and q6.5</p> | <p>I = 4 L = 3</p> | <p>Substantial</p> | <p>There may be some communities or members of indigenous peoples who are not fully involved and cannot participate and/or claim their rights due to their own limitations of knowledge/capacity/power/cultural norms, etc., actions that limit their participation in the project.</p> <p>In Colombia, prior consultation with indigenous peoples is mandatory and FPIC has not yet been carried out with indigenous peoples (Kokonukos, Quillasingas, Pastos, Nasa, U`wa)</p> | <p>This risk will be mitigated through:</p> <p>The Comprehensive Stakeholder Participation Plan, where the project has included participation, consultation, and complaint mechanisms so that all stakeholders are linked to the project. In the same way, the project recognizes the existence of different indigenous peoples, valuing their areas of cultural importance, their knowledge, their ancestral and spiritual traditions, and recognizes the existence of their organizational forms, their instances of representation and decision-making mechanisms, highlighting their fundamental right to participation, and to FPIC, which has not yet been secured with any of the indigenous peoples of the project.</p> <p>The process of participation and socialization for the formulation of the project took place with two indigenous peoples groups: Kokonukos and Quillasingas, who have been consulted in a preliminary way and have provided their agreement in principle on: i) Environmental governance; ii) conservation and enhancement of connectivity and ecosystem services; iii) transition towards activities compatible with the conservation and sustainable use of biodiversity in páramo landscapes; and iv) knowledge management, communication, monitoring and evaluation. The process of participation, socialization and consultation with three additional indigenous peoples groups (Pastos, Nasa and U`wa) was not yet carried out.</p> <p>During the consultation of the PPG, several days of fluid dialogue were held to receive contributions, concerns and interventions that contributed to the incorporation of the community vision and the indigenous' perspective in each of the components and activities contemplated in the project.</p> <p>The following plans and frameworks have been developed:</p> <ul style="list-style-type: none"> • An Environmental and Social Management Framework (ESMF), which will prepare and implement actions to help manage possible social and environmental risks associated with project activities. • An Indigenous Peoples Planning Framework (IPPF) was developed and included in the ESMF, which designed the strategy to mitigate, manage and supervise the risks and impacts that may affect them, and which will be carried |
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| | | | | <p>out in a participatory and culturally appropriate way, following the principles of FPIC.</p> <ul style="list-style-type: none"> • A stakeholder analysis and a Comprehensive Stakeholder Participation Plan to promote stakeholder participation, mainly disadvantaged, vulnerable, minority, poor and women groups in all decisions related to the project that may affect their social life, cultural, environmental and economic. <p>In addition, at the start of project implementation the following will be achieved:</p> <ul style="list-style-type: none"> • FPIC with Indigenous Peoples: Kokonuko, Quillasingas, Pastures, Nasa, U`wa for activities that require it. • The Environmental and Social Impact Assessment (ESIA), will assess in detail the different social and environmental risks and will design adequate prevention, mitigation, management and monitoring measures that will be included in the Environmental and Social Management Plan (ESMP) for the interventions with potential significant adverse impacts. • An Indigenous Peoples Plan (IPP), where all the indigenous peoples of the project are involved. <p>Activities that may affect indigenous communities will not be implemented without the FPIC being provided and without having prepared the specific evaluations (ESIA) and plans (ESMP, IPP), as appropriate.</p> |
| <p>Risk 2: There is a risk that the project could restrict land use or access to resources within the páramo complexes and therefore could cause economic displacement.</p> <p>Human Rights Principle: q4, q6, q7 Gender Equality and Women's Empowerment Principle: q11 Accountability Principle: q14 Standard 5: q5.2, q5.4 Standard 6: q6.6</p> | <p>I = 4 L = 5</p> | <p>High</p> | <p>The project will carry out conversion and substitution of high-impact agricultural and mining activities that exert pressure on natural ecosystems and affect the conservation of the páramos, which may result in socio-environmental conflicts (economic displacement) of the páramo stakeholders</p> <p>The project will not impose a change in land ownership, nor will it force the stakeholders; Rather, it</p> | <p>This risk will be mitigated through:</p> <p>Consultations will be undertaken in an inclusive and highly participatory manner, including gender considerations and taking into account the socioeconomic and cultural diversity of the inhabitants of the páramo.</p> <p>Full and effective participation is a principle of the Comprehensive Stakeholder Engagement Plan and the ESMF, developed during the PPG phase.</p> <p>In addition, at the start of the project implementation the ESIA's will be developed, which will identify the possible social and environmental impacts as a result of the conversion and/or replacement process (Output 3.1.1). The ESMP will</p> |

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| | | | <p>will work with farmers and miners who are willing and interested in voluntarily implementing activities compatible with the conservation and sustainable use of biodiversity.</p> <p>The project will not result in total or partial temporary or permanent physical displacement, nor will it result in resettlement or eviction of the communities.</p> | <p>outline more mitigation measures for this risk. Likewise, a Livelihoods Action Plan will integrate affected groups, where potential negative impacts on livelihoods will be evaluated and mitigation measures will be identified to reduce these impacts; This plan will be developed before the reconversion and/or substitution actions are implemented in the 12 páramo complexes prioritized to carry out these activities (Chiles-Cumbal, La Cocha -Patascoy, Guanacas - Purace-Coconuco, Sotará, Chingaza, Rabanal Rio Bogotá, Cruz Verde Sumapaz, Guerrero, Tota-Bijagual-Mamapacha, Pisba, Sierra Nevada del Cocuy, Jurisdiction Santurbán Berlin).</p> <p>Field activities will not take place before these plans are developed and FPIC will be applied at all times.</p> |
| <p>Risk 3: There is a risk that the project will have adverse impacts on the tangible and / or intangible forms of the cultural heritage of the communities.</p> <p>Standard 4: q4.1, q4.3 and q4.5; Standard 6: q6.9</p> | <p>I = 4 L = 3</p> | <p>Substantial</p> | <p>The project will be implemented in territories that are owned or claimed and that hold cultural values for indigenous peoples</p> | <p>This risk is managed through the project, which will invest in the identification of traditional practices that contribute to the conservation of biodiversity, food security and sovereignty in the intervention areas in 16 páramo complexes, as well as the implementation of rural extension and training plans that promote the implementation of traditional biodiversity-friendly production practices (Output 3.1.2).</p> <p>Any economic development initiative related to the project (Output 3.1.4) will be based on maintaining the integrity of its cultural heritage and will be defined through the use of FPIC procedures.</p> <p>This risk will be evaluated in the course of the ESIA, and included in the ESMP and IPP as deemed necessary.</p> |
| <p>Risk 4: Sub-national governments (National Natural Parks, regional autonomous corporations - CARs and departments), local governments (municipalities) and local communities may not have the capacity to implement project activities successfully.</p> <p>Human Rights Principle: q2</p> | <p>I = 3 L = 3</p> | <p>Moderate</p> | <p>Conservation of the páramo requires coordinated and synergistic action, including multiple stakeholders with specific mandates and responsibilities.</p> | <p>This risk was managed through:</p> <p>The Stakeholder analysis and the Comprehensive Stakeholder Engagement Plan were developed in the project design phase, where key stakeholders were identified, and described how strong, constructive and responsive relationships should be developed for project design and implementation. .</p> <p>Similarly, the project, through Component 1, included a program to strengthen institutional and community capacities to develop environmental governance with a gender and ethnic approach (Output 1.11), which includes training, spaces for democratic dialogue and the establishment of joint inter-</p> |

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| | | | | <p>institutional agendas, and community participation in the management of the páramo complexes.</p> <p>This risk was included in the ESMF and will be examined in more detail at the beginning of the project in the ESIA and will be included in the ESMP to outline further mitigation measures for this risk, as determined necessary.</p> |
| <p>Risk 5: Some of the project activities will take place within or adjacent to critical habitats and / or environmentally sensitive areas, including protected areas and may inadvertently affect them (e.g., introducing invasive alien species through ecological restoration and beekeeping).</p> <p>Standard 1: q1.2, q1.3; q1.6, q1.8, and q1.10</p> | <p>I = 4 L = 2</p> | <p>Moderate</p> | <p>The project includes ecosystem restoration actions and the implementation of productive alternatives, aiming to restore 4,389 ha, improving connectivity, ecosystem services and resilience to climate change.</p> | <p>This risk was managed in the project design:</p> <p>The project will develop agreed restoration protocols according to the nature of the disturbances and the biophysical conditions of each site to intervene/restore. This protocol includes the development of guidelines and guides for the management and propagation of native species, and a training plan with gender considerations on restoration of high mountain ecosystems. The project also includes a monitoring program that allows, on the one hand, preventing the accidental introduction of invasive alien species and, on the other, evaluating the progress of restoration processes and the increase in connectivity at the landscape scale in the páramo complexes.</p> <p>Regarding the social risks related to the restoration with the subsistence farmers and indigenous communities, these will be mitigated through the signing of agreements between the corresponding authorities and the local stakeholders involved, for the implementation of landscape management tools (LMTs) taking into account the cultural and socioeconomic particularities of the local communities.</p> <p>This risk was included in the ESMF and will be examined in more detail at the beginning of the project in the ESIA and will be included in the ESMP as determined necessary.</p> |
| <p>Risk 6: The proposed project may have limitations on the participation and involvement of women.</p> <p>Gender Equality and Women's Empowerment: q9 and q10</p> | <p>I = 3 L = 3</p> | <p>Moderate</p> | <p>There are gender disparities that are much more exacerbated in rural women. There are few studies on the relationship that women have with the conservation and sustainable use of the páramo and women have a very limited and unequal participation in decision-making in the management of páramo ecosystems; in addition,</p> | <p>This risk was managed through the project design. The project will involve women (50% beneficiaries), women's associations, vulnerable families (e.g., female heads of households, families most affected by COVID-19; and poor women) in all project activities, through the promotion of sustainable systems (Output 3.1.1), sustainable use of agrobiodiversity (Output 3.1.4), and access to economic, financial, and market mechanisms (Output 3.15) and a Rural agroenvironmental extension program (Output 3.1.6) as well as the adequate management of socio-environmental conflicts (in order to</p> |

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| | | | <p>their participation in conservation actions and sustainable use of biodiversity are little visible, supported and documented.</p> | <p>ensure that their integration is effective and their opinions are expressed, heard and taken into account to guarantee their participation in all stages of planning and implementation of the project).</p> <p>The project has carried out a Gender Analysis to better understand this risk and identify specific mitigation measures, which were included in the Gender Action Plan and a gender-sensitive approach will be used in all project activities.</p> <p>In addition, the Project Results Framework (PRF) includes gender-based indicators. The Gender Action Plan also includes specific gender-based indicators that will allow monitoring and analyzing the gender mainstreaming in the project and related information will be integrated into progress reports and evaluations. A specific budget has been designated to monitor and implement the Gender Action Plan and a gender specialist will be hired to ensure the integration of the gender equality approach throughout the life of the project.</p> <p>The Livelihoods Action Plans, to be developed at the outset of project implementation, will also identify ways to mitigate or minimize impacts on livelihoods and access to resources, including for women.</p> <p>This risk will be further examined in the ESIA and will be included in the ESMP as determined necessary.</p> |
| <p>Risk 7: Project activities and outcomes could be vulnerable to climate change or disaster risks.</p> <p>Standard 2: q2.1 and q2.2</p> | <p>I = 3 L = 3</p> | <p>Moderate</p> | <p>Colombia is vulnerable to disaster risks such as earthquakes, floods, landslides, strong winds or volcanic eruptions, the areas where the project will be implemented are highly vulnerable to these events. The impacts of climate change on páramos and other high mountain ecosystems include alterations in biodiversity patterns, species richness and high turnover rates, as well as modifications in the dynamics of ecological processes such as pollination or seed dispersal, and therefore other effects on the functioning of</p> | <p>The project will manage this risk through:</p> <p>The implementation of strategies to improve the connectivity of ecosystems along the forest-páramo ecotones, improving the resilience of biodiversity, increasing the mobility of species and providing shelter against climate variability. Biodiversity-friendly production practices will be developed considering the benefits that favor the reduction of the vulnerability of species, ecosystems and production systems. These practices would help reduce the vulnerability of the páramos to the effects of climate change. In addition, as a strategy to favor adaptation to climate change, connectivity between PAs will be improved by promoting Other effective area-based conservation measures (O MEC), territories, and areas conserved by indigenous peoples and local communities (ICCAs), and Natural Reserves of Civil Society (Output 2.1.1). Similarly, the project will include considerations on climate change as part of the</p> |

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| | | | ecosystems and their capacity to provide ecosystem services, such as their capacity to regulate water. | <p>strategic planning on the current state of conservation of the páramo socio-ecosystems (Output 1.2.1), their biodiversity and ecosystem services (for example, provision and regulation of water, habitat for the biodiversity, microclimate regulation, etc.)</p> <p>It should be mentioned that the agency that generates the climate information and monitors climate change in the country (Institute of Hydrology, Meteorology, and Environmental Studies - IDEAM), is a strategic partner of the project, which will be providing timely information and generating these early warnings for the areas where the project will be implemented.</p> <p>This risk will be further reviewed in the ESIA and included in the ESMP as determined necessary.</p> |
| <p>Risk 8: Substitution and/or conversion activities could inadvertently support child labor and other violations of international labor standards.</p> <p>Standard 7: q7.3 and q7.5</p> | I = 5 L = 2 | Substantial | Colombia is consolidating important efforts to eliminate child labor, however, in rural areas child labor (boys, girls, youth) is used, mainly in agricultural activities. | This risk will be evaluated in the course of the ESIA and the measures will be included in ESMP and IPP as determined necessary. The required measures to avoid supporting child labor, directly or indirectly, will be identified and implemented via that implementation-stage work. |
| <p>Risk 9: The project could involve or lead to insecure environments, caused by the presence of illegal armed groups, gender violence, common crime and illegal practices that threaten the project team; and activities may be hampered or stopped and access to some areas may be impeded.</p> <p>Standard 7: 7.6</p> | I = 4 L = 4 | Substantial | Some páramos, mainly those located in the departments of Nariño, Cauca and Santander, are affected by complex high security risks. In recent years, the situation has worsened in the project's target area, mainly due to increased activity by organized crime and illegal armed groups, which is mainly related to the cultivation, processing and transport of illegal drugs. | <p>To mitigate this risk, a conflict analysis will be conducted at the beginning of the project, incorporating conflict-sensitive approaches into the multi-year work plan and annual plans (Output 1.1.1). The project will also follow UNDP security protocols.</p> <p>This risk will be evaluated in the course of the ESIA and the measures will be included in ESMP and IPP as determined necessary.</p> |
| <p>Risk 10: Project activities may result in exposure of staff and stakeholders to COVID-19 or new pandemics.</p> <p>Standard 3: q3.4</p> | I = 4 L = 4 | Substantial | COVID-19 in Colombia is not yet under control. At the time of writing this SESP, the country had 2,720,960 confirmed cases, 38,343 active cases, 2,547,473 recovered patients, and 70,026 deaths from COVID-19. On February 17, 2021, the Country officially began the | <p>To mitigate this risk, the project will make use of and IAVH and MADS biosafety protocols. Taking into account the above protocols, meetings will be held with the partners (e.g., Project Steering Committee, Technical Committee, Indigenous Peoples Committees, and local committees) through virtual platforms, as needed.</p> <p>If it were not possible to work in the field, the activities would be rescheduled and carried out remotely, as possible</p> |

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| | | | <p>vaccination plan against COVID-19, and to date it is progressing very slowly.</p> <p>In this context, it is possible that the COVID-19 pandemic is not yet under control when the project is implemented or that new pandemics will emerge in the future.</p> | <p>(telephone communications, online fora / website, network exchanges etc). The planned activities will be evaluated quarterly with the project partners. Adaptive management will be used, as needed; applying UNDP corporate tools for COVID-19 risk management. In addition, specific economic resources have been considered to implement biosafety protocols (for work in the territory) and to support the connectivity of indigenous communities or peoples (virtual work). Likewise, the GEF guidelines on project design and review considerations for the response to the COVID-19 crisis and the mitigation of future pandemics have been considered.</p> <p>This risk will be evaluated in the course of the ESIA and the measures will be included in ESMP and IPP as determined necessary.</p> | |
| QUESTION 4: What is the overall project risk categorization? | | | | | |
| <i>Note: Project categorization is determined by the highest level of significance of identified risks across all potential risk areas (as rated in Question 3).</i> | | | | | |
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| | | | Low Risk | <input type="checkbox"/> | |
| | | | Moderate Risk | <input type="checkbox"/> | |
| | | | Substantial Risk | <input type="checkbox"/> | |
| | | | High Risk | <input checked="" type="checkbox"/> | |
| | | | | <p>A total of ten risks have been identified, of which one has been assessed as high risk, five substantial and four as moderately significant.</p> <p>The project is considered High Risk, because it involves economic displacement. In addition, FPIC has not yet been applied with the five indigenous peoples groups. Similarly, it is located in sensitive areas such as protected areas, indigenous territories and critical habitats (Páramo ecosystem).</p> | |
| QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are triggered? (check all that apply) | | | | | |
| Question only required for Moderate, Substantial and High Risk projects. | | | | | |
| | | | <i>Is assessment required? (check if "yes")</i> | <input checked="" type="checkbox"/> | <i>Status? (completed, planned)</i> |

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| | <i>if yes, indicate overall type and status</i> | <input type="checkbox"/> | Targeted assessment(s) | |
| | | <input checked="" type="checkbox"/> | ESIA (Environmental and Social Impact Assessment) | Planned |
| | | <input type="checkbox"/> | SESA (Strategic Environmental and Social Assessment) | |
| | Are management plans required? (check if "yes") | <input checked="" type="checkbox"/> | | |
| | <i>if yes, indicate overall type</i> | <input checked="" type="checkbox"/> | Targeted management plans (e.g. Indigenous Peoples Plan, Resettlement Action Plan, others) | Planned |
| | | <input checked="" type="checkbox"/> | ESMP (Environmental and Social Management Plan) | Planned |
| | | <input checked="" type="checkbox"/> | ESMF (Environmental and Social Management Framework) | Completed |
| | Based on identified risks, which Principles/Project-level Standards triggered? | | Comments (not required) | |
| | Overarching Principle: Leave No One Behind | --- | | |
| | Human Rights | <input checked="" type="checkbox"/> | | |
| | Gender Equality and Women's Empowerment | <input checked="" type="checkbox"/> | | |
| | Accountability | <input checked="" type="checkbox"/> | | |
| | 1. Biodiversity Conservation and Sustainable Natural Resource Management | <input checked="" type="checkbox"/> | | |
| | 2. Climate Change and Disaster Risks | <input checked="" type="checkbox"/> | | |
| | 3. Community Health, Safety and Security | <input checked="" type="checkbox"/> | | |
| 4. Cultural Heritage | <input checked="" type="checkbox"/> | | | |
| 5. Displacement and Resettlement | <input checked="" type="checkbox"/> | | | |
| 6. Indigenous Peoples | <input checked="" type="checkbox"/> | | | |
| 7. Labour and Working Conditions | <input checked="" type="checkbox"/> | | | |
| 8. Pollution Prevention and Resource Efficiency | <input type="checkbox"/> | | | |

Final Sign Off

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

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

SESP Attachment 1. Social and Environmental Risk Screening Checklist

| Checklist Potential Social and Environmental Risks | |
|--|------------------------|
| <p>INSTRUCTIONS: The risk screening checklist will assist in answering Questions 2-6 of the Screening Template. Answers to the checklist questions help to (1) identify potential risks, (2) determine the overall risk categorization of the project, and (3) determine required level of assessment and management measures. Refer to the SES toolkit for further guidance on addressing screening questions.</p> | |
| Overarching Principle: Leave No One Behind | Answer (Yes/No) |
| Human Rights | |
| P.1 Have local communities or individuals raised human rights concerns regarding the project (e.g. during the stakeholder engagement process, grievance processes, public statements)? | No |
| P.2 Is there a risk that duty-bearers (e.g. government agencies) do not have the capacity to meet their obligations in the project? | Yes |
| P.3 Is there a risk that rights-holders (e.g. project-affected persons) do not have the capacity to claim their rights? | Yes |
| Would the project potentially involve or lead to: | --- |
| P.4 adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups? | Yes |
| P.5 inequitable or discriminatory impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups, including persons with disabilities? ¹ | Yes |
| P.6 restrictions in availability, quality of and/or access to resources or basic services, in particular to marginalized individuals or groups, including persons with disabilities? | Yes |
| P.7 exacerbation of conflicts among and/or the risk of violence to project-affected communities and individuals? | Yes |
| Gender Equality and Women's Empowerment | |
| P.8 Have women's groups/leaders raised gender equality concerns regarding the project (e.g. during the stakeholder engagement process, grievance processes, public statements)? | No |
| Would the project potentially involve or lead to: | --- |
| P.9 adverse impacts on gender equality and/or the situation of women and girls? | Yes |
| P.10 reproducing discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits? | Yes |
| P.11 limitations on women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being | Yes |
| P.12 exacerbation of risks of gender-based violence? | No |

¹ Prohibited grounds of discrimination include race, ethnicity, sex, age, language, disability, sexual orientation, gender identity, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender and transsexual people.

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| For example, through the influx of workers to a community, changes in community and household power dynamics, increased exposure to unsafe public places and/or transport, etc. | |
| Sustainability and Resilience: Screening questions regarding risks associated with sustainability and resilience are encompassed by the Standard-specific questions below | |
| Accountability | |
| Would the project potentially involve or lead to: | --- |
| P.13 exclusion of any potentially affected stakeholders, in particular marginalized groups and excluded individuals (including persons with disabilities), from fully participating in decisions that may affect them? | Yes |
| P.14 grievances or objections from potentially affected stakeholders? | Yes |
| P.15 risks of retaliation or reprisals against stakeholders who express concerns or grievances, or who seek to participate in or to obtain information on the project? | No |
| Project-Level Standards | |
| Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management | |
| Would the project potentially involve or lead to: | --- |
| 1.1 adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes | No |
| 1.2 activities within or adjacent to critical habitats and/or environmentally sensitive areas, including (but not limited to) legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities? | Yes |
| 1.3 changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5) | Yes |
| 1.4 risks to endangered species (e.g. reduction, encroachment on habitat)? | No |
| 1.5 exacerbation of illegal wildlife trade? | No |
| 1.6 introduction of invasive alien species? | Yes |
| 1.7 adverse impacts on soils? | No |
| 1.8 harvesting of natural forests, plantation development, or reforestation? | Yes |
| 1.9 significant agricultural production? | No |
| 1.10 animal husbandry or harvesting of fish populations or other aquatic species? | Yes |
| 1.11 significant extraction, diversion or containment of surface or ground water? For example, construction of dams, reservoirs, river basin developments, groundwater extraction | No |
| 1.12 handling or utilization of genetically modified organisms/living modified organisms? ² | No |
| 1.13 utilization of genetic resources? (e.g. collection and/or harvesting, commercial development) ³ | No |
| 1.14 adverse transboundary or global environmental concerns? | No |
| Standard 2: Climate Change and Disaster Risks | |
| Would the potentially involve or lead to: | --- |

² See the [Convention on Biological Diversity](#) and its [Cartagena Protocol on Biosafety](#).

³ See the [Convention on Biological Diversity](#) and its [Nagoya Protocol](#) on access and benefit sharing from use of genetic resources.

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

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

⁴ Forced eviction is defined here as the permanent or temporary removal against their will of individuals, families or communities from the homes and/or land which they occupy, without the provision of, and access to, appropriate forms of legal or other protection. Forced evictions constitute gross violations of a range of internationally recognized human rights.

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