

VI. ANNEXES

1. Social and Environmental Screening

Project Information

Project Information	
1. Project Title	SDGs Pilot Village: Women-focused Rural Revitalization and Sustainable Development in Yunnan Province, China
2. Project Number (i.e. Atlas project ID, PIMS+)	00104844 (Award)/00106222 (Output)
3. Location (Global/Region/Country)	Waipula Village, Yongren County, Yunnan Province, China
4. Project stage (Design or Implementation)	Implementation
5. Date	March 2022

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?
<i>Briefly describe in the space below how the project mainstreams the human rights-based approach</i>
The project mainstreams the human rights-based approach throughout all stages, from design to implementation. The project focuses on the sustainable development of villages in poor areas, people in remote areas and the rights and interests of women and vulnerable groups. The project increases villagers' income and promote rural revitalization through a series of skills training and promoting entrepreneurship. In addition, the project has many concerns and focuses for women.
<i>Briefly describe in the space below how the project is likely to improve gender equality and women's empowerment</i>
This is a women empowerment project, and the gender lens has been incorporated into the management of the project. For example, the project encouraged villagers, especially women, to pursue a sense of personal achievement; established women's ecological agriculture training base to help women develop a healthy lifestyle; organized villagers' representatives (women) to go out to study and exchange; and the establishment of a cooperative for women to support women's development in rural tourism and other fields in Waipula village.
<i>Briefly describe in the space below how the project mainstreams sustainability and resilience</i>
This project supports Waipula Village to develop an eco-tourism-based sustainable livelihood system and increase their income to reduce poverty in a sustained and environmentally way, such as inviting ecological treatment experts to put forward plans for sewage treatment and toilet reconstruction, sharing and disseminating project achievements. The project aims at exploring the model of how the SDGs can be implemented at the village level to provide practical experiences of implementing the SDGs for China to take in its national-level implementation and for the other developing countries as the reference to their countrywide implementation.

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

The project has been implemented under the supervision from the project steering committee which is composed of representatives from Mary Kay, CWDF, UNDP, CICETE, and Yongren County Government. UNDP and CICETE are responsible for overall implementation and coordination. Yongren County Government are responsible for local implementation. The local PMO is located at Yongren Women's Federation. In addition, the project monitoring, evaluation and management will be well implemented at all stages of the project. All parties supervise the implementation quality of the project by reviewing the project progress, conducting field visits, and holding meetings and seminars.

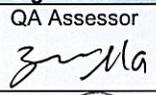
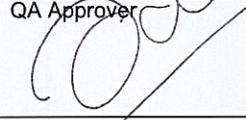
Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Complete SESP Attachment 1 before responding to Question 2.</i>	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 5</i>			QUESTION 6: Describe the assessment and management measures for each risk rated Moderate, Substantial or High
Risk Description <i>(broken down by event, cause, impact)</i>	Impact and Likelihood <i>(1-5)</i>	Significance <i>(Low, Moderate, Substantial, High)</i>	Comments (optional)	Description of assessment and management measures for risks rated as Moderate, Substantial or High
Risk 1: The local communities may show reluctances and even objections towards certain technicalities during the project implementation, which may result in low engagement and delivery of this project.	I = 3 L = 1	Low		The Phase I of this project has been implemented in Waipula village since 2017 which has been well acknowledged by the local communities. The Yongren County Government is also a key partner of this project who will substantively take part in the implementation of the project site and also gather possible objections from local communities and respond, whereby bolstering the local engagement and mitigating this risk.
QUESTION 4: What is the overall project risk categorization?				
<div style="text-align: right;">Low Risk <input checked="" type="checkbox"/></div>				
<div style="text-align: right;">Moderate Risk <input type="checkbox"/></div>				
<div style="text-align: right;">Substantial Risk <input type="checkbox"/></div>				
<div style="text-align: right;">High Risk <input type="checkbox"/></div>				
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				
Is assessment required? (check if "yes")				Status? (completed,
<input type="checkbox"/>				

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

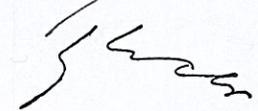
Final Sign Off

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

Signature	Date	Description
 QA Assessor Zhengzhang Ma Programme Manager	4.21.2022	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	4.21.2022	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/PSC.
 PAC/PSC Chair	4.21.2022	UNDP chair of the PAC/PSC. In some cases PAC/PSC 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/PSC.

James George
Deputy Resident Representative

James George
Deputy Resident Representative


 Weidong Zhang
 Team Leader
 22/4/21

SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks		
INSTRUCTIONS: The risk screening checklist will assist in answering Questions 2-6 of the Screening Template. Answers to the checklist questions help to (1) identify potential risks, (2) determine the overall risk categorization of the project, and (3) determine required level of assessment and management measures. Refer to the SES toolkit for further guidance on addressing screening questions.		
Overarching Principle: Leave No One Behind		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?	No
P.3	Is there a risk that rights-holders (e.g. project-affected persons) do not have the capacity to claim their rights?	No
<i>Would the project potentially involve or lead to:</i>		
P.4	adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	No
P.5	inequitable or discriminatory impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups, including persons with disabilities? ¹	No
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?	No
P.7	exacerbation of conflicts among and/or the risk of violence to project-affected communities and individuals?	No
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
<i>Would the project potentially involve or lead to:</i>		
P.9	adverse impacts on gender equality and/or the situation of women and girls?	No
P.10	reproducing discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	No
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? <i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</i>	No
P.12	exacerbation of risks of gender-based violence? <i>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.</i>	No
Sustainability and Resilience: Screening questions regarding risks associated with sustainability and resilience are encompassed by the Standard-specific questions below		
Accountability		
<i>Would the project potentially involve or lead to:</i>		
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?	No
P.14	grievances or objections from potentially affected stakeholders?	Yes

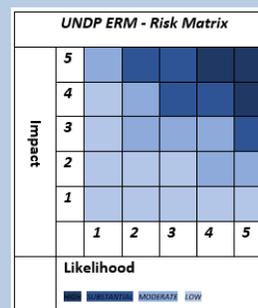
P.15	risks of retaliation or reprisals against stakeholders who express concerns or grievances, or who seek to participate in or to obtain information on the project?	No
Project-Level Standards		
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management		
<i>Would the project potentially involve or lead to:</i>		
1.1	adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	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?	No
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)	No
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?	No
1.7	adverse impacts on soils?	No
1.8	harvesting of natural forests, plantation development, or reforestation?	No
1.9	significant agricultural production?	No
1.10	animal husbandry or harvesting of fish populations or other aquatic species?	No
1.11	significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	No
1.12	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		
<i>Would the project potentially involve or lead to:</i>		
2.1	areas subject to hazards such as earthquakes, floods, landslides, severe winds, storm surges, tsunami or volcanic eruptions?	No
2.2	outputs and outcomes sensitive or vulnerable to potential impacts of climate change or disasters? <i>For example, through increased precipitation, drought, temperature, salinity, extreme events, earthquakes</i>	No
2.3	increases in vulnerability to climate change impacts or disaster risks now or in the future (also known as maladaptive or negative coping practices)? <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	No
2.4	increases of greenhouse gas emissions, black carbon emissions or other drivers of climate change?	No
Standard 3: Community Health, Safety and Security		
<i>Would the project potentially involve or lead to:</i>		
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?	No
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		
<i>Would the project potentially involve or lead to:</i>		
4.1	activities adjacent to or within a Cultural Heritage site?	No
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)	No
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?	No
Standard 5: Displacement and Resettlement		
<i>Would the project potentially involve or lead to:</i>		
5.1	temporary or permanent and full or partial physical displacement (including people without legally recognizable claims to land)?	No
5.2	economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	No
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?	No
Standard 6: Indigenous Peoples		
<i>Would the project potentially involve or lead to:</i>		
6.1	areas where indigenous peoples are present (including project area of influence)?	No
6.2	activities located on lands and territories claimed by indigenous peoples?	No
6.3	impacts (positive or negative) to the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)? <i>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</i>	No
6.4	the absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	No
6.5	the utilization and/or commercial development of natural resources on lands and territories	No

	claimed by indigenous peoples?	
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? <i>Consider, and where appropriate ensure, consistency with the answers under Standard 5 above</i>	No
6.7	adverse impacts on the development priorities of indigenous peoples as defined by them?	No
6.8	risks to the physical and cultural survival of indigenous peoples?	No
6.9	impacts on the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices? <i>Consider, and where appropriate ensure, consistency with the answers under Standard 4 above.</i>	No
Standard 7: Labour and Working Conditions		
<i>Would the project potentially involve or lead to: (note: applies to project and contractor workers)</i>		
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?	No
7.4	use of forced labour?	No
7.5	discriminatory working conditions and/or lack of equal opportunity?	No
7.6	occupational health and safety risks due to physical, chemical, biological and psychosocial hazards (including violence and harassment) throughout the project life-cycle?	No
Standard 8: Pollution Prevention and Resource Efficiency		
<i>Would the project potentially involve or lead to:</i>		
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? <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Montreal Protocol, Minamata Convention, Basel Convention, Rotterdam Convention, Stockholm Convention</i>	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

2. PROJECT RISK REGISTER

Project Title: SDG Pilot Village: Women-focused Rural Revitalization and Sustainable Development in Yunnan Province, China						Project Number: 00106222	Date: March 2022	
#	Event	Cause	Impact(s)	Risk Category	Impact and Likelihood = Risk Level	Risk Treatment / Management Measures	Risk Owner	Risk Valid From/To
	Enter a brief description of the potential future event. The occurrence or change of a particular set of circumstances. An event can be one or more occurrences, can have several causes, and can consist of something not happening.	Enter a brief description of what could cause the potential event.	Enter brief description of the potential impact of the event. The totality of all effects of an event affecting objectives.	Social and Environmental Financial Operational Organizational Political Regulatory Strategic Safety and Security Subcategories for each risk type should be consulted to understand each risk type (see Deliverable Description for more information) (In Atlas, select from list)	Describe the potential effect on the project if the future event were to occur. Enter likelihood based on 1-5 scale (1 = Not likely; 5 = Expected) Enter impact based on 1-5 scale (1 = Negligible; 5 = Extreme) Based on Likelihood and Impact, use the Risk Matrix to identify the Risk Level (High, Substantial, Moderate or Low)	What actions have been taken/will be taken to manage this risk. Who is responsible for treatment and status of treatment. Each risk can have multiple treatment measures. (in Atlas, use the "Treatment(s)" box. This field can be modified at any time. Create separate boxes as necessary using "+", for instance to add additional treatment measures.	The person or entity with the responsibility to manage the risk.	Enter dates for when the risk is valid. Update as needed.



1	Due to the pandemic, some planned activities could not be completed in expected time.	COVID-19 pandemic.	Certain percentage of the overall delivery target will be impacted.	Social and Environmental	L =3 I = 3	Alternative plans are necessary.	PMO	from 01/01/2022 to 31/12/2022
2	Counterpart financial contribution will not be available.	Lack of co-financing from local partners.	Project activities will be delayed and expected results cannot be achieved.	Organizational	L = 1 I = 4	To mitigate this risk, to help local government to exercise resources mapping and integration as well as the confirmation of the financial commitment from provincial government during the preparation stage before signing the MOU. It can also be indicated in the agreement that the Mary Kay/UNDP's contribution will only take effect if the counterpart fund is available.	PMO	from 01/01/2022 to 31/12/2023
3	The implementation of the project requires certain level of ability to carry out solid activities.	The capacities of local project management team are not strong enough.	Expected results of the project could not be achieved.	Operational	L = 3 I=3	Capacity building opportunities should be provided to PMO and frequent communication with PMO must be ensured.	PMO	from 01/01/2022 to 31/12/2024
4	Local communities may be less interested or reluctant in this project.	Lack of awareness or knowledge to this project.	Low engagement and delivery.	Social and Environmental	I = 3 L = 1	The Phase I of this project has been implemented in Waipula village since 2017 which has been well acknowledged by the local communities. The Yongren County Government is also a key partner of this project who will substantively take part in the implementation of the project site and also gather possible objections from local communities and respond, whereby bolstering the local engagement and mitigating this risk.	PMO	from 01/01/2022 to 31/12/2024