

## Annex 5: UNDP Social and Environmental Screening Procedure (SESP)

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### SOCIAL AND ENVIRONMENTAL SCREENING TEMPLATE (2021 SESP TEMPLATE, VERSION 1)

The completed template, which constitutes the Social and Environmental Screening Report, must be included as an annex to the Project Document at the design stage. Note: this template will be converted into an online tool. The online version will guide users through the process and will embed relevant guidance.

#### Project Information

<b>Project Information</b>	
1. Project Title	Developing the potential of <i>Thalassia testudinum</i> in the health sector in Cuba in accordance with the Nagoya Protocol and Biodiversity Conservation
2. Project Number (i.e. Atlas project ID, PIMS+)	6311
3. Location (Global/Region/Country)	Cuba
4. Project stage (Design or Implementation)	Implementation
5. Date	October 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?**

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

The project will search for a pharmaceutical product by accessing the genetic resources of the species *Thalassia testudinum*, which represents a solution to a health problem of national and supra-national scope (cancer). The public health system in Cuba is responsible for ensuring that all citizens have free access to health services, including health care, protection, and recovery services. Therefore, the benefits from this project will undoubtedly impact patients' quality of life at the national and local levels. In parallel, the project's results will improve the livelihoods, i.e., income, of the local communities using marine natural resources beyond tourism-related activities. Overall, the project will advance ABS under the Nagoya protocol, achieving more equitable participation in the benefits derived from *Thalassia testudinum*.

The project aims to strengthen capacities to develop and apply safeguards and manage the Cuban marine platform's accumulated information regarding genetic resources. It intends to increase the knowledge about ABS, at the project site level, in the local communities' culture, and within local institutions (regulatory and

research organizations). The project will support preparing the "Clinical Trial Authorization Request" to search for local alternatives that benefit health based on the sustainable use of biological diversity in the Cuban marine platform. It will strengthen the national legislation and promote monetary and no monetary instruments to improve benefit-sharing from utilizing genetic resources. Permanent interaction with the local communities and the Cuban civil society (academy, research centers, and Non-Governmental Organizations) will support the project's implementation. Stakeholders will participate actively in identifying the habitat areas of *Thalassia testudinum* and planning its sustainable management and harvesting. The project stakeholders' participation will guarantee successful results.

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

The project development team designed a strategy to address gender during implementation. This strategy is based on the project's Gender Analysis. The gender strategy will contribute to women's economic empowerment through activities linked to the collection and pre-processing of *Thalassia testudinum*, in the community of Rincón de Guanabo. The project will emphasize establishing women-led management and harvesting schemes to create new jobs when the pharmaceutical bioproducts be approved. Thus, women can improve and diversify their work and working conditions. Besides, add new professional and technical skills and fully benefit from the project interventions.

Women will have an active role in the project activities related to research, training, and reviewing/updating ABS policy and its regulatory framework. The Cuban society policy framework supports women's participation, noted in the Gender Analysis. There is a strong female presence in the leading institutions participating in the project. For example, most of the employees of ICIMAR (IP) are women. Likewise, in other institutions participating in the project: the CIM-UH, the ORSA, the DMA of CITMA, and the AMA, women are the majority. Women are also leading the project's coordination group. Therefore, the project is an exceptional opportunity to increase their capacities to manage international projects, which will benefit these professionals and the participating institutions.

In Cuba, cancer has been the second cause of death, since 2013, in both men and women. According to data from the last National Population Census, women are the majority. Also, women play a decisive role in the family, the nucleus of Cuban society, and represent a significant percentage of the country's productive force. Cancer undermines women's position in society; it affects their health and productivity because of its increasing annual trend in all provinces. According to the latest epidemiological reports from the Ministry of Public Health (Annual Report, 2018), breast, colon, and lung tumors have the highest incidence of morbidity/mortality in Cuban women.

According to the Cuban Government, cancer is among the top ten health challenges despite the Government's important resources invested in cancer control and prevention. For example, breast and colon cancer programs are the most prioritized programs for cancer prevention and early diagnosis. Therefore, it is a priority for the Cuban Government to find new therapeutic alternatives to control cancer and increase patients' quality of life, mainly by early detection and targeting tumors with the highest frequency and mortality rate.

The experimental studies show that evaluating the antitumor potential of the product obtained from *Thalassia testudinum* is promising. ICIMAR's existing research shows favorable results in primary tumor treatment models of colon and breast cancer in mice, comparable to conventional therapeutic drugs. Therefore, developing a product derived from *Thalassia Testudinum* may not be far. Thus, the project is relevant.

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

The project will establish sustainable development pathways and contribute to the implementation of Effect 3 of the Country Document, agreed between the Government of Cuba and UNDP for the 2020 and 2024 period: "Institutions, productive and service sectors, territorial governments, and communities improve the protection and rational use of natural resources and ecosystems, resilience to climate change and the comprehensive management of disaster risk reduction".

This initiative is in line with the basis of the Economic and Social Development Plan by 2030, Objective 4, Strategic Axis on Natural Resources and Environment: "protection of biodiversity and sustainable use of the ecosystem good and services." Also, Objective 9 of the Strategic Axis on Human Potential, Science, Technology and Innovation focuses on "developing national processes and technologies that guarantee an adequate and sustainable use of the natural resources".

Within the above-indicated framework, the Government of Cuba finances the National Research Program on "Sustainable Use of Components of Biological Diversity," one of the national co-financing sources for this project. This initiative is aligned with the efforts of the country's scientific community to find new pharmaceutical products for fighting Covid 19.

The project also supports implementing important national policies such as the State Plan for Confronting Climate Change and the National Program on Biodiversity, 2016-2020. The latter recognizes specific targets related to access to genetic resources and benefit-sharing according to the Nagoya Protocol (target 15); and focuses on reducing multiple anthropogenic pressures on coral reefs, seagrasses, mangroves, and beaches (target 10). The indicated initiatives align with the VI National Report of the Republic of Cuba to the Convention on Biological Biodiversity, which recognizes the importance of seagrass conservation and sustainable management.

The project supports the implementation of the **Sustainable Development Goals** (SDGs) in Cuba, in the following areas:

- **SDG 3** “Ensure healthy lives and promote well-being for all at all ages” / (goal 3.b: Support the research and **development of vaccines and medicines** for the communicable and non-communicable diseases that primarily affect developing countries, provide access to affordable essential medicines and vaccines, in accordance with the Doha Declaration on the TRIPS Agreement and Public Health, which affirms the right of developing countries to use to the full the provisions in the Agreement on Trade-Related Aspects of Intellectual Property Rights regarding flexibilities to protect public health, and, in particular, provide access to medicines for all);

- **SDG 4** “Ensure inclusive and equitable quality education and promote lifelong **learning opportunities for all**” / (goal 4.3: By 2030, ensure equal access for all women and men to affordable and quality technical, vocational and tertiary education, including university);

- **SDG 5**: “Achieve **gender equality** and empower all women and girls” / (goal 5.5: Ensure women’s full and effective participation and equal opportunities for leadership at all levels of decision-making in political, economic and public life);

-**SDG 8** “Promote sustained, inclusive and sustainable economic growth, full and **productive employment** and decent work for all” / goal 8.5: By 2030, achieve full and productive employment and decent work for all women and men, including for young people and persons with disabilities, and equal pay for work of equal value);

- **SDG 14** “Conserve and sustainably use the oceans, **seas and marine resources for sustainable development**” / (goal 14.2: By 2020, sustainably manage and protect marine and coastal ecosystems to avoid significant adverse impacts, including by strengthening their resilience, and take action for their restoration in order to achieve healthy and productive oceans);

- **SGD 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” / (goal 15.6: Protect **access to genetic resources and fair sharing of the benefits**. UN definition: Promote fair and equitable sharing of the benefits arising from the utilization of genetic resources and promote appropriate access to such resources, as internationally agreed); and

- **SGD 17** “Strengthen the means of implementation and revitalize the global **partnership for sustainable development**” / (goal 17.17: Encourage and promote effective public, public-private and civil society partnerships, building on the experience and resourcing strategies of partnerships’ Data, monitoring and accountability).

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

The project has a robust stakeholder consultation process and stakeholder engagement plan as tools to enable full, effective and inclusive stakeholder participation throughout the project cycle. An assessment of the consultations, which served as the basis for the project design, is provided, as well as a description of the mechanisms that will facilitate outreach and communication procedures throughout project implementation. The consultation process has been relevant both for the design of the project's physical interventions (biodiversity conservation and sustainable use practices of the marine ecosystem), as well as for the soft interventions for which local stakeholder ownership and buy-in is particularly important. The Project Management Unit (PMU), with the involvement of CITMA (ICIMAR and ORSA) and MES (CIM) and, in particular, the safeguard and gender officer, will ensure inclusive stakeholder participation, with special attention to the participation of women and other groups with unique accessibility needs (elderly, people with disabilities).

The inclusive participation strategy described in this document covers the entire project cycle and includes: (i) stakeholder identification; (ii) information dissemination; (iii) consultation; and (iv) complaints and grievance procedure. Project managers will provide clear and concise information on: (i) the various national and international grievance mechanisms available to them, as outlined above, and (ii) where and how they can access these mechanisms and related remedies. All such information shall be provided in the most efficient and effective manner possible and shall be tailored, as appropriate, to the cultural and socioeconomic characteristics of the parties concerned.

The implementation of this project is likely to require some form of the prior informed consent (PIC) from local communities according to the rules of the Nagoya Protocol. Regarding the participation of local communities and prior informed consent, the Protocol establishes (articles 6, 7, 11, 15, 16) that each Party should take measures, as appropriate, with the aim of ensuring that prior informed consent (PIC) or approval and involvement of indigenous and local communities is obtained for access to genetic resources where they have established right to grant access to such resources.

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

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

<p><b>Risk 1: Exclusion of stakeholders</b></p> <p>There is a risk that insufficient/ineffective engagement and consultation with certain stakeholders will limit their participation in the project activities and/or in decisions that might affect them.</p> <p>Also stakeholders will be affected due to their limitations to access the benefits arising from the utilization of <i>T. testudinum</i> genetic resources, whether appropriate measures on access and benefit-sharing (ABS) are not defined</p> <p>Principle P.13 and Standard 1.13</p>	<p>I = 3 L = 2</p>	<p>Moderate</p>	<p>Project outputs 1.1.1, 1.1.2, 1.1.3, and 1.1.4 will establish the regulatory framework, strengthened capacity and tools needed for the application of an ABS mechanism to the harvesting and exploitation of <i>T. testudinum</i>.</p> <p>Insufficient/ineffective consultation and engagement with local communities and other stakeholders could lead to their interests/rights not being fully represented in the project and/or these stakeholders not achieving their full potential benefits.</p> <p>Risk related to the benefit-sharing arising from access to natural resources, considering that monetary and non-monetary measures has not yet been defined in the country.</p>	<p><b>Stakeholder engagement</b> was conducted as part of the project formulation (Stakeholder Engagement Plan SEP – Annex 9 of ProDoc). Going forward, stakeholder engagement will need to be conducted according to the <i>Bonn Guidelines on Access to Genetic Resources and Fair and Equitable Sharing of the Benefits Arising out of their Utilization</i> to ensure no stakeholder group is excluded from the ABS mechanism. The ESMF (Annex 10 of PRODOC) includes a set of guidelines for stakeholder engagement during implementation.</p> <p>There are no records of traditional use of this marine species in Cuba, whose ownership belongs to the state. Considering natural resources belong to the state, as per national regulations, once the National Environmental Authority gives the authorization to access genetic resources its means that Prior Informed Consent (PIC) have been approved.</p> <p>However, there is no experience with the Mutually Agreed Terms (MAT) application in the national context.</p> <p>The project will develop a methodological proposal to define monetary and non-monetary benefits resulting from the <i>T. testudinum</i> supply chain, in the Cuban context, which will be a reference to define a model clause on access and benefit-sharing (ABS) and agree benefit-sharing, as well. (ProDoc, Outputs 1.1.1 and 3.2.3).</p> <p>The ESMF (Annex 10 of ProDoc) includes the basic principles of MAT and monetary and non-monetary benefits, as established in the Nagoya Protocol.</p>
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<p><b>Risk 2: Women's limited participation and benefit sharing</b> due to prevailing cultural and social norms that prevent women from fully participating in the project</p> <p>Principle P.10</p>	<p>I = 3 L = 3</p>	<p>Moderate</p>	<p>Despite the significant role of women in social and economic development in Cuba, some prevailing gender stereotypes in the targeted communities and in the Cuban society at large may hinder women's participation in the project's activities: from harvesting to processing of <i>T. testudinum</i>. For instance, some prejudices persist that limit the participation of women in activities involving physical effort (e.g., harvesting of marine species, execution of some industrial processes, etc.).</p>	<p>Gender-responsive ABS schemes are essential to enable the effective participation of both women and men in the design, negotiation, distribution, and use of benefits.</p> <p>The <b>Gender Analysis and Action Plan (GAAP)</b> – Annex 11 of the ProDoc – includes a number of actions to encourage women's participation: mainstreaming gender considerations, training and awareness actions, and working conditions.</p>
<p><b>Risk 3: Damage to <i>Thalassia testudinum</i> habitat and associated ecosystem services</b> provided by marine seagrasses meadows</p> <p>Standard 1 (1.1, 1.3, 1.10) and Standard 2 (2.3)</p>	<p>I = 4 L = 2</p>	<p>Moderate</p>	<p>Inappropriate harvest practices could lead to damage to the seagrass meadow ecosystem and the provision of ecosystem services, including its capacity to regulate wave impacts in case of extreme meteorological events or coastal floods due to the sea level rise, as well as its role as a refuge of marine species of environmental and/or commercial interest.</p>	<p>A better understanding of the environment of <i>T. testudinum</i> is required to identify risks to biodiversity and ecosystem services. The ESMF (Annex 10 of PRODOC) includes '<b>Biodiversity Risks Assessment</b>' guidelines and the outline of a Biodiversity Action Plan.</p>
<p><b>Risk 4: Potential adverse impacts to environmentally sensitive areas</b></p>	<p>I = 4 L = 2</p>	<p>Moderate</p>	<p>The harvesting of <i>Thalassia Testudinum</i> for testing its potential medical benefits will take place in the Rincón de Guanabo Protected Area. This area is classified under the</p>	<p>The ESMF includes the outlines of a <b>Biodiversity Action Plan</b> (to mitigate potential biodiversity risks). This tool will be developed and updated throughout the Project to avoid any impacts on the protected landscape of Rincon de Guanabo.</p>

Standard 1 (1.2)			management category “Protected Natural Landscape”. Although harvesting will not take place in the core conservation areas of this protected area, without sustainable practices, the seagrass can be affected, and consequently, reduce the flow of ecosystem services.	In addition, the project will ensure full compliance with the provision on environmental quality and sustainability contained in the Decree-Law 201 (National System of Protected Areas).  Harvesting of <i>Thalassia testudinum</i> will need to be conducted by observing the measures provided in the Protected Area Management Plan concerning the specific harvesting area, acceptable volumes, and season.
<b>Risk 5: Induced overexploitation</b> of <i>Thalassia testudinum</i>  Standard 1 (1.3, 1.4) and Standard 2 (2.2, 2.1)	I = 4 L=2	Moderate	Although there are no records of traditional use of <i>Thalassia testudinum</i> in Cuba, there is a potential risk for the expansion of the use of the species by other local communities, once they become familiar with the pharmaceutical product. This awareness could lead to the spontaneous and inappropriate search, harvesting, and consumption of the species by part of the population and harm the composition and health of marine seagrasses meadows.	Component 4 of the Project involves raising awareness of stakeholders and users of genetic resources to promote a change in behavior and highlight responsible harvesting and treatment procedures and practices.  As part of the <b>Stakeholder Engagement Plan</b> - SEP (Annex 9), promote communication and awareness with local communities and more broadly at the national level with communication products and campaigns to raise awareness of ABS practices and benefits.
<b>Risk 6: Climate risks</b> impacting the production and harvesting of <i>Thalassia testudinum</i>	I = 4 L= 2	Moderate	The coastal infrastructure (ports, docks, etc.) in the intervention areas and the marine seagrasses meadows themselves could be affected by tropical cyclones, hurricanes, and other extreme events (severe winds, storm surges). These events could	Because of the pilot nature of the Project (with a 4-year duration), long-term changes in climate variables are not likely to become apparent during the lifespan of the Project. However, prior to the selection of the intervention areas, a <b>Climate Risk Assessment</b> will be conducted according to the guidelines included in the ESMF (Annex 10 of PRODOC). This assessment will allow the Project to select areas of marine seagrasses production where the probability to be damaged by extreme events is lower.



Standard 2 (2.1 and 2.2)			impact the production and harvesting of <i>T. testudinum</i> .	Institutions/stakeholders engaged in the Project will include in the Civil Defense System Action Plan to coordinate any actions required to prevent and manage climate risks.
<b>Risk 7: Occupational risks</b> associated with the harvesting and processing of <i>Thalassia testudinum</i> including laboratory tasks.  Standard 7 (7.6)	I = 4 L = 2	Moderate	A number of occupational risks have been identified in some of the steps involved in the harvesting and processing of <i>T. testudinum</i> : divers involved in harvesting (output 3.1.3), use of cutting tools in the mill facility, and exposure to hazardous chemicals at the laboratory facilities.	The Project will develop <b>Labor Management Procedures</b> (outline included in the ESMF – Annex 10 of PRODOC) including an <b>Occupational Health and Safety Plan</b> with provisions for the prevention and management of these risks. This plan also includes the training of workers and personnel involved in the harvesting and processing of <i>T. testudinum</i> .  The project will also upgrade ICIMAR Research Unit facilities, including occupational hazard control mechanisms to manage any potential occupational risks.
<b>Risk 8: Inadequate disposal of non-hazardous, both liquid and solid waste</b> generated as a by-product of processing <i>Thalassia Testudinum</i>  Standard 3 (3.2, 3.5) and Standard 8 (8.1, 8.2, 8.3)	I = 4 L = 2	Moderate	The Project will generate non-hazardous waste as part of the processing of seagrass (Component 2). If this waste is not disposed adequately, there could be pollution risks.	The Project will develop a <b>Pollution Prevention and Waste Management Plan</b> (outline included in the ESMF – Annex 10 of PRODOC) to ensure adequate disposal of waste. This plan will be part of the <b>Standardized Working Procedure</b> for the processing of <i>T. testudinum</i> .  The Waste Management Plan is part of ICIMAR’s risk prevention plan developed considering the evaluation and characterization of <i>Thalassia testudinum</i> waste. One of the waste management options to be explored is the use of dried solid waste in controlled-released manures and fertilizers for agriculture.
<b>Risk 9: Accidental release</b> of hazardous effluents (ethanol)  Standard 3 (3.2, 3.5) and Standard 8 (8.4)	I = 4 L = 2	Moderate	As part of the extraction process (Component 2) of the pharmaceutical formulation, a flammable chemical reagent (graded ethanol 50%) will be used. If turned into waste, it would be considered “hazardous waste” and, accordingly, it will require specific management measures	The Project will need to develop a Pollution Prevention and Waste Management Plan (outline included in the ESMF – Annex 10 of PRODOC) to ensure adequate provisions are implemented to avoid the release of ethanol. This plan will be part of the <b>Standardized Working Procedure</b> for the processing of <i>T. testudinum</i> . This procedure will be refined and validated throughout the implementation of the Project.

			in accordance with the national legislation.	
<p><b>Risk 10: Energy use and water consumption</b></p> <p>Standard 8 (8.6)</p>	<p>I = 2</p> <p>L = 2</p>	Low	<p>The <i>Thalassia testudinum</i> washing process during the harvest requires water and energy for the grinding process. If not implemented well or appropriately, the project could overuse those resources</p> <p>Given the pilot nature of the activity, it will not imply the consumption of considerable quantities of water and energy.</p>	<p>Measures aren't needed in this case because the current risk is low. As part of the Project implementation, water and energy consumption, per kilo of collected material, will be calculated. This action is key to systematizing information to define appropriate levels of water and energy consumption for this activity.</p>
<p><b>Risk 11: Exposure to Covid-19</b></p> <p>Standard 3 (3.4)</p>	<p>I = 2</p> <p>L = 2</p>	Low	<p>International consultants will not travel to Cuba during the first year of implementation. The project does not involve work in indoor crowded places. The risk of exposure to Covid-19 infection is therefore considered low.</p>	<p>Measures aren't needed in this case because the risk is low. However, this risk category will be updated according to the national regulations from the Health Authority to combat Covid-19.</p>
<p><b>Risk 12: Impacts on marine-based livelihoods</b></p> <p>Harvesting of <i>T. testudinum</i> may conflict with other uses of these marine areas in the target coastal areas, particularly shellfish harvesting and tourism</p>	<p>I = 3</p> <p>L = 2</p>	Moderate	<p>If new regulations and procedures (outputs 1.1.1, 1.1.2, 1.1.3, and 1.1.4) restrict access to intervention areas, there might be an impact on the livelihoods (economic displacement) of individuals (mainly self-employed workers) engaged in marine-based activities. Restrictions of access are expected to be temporary</p>	<p>More information is needed in order to identify the current uses of the target marine areas and the socio-economic structure of the coastal communities. A <b>Livelihoods Risk Assessment</b> will be conducted at the intervention areas. Based on the results of this assessment, a <b>Livelihoods Action Plan</b> might be required for SES compliance. The ESMF (Annex 10 of ProDoc) includes the outlines for both the Livelihoods Risk Assessment and the Livelihoods Action Plan.</p>

Principle P. 13, Standard 1 (1.3) and Standard 5 (5.2)			(only for the duration of harvesting; output 3.1.3).	
<p><b>Risk 13: Limited capacity of the duty-bearers to meet their obligations in the Project</b></p> <p>Principle P.2</p>	<p>I = 4 L = 2</p>	<p>Moderate</p>	<p>The national stakeholders involved in the project (BioCubaFarma, ICIMAR, CIM-UH, University of Havana) are established institutions with relevant experience for the project's objectives. However, the strengthening of capacities foreseen by the project (specialized laboratory equipment, training of personnel in the application of laboratory practices and training of the local people on environmentally sustainable production practices) is decisive to ensure the achievement of the project's objectives regarding the sustainable development of the pharmaceutical product. Also, it is critical to strengthen capacity at the community level to ensure the appropriation of environmentally sustainable production practices.</p>	<p>The ProDoc includes activities and a budget to support:</p> <ul style="list-style-type: none"> <li>- Strengthening research capacities, through the acquisition of laboratory equipment and training of personnel in the application of laboratory practices. The increased capacity will enable the completion of the relevant data on the properties of the <i>Thalassia testudinum</i>. This data is required to submit, to the Cuban Regulatory Agency, the application for authorization to begin the clinical research phase.</li> <li>- Strengthening the capacity of local people to harvest <i>Thalassia testudinum</i>. To this end, the project will support the acquisition of diving equipment (necessary for monitoring seagrasses and for their harvesting) and the training of local personnel, to ensure the use of sustainable practices.</li> </ul>
<p><b>QUESTION 4: What is the overall project risk categorization?</b></p>				
<p><b>Low Risk</b> <input type="checkbox"/></p>				

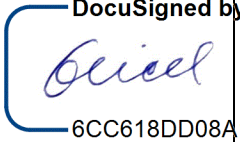
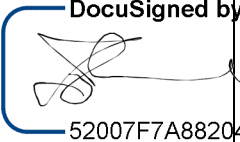
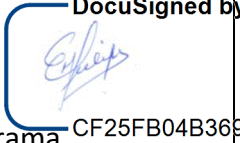
	<b>Moderate Risk</b>	<input checked="" type="checkbox"/>	The Project might lead to limited environmental and social risks or impacts that can be reasonably mitigated and, therefore, require targeted, focused analysis and assessment specific to the adverse risks and impacts identified during the screening process.	
	<b>Substantial Risk</b>	<input type="checkbox"/>		
	<b>High Risk</b>	<input type="checkbox"/>		
<b>QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are triggered? (check all that apply)</b>				
Question only required for Moderate, Substantial and High Risk projects				
	<b><u>Is assessment required? (check if “yes”)</u></b>	<input checked="" type="checkbox"/>		<b>Status? (completed , planned)</b>
	<i>if yes, indicate overall type and status</i>	<input checked="" type="checkbox"/>	Targeted assessment(s)	Planned (guidance included in ESMF)
		<input type="checkbox"/>	ESIA (Environmental and Social Impact Assessment)	
		<input type="checkbox"/>	SESA (Strategic Environmental and Social Assessment)	
	<b><u>Are management plans required? (check if “yes”)</u></b>	<input checked="" type="checkbox"/>		
	<i>if yes, indicate overall type</i>	<input checked="" type="checkbox"/>	Targeted management plans (e.g. Gender Action Plan, Biodiversity Action Plan, Livelihood Action Plan, Labour Management Procedures,	Completed (Gender Action Plan)

			Pollution Prevention and Waste Management Plan)	Planned (guidance included in ESMF)
		<input type="checkbox"/>	ESMP (Environmental and Social Management Plan which may include range of targeted plans)	
		X	ESMF (Environmental and Social Management Framework)	Completed including guidance for required targeted assessments and management plans
	<b><i>Based on identified <u>risks</u>, which Principles/Project-level Standards triggered?</i></b>		<b>Comments (not required)</b>	
	<b><i>Overarching Principle: Leave No One Behind</i></b>			
	<b><i>Human Rights</i></b>	X	Insufficient/ineffective consultation and engagement with local communities and other stakeholders could lead to their interests/rights not being fully represented in the project and/or these stakeholders not achieving their full potential benefits.	
	<b><i>Gender Equality and Women's Empowerment</i></b>	X	Risk of women not fully benefitting/participating in the project due to persisting cultural and social norms.	

	<b>Accountability</b>	X	
	<b>1. Biodiversity Conservation and Sustainable Natural Resource Management</b>	X	Potential risks to environmentally sensitive areas and harvesting <i>T. testudinum</i> in a sustainable manner require further assessments.
	<b>2. Climate Change and Disaster Risks</b>	X	Project activities are located in areas subject to climate risks (hurricanes, storms, etc.) and potential exposure to climate risks while harvesting.
	<b>3. Community Health, Safety and Security</b>	X	Potential pollution of water and soil due to the accidental release and/or inadequate disposal of chemicals used in the processing of <i>Thalassia testudinum</i> .
	<b>4. Cultural Heritage</b>	<input type="checkbox"/>	No impacts on cultural heritage from project activities are foreseen.
	<b>5. Displacement and Resettlement</b>	X	Potential risks to marine-based livelihoods (moderate) due to the restrictions on access/use of areas where marine-based activities (e.g., fishing, harvesting of seashells) are conducted.
	<b>6. Indigenous Peoples</b>	<input type="checkbox"/>	Not applicable since there are no indigenous communities in the intervention areas.
	<b>7. Labour and Working Conditions</b>	X	Occupational risks associated with the harvesting and processing of <i>Thalassia testudinum</i>
	<b>8. Pollution Prevention and Resource Efficiency</b>	X	Inadequate disposal of non-hazardous solid waste generated as a by-product of processing <i>Thalassia testudinum</i> . Accidental release of hazardous substances (ethanol).

## Final Sign Off

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

Signature	Date	Description
QA Assessor Grisel Acosta Oficial de Programa 	03-abr.-2023 6CC618DD08A14AE...	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 Ivan Zverzhanovski Rep. Res. Adjunto 	03-Apr-2023 52007F7A8820418...	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 Edith Felipe Coord. Unidad Programa 	03-Apr-2023 CF25FB04B369410...	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.



Yamilka Caraballo, Analista de Programa  
03-Apr-2023

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

<b>Checklist Potential Social and Environmental Risks</b>	
<b>INSTRUCTIONS:</b> 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 <a href="#">SES toolkit</a> for further guidance on addressing screening questions.	
<b>Overarching Principle: Leave No One Behind</b>	<b>Answer (Yes/No)</b>
<b>Human Rights</b>	
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?	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? <sup>15</sup>	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
<b>Gender Equality and Women's Empowerment (Gender Equality and Women's Empowerment)</b>	
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

<sup>15</sup> 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.



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? <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
<b>Sustainability and Resilience:</b> Screening questions regarding risks associated with sustainability and resilience are encompassed by the Standard-specific questions below	
<b>Accountability</b>	
<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? (exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?)	Yes
P.14 grievances or objections from potentially affected stakeholders?	
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?	
<b>Project-Level Standards</b>	
<b>Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management</b>	
<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>	Yes
1.2 activities within or adjacent to critical habitats and/or environmentally sensitive areas, including (but not limited to) legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	Yes
1.3 changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	Yes

1.4	risks to endangered species (e.g. reduction, encroachment on habitat)?	Yes
1.5	exacerbation of illegal wildlife trade?	No
1.6	introduction of invasive alien species?	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?	Yes
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? <sup>16</sup>	No
1.13	utilization of genetic resources? (e.g. collection and/or harvesting, commercial development) <sup>17</sup>	Yes
1.14	adverse transboundary or global environmental concerns?	No
<b>Standard 2: Climate Change and Disaster Risks</b>		
<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?	Yes
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>	Yes
2.3	increases in vulnerability to climate change impacts or disaster risks now or in the future (also known as maladaptive or negative coping practices)? <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>	Yes
2.4	increases of greenhouse gas emissions, black carbon emissions or other drivers of climate change?	No
<b>Standard 3: Community Health, Safety and Security</b>		
<i>Would the project potentially involve or lead to:</i>		

<sup>16</sup> See the [Convention on Biological Diversity](#) and its [Cartagena Protocol on Biosafety](#).

<sup>17</sup> See the [Convention on Biological Diversity](#) and its [Nagoya Protocol](#) on access and benefit sharing from use of genetic resources.

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?	Yes
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)?	Yes
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
<b>Standard 4: Cultural Heritage</b>		
<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
<b>Standard 5: Displacement and Resettlement</b>		
<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)?	Yes

5.3	risk of forced evictions? <sup>18</sup>	
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
<b>Standard 6: Indigenous Peoples (Standard 6: Indigenous Peoples)</b>		
<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 claimed by indigenous peoples?	No
6.6	forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?  <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
<b>Standard 7: Labour and Working Conditions</b>		
<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

<sup>18</sup> 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.

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?	Yes
<b>Standard 8: Pollution Prevention and Resource Efficiency</b>		
<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?	Yes
8.2	the generation of waste (both hazardous and non-hazardous)?	Yes
8.3	the manufacture, trade, release, and/or use of hazardous materials and/or chemicals?	Yes
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 <a href="#">Montreal Protocol</a>, <a href="#">Minamata Convention</a>, <a href="#">Basel Convention</a>, <a href="#">Rotterdam Convention</a>, <a href="#">Stockholm Convention</a></i>	Yes
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?	Yes