



SOCIAL AND ENVIRONMENTAL SCREENING PROCEDURE (SESP) – ATSEA-2 PROGRAMME

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SOCIAL AND ENVIRONMENTAL SCREENING PROCEDURE TEMPLATE – ATSEA-2

Project Information

Project Information	
1. Project Title	Implementation of Arafura and Timor Seas Regional and National Strategic Action Programs (ATSEA-2)
2. Project Number (i.e. Atlas project ID, PIMS+)	5439
3. Location (Global/Region/Country)	ATS Region
4. Project stage (Design or Implementation)	Implementation
5. Date	October 8, 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 mainstreamed human-rights based approach through supporting integrated methods that lead to the sustainable use and conservation of ecosystem goods and services. Participation by marginalized groups including indigenous, women and local people, are realized through community consultations, on-the-ground activities at target project sites, and through the activities by the Stakeholder Partnership Forum (SPF). Community activities are focused on strengthening capacities and increasing awareness of local resource users, in order to more sustainably utilize coastal and marine resources.

The employment of site mobilizers helps to facilitate participation by local communities, providing on-the-ground, proactive linkages between duty-bearers (authorities) and rights-holders (local residents).

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

Women are actively engaged in planning and decision-making regarding project activities at all levels, from the national level to community level alternative livelihood activities. Activities are programmed and are being implemented to improve stakeholder participation at the regional and national levels through the establishment of a Stakeholder Partnership Forum for the implementation of the Strategic Action Program (SAP) and National Action Program (NAPs) with representation of local people and women's groups.

Building on the Gender and Social Inclusion Plan developed as part of project design, an updated Gender Equity and Social Inclusion (GESI) Analysis and Action Plan will be developed under the project to further strengthen mainstreaming of GESI principles into project implementation, communication, monitoring and reporting.

The project incorporates specific, budgeted activities to promote the participation of women in traditional decision-making bodies regarding the use of coastal space and resources. In order to support the dual objective of achieving economic empowerment of women while promoting climate-resilient, sustainable use of coastal and marine resources, livelihood and income generating activities (accompanied by the necessary budget) specifically targeting women have been designed for implementation in the ATSEA-2 project demonstration sites. Preferences are given to funding those interventions that benefit both men and women.

Several project interventions are being implemented in different project sites to improve gender equality and women empowerment (e.g. Strengthening the Forum Perempuan Masyarakat Adat Aru (Women's Forum for Customary Communities in Aru); ICM: Improved Access to the Market for Women-Run Seaweed Growing and/or Processing Enterprises (NTT); ICM: Business and Financial Management Training for Women-Run Home-Based Businesses (NTT); EAFM: Red snapper fisheries (EAFM: Women's cooperative for fish post-harvest livelihood improvements - Establishing and strengthening alternative resilient livelihoods) (Município Viqueque).

Project interventions are using gender sensitive indicators and collect sex-disaggregated data that will be systemically recorded, reported and integrated into adaptive management responses.

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

Sustainability is mainstreamed across the project components, including: (a) strengthening national and local governance mechanism and governance enabling conditions; (b) strengthening individual and institutional capacity building on integrated approaches to coastal and

marine ecosystem management and conservation; (c) addressing environmental-development linkage by promoting more sustainable use of ecosystem goods and services while providing alternative livelihood opportunities and strengthening the resilience of local communities with respect to the impacts of climate change; (d) providing scale-able framework, such as in ICM plans that will provide local stakeholders with a roadmap for integrating socio-economic development priorities of their communities with sustainable management and conservation of ecosystem goods and services; and (e) through EAFM, ICM and EbA implementation in selected project sites which considers precautionary and adaptive principles and increase ecological and social resiliencies to climate change.

All these initiatives are contributing to and supporting the implementation of national and local environmental sustainability priorities.

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

The project emphasizes the value of multi-stakeholder engagement in various aspects of the project. In particular, to strengthen accountability to stakeholders, the project: conducts consultations as required in different activities to secure stakeholder inputs and feedback; expands its project reach through various communication platforms to share periodic information on project status, planned activities, and progress; sharing of project monitoring results to key regional and national channels/partners.

Note: This Regional SESP is a consolidation of the regional SESP and the individual SESP(s) of the participating countries for the ATSEA-2 project: Indonesia, Timor-Leste and Papua New Guinea.

PART B. IDENTIFYING AND MANAGING SOCIAL AND ENVIRONMENTAL RISKS ATSEA-2

<p>QUESTION 2: What are the Potential Social and Environmental Risks?</p> <p><i>Note: Complete SESP Attachment 1 before responding to Question 2.</i></p> <p><i>Note: The risk identification for the Regional SESP is a consolidation of the risk identified from country's SESP</i></p>	<p>QUESTION 3: What is the level of significance of the potential social and environmental risks?</p> <p><i>Note: Respond to Questions 4 and 5 below before proceeding to Question 5</i></p>			<p>QUESTION 6: Describe the assessment and management measures for each risk rated Moderate, Substantial or High</p>
<p>Risk Description <i>(broken down by event, cause, impact)</i></p>	<p>Impact and Likelihood <i>(1-5)</i></p>	<p>Significance <i>(Low, Moderate Substantial, High)</i></p>	<p>Comments (optional)</p>	<p>Description of assessment and management measures for risks rated as Moderate, Substantial or High</p>
<p>Risk 1: National and local authorities may not have the capacity to meet their obligations to the project. (Overarching Principle: P2)</p>	<p>I = 3 L = 3</p>	<p>Moderate</p>	<p>The capacities of national and local authorities may not be sufficient to provide effective governance solutions to problems that are complex and multi-sectoral.</p>	<p>The project components include the establishment of the Regional Coordination Committee (RCC) and a supporting Secretariat to promote regional level planning, cooperation and monitoring in the implementation of the SAP and NAPs. The RCC and Secretariat will be supported by the Stakeholder Partnership Forum (SPF) that is designed to help facilitate representative stakeholder participation and</p>

			<p>There is also potential difficulty and challenges in the coordination between different sectors and different levels of government (both vertically between local, provincial, and national government, and horizontally between local governments of different locations).</p>	<p>coordinated governance, mainly by providing technical and policy advice to the RCC.</p> <p>The project also includes the Establishment of National Inter-Ministerial Committees (NIMC) and National Project Boards (NPB). The NIMC is tasked with facilitating cross-sectoral collaboration, while the NPB supports the national implementation of project activities.</p> <p>A number of the planned project activities require high level enabling decisions, including adoption of updated SAP through a ministerial declaration, DG level approval of fisheries improvement projects and EAFM plans, etc. The Regional Project Management Unit (RPMU) and the National Coordinating Units (NCUs) will be proactive in project advocacy, including regular communication with cross-sectoral coordination structures, such as the NIMC and the NPB, and other relevant programs/initiatives.</p> <p>Capacity building is also one of the primary focuses of the project, with the aim of training “change agents” on state-of-the-art integrated approaches to natural resource management and biodiversity conservation. Local communities will also be engaged in sharing management responsibilities, including monitoring, control, and surveillance</p>
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				arrangements. Some of the target capacity-building activities include Training on EAFM; and Design and Pilot Implementation of EAFM Plan for national and local authorities and project implementers; Training on monitoring, control and surveillance (MSC) - Fisheries Managers, Conservation Authorities. Further areas for capacity building will be identified during project implementation.
Risk 2: Local stakeholders, in particular poor and vulnerable groups, may be restricted in access to resources and may be limited in their abilities to participate effectively in decision making. (Overarching Principle: P6)	I = 3 L = 3	Moderate	Promotion of sustainable fishing practices and methods, as well as zonation in line with some MPA efforts may limit the availability of/accessibility to some basic services. However, possible restrictions to access are set by regulations and policies from the countries or regional level agreements which are designed to avoid destructive fishing methods and	In the project activities, measures are taken to involve marginalized groups in decision making process. Local coastal communities are involved in Focus Group Discussions (FGDs) and surveys designed to learn about how they manage & utilize their natural resources and how they perceive their environment. This information is then used as a key piece of information in the process of developing regulations and management plans to ensure that they can continue to exercise their right to manage and utilize these resources. Project activities are implemented at the community level, the socio-economic circumstances, such as poverty incidence, reliance on fish and marine resources of the local beneficiaries were considered, in order to maximize benefit to those under-privileged or

			<p>reduce fishing pressure to sustainable levels.</p> <p>Due to Covid-19, many meetings and other events, especially at regional level are being conducted virtually. This may pose challenges for stakeholders with limited internet/connectivity.</p>	<p>otherwise marginalized factions. (Please refer to Risk 4).</p> <p>Additional initiative to enable participation in decision making is through ICM task teams and ICM implementation in selected sites. Local leaders are also being proposed as key members and to lead the SPF.</p> <p>The project also works to accommodate, strengthen, and incorporate local customary practices into the resource management strategies. The project activities also include developing alternative livelihoods to assist those who will be affected by, and promote support for, the proposed conservation measures.</p> <p>To address the challenges on limited internet/ connectivity, the project invested to improve IT infrastructure (for Wi-Fi and internet connection), especially in key venues (such as MAF office in TL) or by providing phone credits.</p>
<p>Risk 3: Gender-based and marginalized group discrimination may be replicated, especially regarding women's and marginalized group's participation in project design and implementation, as well as access to opportunities and benefits; and</p>	<p>I = 3</p> <p>L = 3</p>	<p>Moderate</p>	<p>Women and marginalized group may not be adequately represented with regards to decision-making or participation in the</p>	<p>Project activities are designed and are being implemented to ensure that all genders: i) are able to participate fully and equitably; ii) receive comparable social and economic benefits; and iii) do not suffer disproportionate adverse effects as per the UNDP Gender Mainstreaming Strategy.</p>

<p>also in decision making. (Overarching Principle: P10 and P11)</p>			<p>design/implementation of the project's activities. As a result, they may have limited access to resources, opportunities and benefits.</p>	<p>Project implementers – RPMU and NCUs and site mobilizers also trained on GESI.</p> <p>Activities are programmed and are being implemented to improve stakeholder participation at the regional and national levels through the establishment of a Stakeholder Partnership Forum for the implementation of the Strategic Action Program (SAP) and National Action Program (NAPs) with representation of local people and women’s groups.</p> <p>Building on the Gender and Social Inclusion Plan developed as part of project design, an updated gender analysis (GESI Survey as part of the Social and Environmental Baseline Analysis) is being undertaken to assess divisions of labour and the role of women and their access to resources. The analysis will also develop recommendations as to how the project’s activities will promote women’s equality and empowerment, including participation in project decision-making and to ensure activities are designed & planned by taking into account women interest, knowledge, and experience</p> <p>The project incorporates specific, budgeted activities to promote the participation of women in traditional decision-making bodies regarding the use of coastal space and resources. In order</p>
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				<p>to support the dual objective of achieving economic empowerment of women while promoting climate-resilient, sustainable use of coastal and marine resources, livelihood and income generating activities (accompanied by the necessary budget) specifically targeting women have been designed for implementation in the ATSEA-2 project demonstration sites. Preferences are given to funding those interventions that benefit both men and women.</p> <p>Several project interventions are being implemented in different sites to improve gender equality and women empowerment (e.g.: Strengthening the Forum Perempuan Masyarakat Adat Aru (Women’s Forum for Customary Communities in Aru); ICM: Improved Access to the Market for Women-Run Seaweed Growing and/or Processing Enterprises (NTT); ICM: Business and Financial Management Training for Women-Run Home-Based Businesses (NTT); EAFM: Red Snapper fisheries (EAFM: Women’s cooperative for fish post-harvest livelihood improvements - Establishing and strengthening alternative resilient livelihoods) (Município Viqueque).</p>
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				<p>Project activities are designed and are being implemented so that marginalized groups are able to participate fully and equitably.</p> <p>Appropriate measures will ensure that women receive an equitable share of benefits and that their status and interests are not marginalized. Participatory processes will include methodologies that enhance the participation of women and promote the inclusion of their views into the activities of the project.</p> <p>Monitoring of project outputs will include disaggregated and measurable data related to gender equality and empowerment of women. The project has also hired a Gender Specialists to ensure that the GESI-related issues listed above have been taken into account in the planning and implementation of project activities.</p>
<p>Risk 4: Potential 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. (Overarching Principle: P13)</p>	<p>I: 3 L: 2</p>	<p>Moderate</p>	<p>Local stakeholders (marginalized groups), in particular poor and vulnerable groups, may be limited in their abilities to participate effectively in decision making</p>	<p>In the project activities, measures are taken to involve marginalized groups in decision making process.</p> <p>Project activities are implemented at the community level, wherein socio-economic circumstances, such as poverty incidence, reliance on fish and marine resources of the local beneficiaries were considered, in order to</p>

			<p>(Including limitations posed by the global pandemic).</p>	<p>maximize benefit to those under-privileged or otherwise marginalized factions.</p> <p>Stakeholder identification and analysis is continually conducted throughout the program cycle. As the project progresses from design to implementation and evaluation, stakeholders are identified including those coming from poor and vulnerable groups. The Project developed and updated its Stakeholder Engagement and Communications Plan. The Plan identified strategies to enhance communication and dissemination of information, and to build awareness and involvement of various stakeholders on the different objectives and targets of the project, including alternative means of reaching out to stakeholders in view of limitations posed by the global pandemic.</p> <p>Project components such as MPA Management Plan, the ICM approach, and EAFM also aims to ensure that local stakeholders are involved in the decision-making processes related to natural resource management.</p> <p>The planned establishment of SPF would facilitate broader stakeholder participation, including: national government representatives and academic experts from the original forum, and additionally includes other national and sub-</p>
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				national government agencies as well as regional, national and sub-national civil society organizations, ensuring representation from particularly marginalized groups like local people women's groups.
Risk 5: Project activities have the capacity to impact on marine and coastal ecosystems and resources. (Project Level Standard: 1.2, 1.3 and 1.10)	I: 3 L: 3	Moderate	Project activities are targeted in areas that include community-managed areas. This means that fishing/ fish/coastal resources harvesting is currently taking place and may be affected as a result of project interventions that promote sustainable resource management and practices.	<p>The integrated approaches supported by the project, including EAFM, FIP, ICM, EbA, etc., are designed to deliver win-win solutions for resource users and managers. For example, applying sustainable fishing practices under fisheries improvement projects would enable local fishers the opportunity to gain better prices for their catch, while safeguarding the ecosystem services that support the species they are harvesting.</p> <p>EAFM plan will be developed through: (1) identifying and prioritizing issues and goals, through stakeholder consultations; (2) developing objectives, indicators, benchmarks, and monitoring and evaluation tools; and (3) design a set of management measures to implement over the course of the ATSEA-2 project.</p> <p>EAFM, FIP, ICM trainings will be conducted to fisheries resource managers and relevant stakeholders from countries in the ATS region. Likewise, EAFM, FIP, ICM interventions will be</p>

				<p>implemented in the different sites in the ATS region. The initiative also includes training for monitoring, control and surveillance (MCS) and oil spill preparedness and response.</p> <p>The project also includes activities related to protection of sea turtles - turtle recovery plan, reduce illegal harvesting, trials of bycatch reduction devices, capacity and awareness, etc. The project also includes related activities on monitoring, control, and surveillance (MCS) to help reduce illegal, unreported, and unregulated (IUU) fishing, as well as various awareness and capacity-building initiatives on integrated and sustainable coastal and marine resource management. The project activities also include development of alternative livelihoods to reduce reliance on fisheries activities,</p> <p>The project includes updating/expanding the ATS transboundary diagnostic analysis (TDA) that will feed into an updated strategic action program (SAP) in response to the set of priority environmental concerns elaborated in an expanded TDA.</p>
<p>Risk 6: Project potentially involve outputs and outcomes sensitive or vulnerable to potential impacts of</p>	<p>I: 2 L: 3</p>	<p>Low</p>	<p>The impacts of climate change can undermine the sustainability of</p>	<p>The risks associated with predicted climate change impacts are complex and difficult to quantify. Project funds are allocated toward increasing the knowledge base regarding the</p>

<p>climate change. (Project Level Standard: 2.2)</p>			<p>coastal and marine environment and resources in ATS region, especially those living in coastal communities if adaptation and mitigation measures and knowledge/capacities are not strengthened.</p>	<p>potential impacts of climate change on fish and other marine resources, and the associated consequences on local communities. The increased predictive capability resulting from these efforts will allow more informed strategies for strengthening the resilience of vulnerable communities.</p> <p>The project activities are also aimed to help mitigate the potential impact of climate change, by improving & rehabilitating coastal ecosystem to ensure their ecosystem functions, as well as improving the resilience of local coastal communities in responding to future climate-related pressures.</p> <p>A regional review of current climate change studies and strategies within the ATS region. A case study on how climate change could affect the fisheries sector in the ATS region. A regional climate change workshop will be organized. ICM interventions incorporating climate change adaptation consideration will be implemented at local levels in select sites towards more sustainable use and conservation of ecosystem goods and services.</p> <p>The project activities include: EbA: Restoration of mangrove and/or other coastal ecosystem</p>
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				CCA; Building Maintenance Skills for Solar Water Distillers (alternative livelihoods); and ICM and Climate Change.
<p>Risk 7: (Displacement and Resettlement and Indigenous Peoples) Project activities are in the area where indigenous peoples (IPs) are present and may lead to economic displacement (e.g. loss of assets or access to resources; access restriction).</p> <p>(Covering Project Level Standards: 5.2, 5.4, 6.1 and 6.2).</p>	<p>I: 3</p> <p>L: 2</p>	<p>Moderate</p>	<p>The project activities involving fisheries, introducing alternative livelihoods and nutrition have the potential to impact on the rights, lands, livelihoods and traditional knowledge of Indigenous Peoples and Ethnic Minorities (Related to Risk 2 and 4).</p>	<p>Stakeholder identification and analysis is continually conducted throughout the program cycle. As the project progresses from design to implementation and evaluation, stakeholders are identified including those coming from IPs.</p> <p>In the project activities, measures are taken to involve IP groups in decision making process. Local coastal communities are involved in FGDs and surveys designed to learn about how they manage & utilize their natural resources and how they perceive their environment. This information is then used as a key piece of information in the process of developing regulations and management plans to ensure that they can continue to exercise their right to manage and utilize these resources. The project also works to accommodate, strengthen, and incorporate local practices and traditions into the resource management strategies.</p> <p>As an example, the following interventions are conducted for PNG:</p> <ol style="list-style-type: none"> 1) the assessment of legal frameworks highlighted the importance of customary laws (e.g., for natural resources

				<p>management) and their recognition under national laws;</p> <p>2) the biophysical and socioeconomic baseline assessment discussed traditional and customary villages/ tribes/ inhabitants/ resource users/managers (tribal/clan elders), practices and management measures;</p> <p>3) the stakeholder analysis and capacity assessment included village-based fishers, community-based organizations and customary resource managers/ clan elders among the key stakeholders;</p> <p>4) a capacity development plan is being prepared considering the capacity needs of identified stakeholders.</p> <p>In addition, we also promote rights-based fisheries management for inshore red snapper in Indonesia (Aru-tbc) and Timor-Leste (Viqueque). FPIC procedure and guideline, and feedback mechanisms will be developed and implemented.</p>
Risk 8: Project potentially involve occupational health and safety risks due to physical hazards. (Project Level Standard: 7.6)	I: 2 L: 2	Low	OHS risk related to field data collection & monitoring not only to the potential risk faced by the team in	Teams and enumerators carrying out data collection are required to adhere to safety protocols and data collection/monitoring SOP.

			<p>visiting remote villages with limited healthcare facilities (i.e., underwater monitoring is a risky data collection method)</p> <p>Project implementers will be dealing with various stakeholders at all levels.</p>	<p>In addition, the project is also ensuring that health protocols are adhered to in the implementation of activities during the Covid-19 Pandemic to minimize the risk of virus spread. Alternative options were identified like online tools and info sharing, hybrid types of activities, etc.</p> <p>The project is also encouraging the adoption of fisheries SOP from the MMAF by fishers, which also include safety protocols for fishing activities.</p> <p>As project implementers will be dealing with various stakeholders at all levels, measures are being implemented to minimize the risk by coordinating with local authorities, community leaders to ensure proper coordination and communication and ensure their safety.</p>
	<p>QUESTION 4: What is the overall project risk categorization?</p>			
			<p>Low Risk</p>	<p><input type="checkbox"/></p>
			<p>Moderate Risk</p>	<p><input type="checkbox"/></p> <p>The ATSEA-2 Project activities are designed to enhance regional collaboration and coordination in the Arafura and Timor Seas (ATS) region.</p>

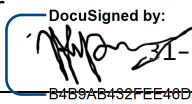


			<p>ATSEA-2 specifically focuses on supporting the implementation of the endorsed strategic action program (SAP), a 10-year vision for the Arafura-Timor Seas with the long-term objective “to promote sustainable development of the Arafura-Timor Seas region to improve the quality of life of its inhabitants through restoration, conservation and sustainable management of marine-coastal ecosystems”.</p> <p>The planned activities are assessed to have minimal risk of adverse social and environmental impacts. The inherent design of the project precludes overall risk categories listed below.</p> <p>Although the project will not contribute to any adverse environmental impacts, the occurrence of potential low and moderate risk identified above may compromise certain activities supported by the project. A Social and Environmental Safeguards Management Plan (SESMP) and a monitoring and evaluation plan are provided by the project to mitigate potential negative environmental impacts. It is therefore expected that the project will result in overall positive environmental and social impacts.</p>
	Substantial Risk	<input type="checkbox"/>	
	High Risk	<input type="checkbox"/>	

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 type="checkbox"/>		Status? (completed, 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)	
<i>Are management plans required? (check if “yes”)</i>	X		
<i>If yes, indicate overall type</i>	X	Targeted management plans (e.g. Gender Action Plan, Emergency Response Plan, Waste Management Plan, others) In particular: Gender Action Plan	
	X	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 risks, 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 	31-Jan-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 	02-Feb-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.
PAC Chair 	02-Feb-2022	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 – ATSEA-2

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>	
<p>Overarching Principle: Leave No One Behind</p>	
<p>Human Rights</p>	
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)?
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?
P.3	Is there a risk that rights-holders (e.g. project-affected persons) do not have the capacity to claim their rights?
<p><i>Would the project potentially involve or lead to:</i></p>	
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?
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
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?
P.7	exacerbation of conflicts among and/or the risk of violence to project-affected communities and individuals?
<p>Gender Equality and Women's Empowerment</p>	

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.

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?	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>	Yes
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?	Yes
P.14	grievances or objections from potentially affected stakeholders?	No
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?	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?	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? 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 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.

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>	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)?	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		
<i>Would the project potentially involve or lead to:</i>		
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)? <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	No

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.

	interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	
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
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?	Yes
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

APPENDIX 1. SOCIAL AND ENVIRONMENTAL SCREENING PROCEDURE TEMPLATE - INDONESIA

Project Information

Project Information	
6. Project Title	Implementation of Arafura and Timor Seas Regional and National Strategic Action Programs (ATSEA-2)
7. Project Number (i.e. Atlas project ID, PIMS+)	5439
8. Location (Global/Region/Country)	Indonesia
9. Project stage (Design or Implementation)	Implementation
10. Date	October 8, 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

In Indonesia, the project mainstreamed human-rights based approach through supporting integrated methods that lead to the sustainable use and conservation of ecosystem goods and services. Participation by marginalized groups including indigenous, women and local people, are realized through community consultations, on-the-ground activities at target project sites and through the activities by the Stakeholder Partnership Forum (SPF). Community activities are focused on strengthening capacities and increasing awareness of local resource users, in order to more sustainably utilized coastal and marine resources.

The employment of site mobilizers helps to facilitate participation by local communities, providing on-the-ground, proactive linkages between duty-bearers (authorities) and rights-holders (local residents).

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

In Indonesia project sites, women are actively engaged in planning and decision-making regarding project activities at all levels, from the national level to community level alternative livelihood activities. In the particular case of Aru, Indonesia, the project incorporates specific, budgeted activities to promote the participation of women in traditional decision-making bodies regarding the use of coastal space and resources.

In order to support the dual objective of achieving economic empowerment of women while promoting climate-resilient, sustainable use of coastal and marine resources, livelihood and income generating activities (accompanied by the necessary budget) specifically targeting women have been designed for implementation in the ATSEA-2 Indonesia demonstration sites. Preferences are given to funding those interventions that benefit both men and women.

Project interventions will use gender sensitive indicators and collect sex-disaggregated data that will be systemically recorded, reported and integrated into adaptive management responses.

Several project interventions are being implemented in different sites in Indonesia to improve gender equality and women empowerment (e.g. Strengthening the Forum Perempuan Masyarakat Adat Aru (Women's Forum for Customary Communities in Aru); ICM: Improved Access to the Market for Women-Run Seaweed Growing and/or Processing Enterprises (NTT); ICM: Business and Financial Management Training for Women-Run Home-Based Businesses (NTT).

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

Sustainability is mainstreamed across the project components and in Indonesia including a) strengthening national and local governance mechanism; (b) strengthening individual and institutional capacity building on integrated approaches to coastal and marine ecosystem management and conservation; (c) addressing environmental-development linkage by promoting more sustainable use of ecosystem goods and services while providing alternative livelihood opportunities and strengthening the resilience of local communities with respect to the impacts of climate change; (d) providing scale-able framework, such as in ICM plans that will provide local stakeholders with a roadmap for integrating socio-economic development priorities of their communities with sustainable management and conservation of ecosystem goods and services; and (e) through EAFM, ICM and EbA implementation in selected project sites which considers precautionary and adaptive principles and increase ecological and social resiliencies to climate change.

All these initiatives are contributing to and supporting Indonesia in the implementation of its national and local environmental sustainability priorities.

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

The project emphasizes the value of multi-stakeholder engagement in various aspects of the project. In particular, to strengthen accountability to stakeholders, the project: conducts consultations as required in different activities to secure stakeholder inputs and feedback; expands its project reach through various communication platforms to share periodic information on project status, planned activities, and progress; sharing of project monitoring results to key regional and national channels/partners.

PART B. IDENTIFYING AND MANAGING SOCIAL AND ENVIRONMENTAL RISKS ATSEA-2 INDONESIA

<p>QUESTION 2: What are the Potential Social and Environmental Risks?</p> <p><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?</p> <p><i>Note: Respond to Questions 4 and 5 below before proceeding to Question 5</i></p>			<p>QUESTION 6: Describe the assessment and management measures for each risk rated Moderate, Substantial or High</p>
<p>Risk Description <i>(broken down by event, cause, impact)</i></p>	<p>Impact and Likelihood <i>(1-5)</i></p>	<p>Significance <i>(Low, Moderate Substantial, High)</i></p>	<p>Comments (optional)</p>	<p>Description of assessment and management measures for risks rated as Moderate, Substantial or High</p>
<p>Risk 1: National and local authorities may not have the capacity to meet their obligations to the project. (Overarching Principle: P2)</p>	<p>I = 3 L = 3</p>	<p>Moderate</p>	<p>The capacities of national institutions, district and local authorities may not be sufficient to provide effective governance solutions to problems that are</p>	<p>The project includes dedicated components for capacity-building actions including Training on EAFM training; and Design and Pilot Implementation of EAFM Plan for national and local authorities and project implementers; Training on monitoring, control and surveillance (MSC) - Fisheries managers, Conservation authorities; and Establishment of National Inter-Ministerial Committees (NIMC).</p>

			<p>complex and multi-sectoral.</p> <p>There is also potential difficulty and challenges in the coordination between different sectors and different levels of government (both vertically between local, provincial, and national government, and horizontally between local governments of different locations),</p>	<p>The NIMC will be tasked with facilitating cross-sectoral collaboration. The Stakeholder Partnership Forum that will build on ATSEF is designed to facilitate broad stakeholder participation. In Indonesia, there will be additional coordination structures put in place, including a Governors Forum, to help bridge the fairly uncertain governance landscape between District and Provincial governmental units, as a result of Law 23/2014 on Regional Governance.</p> <p>A number of the planned project activities require high level enabling decisions, including adoption of updated SAP through a ministerial declaration, DG level approval of fisheries improvement projects and EAFM plans, etc. The Regional Project Management Unit (RPMU) and the (Indonesia) National Coordinating Unit (NCU) will be proactive in project advocacy, including regular communication with cross-sectoral coordination structures, such as the NIMC and the NPB, and other relevant programs/initiatives.</p> <p>Capacity building is one of the primary focuses of the project, with the aim of training “change agents” on state of the art integrated approaches to natural resource management and biodiversity conservation. Local communities will also be engaged in sharing management responsibilities, including monitoring, control, and surveillance arrangements. Further areas for capacity</p>
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				building may be identified during project implementation.
Risk 2: Local stakeholders, in particular poor and vulnerable groups, may be restricted in access to resources and may be limited in their abilities to participate effectively in decision making. (Overarching Principle: P6)	I = 3 L = 3	Moderate	<p>Promotion of sustainable fishing practices and methods, as well as zonation in line with some MPA efforts may limit the availability of/accessibility to some basic services. However, possible restrictions to access are set by regulations and policies from the countries or regional level agreements which are designed to avoid destructive fishing methods and reduce fishing pressure to sustainable levels.</p> <p>Due to Covid-19, many meetings and other events, especially at regional level are being conducted virtually. This may pose challenges for</p>	<p>In the project activities, measures are taken to involve marginalized groups in decision making process. Local coastal communities are involved in Focus Group Discussions (FGDs) and surveys designed to learn about how they manage & utilize their natural resources and how they perceive their environment. This information is then used as a key piece of information in the process of developing regulations and management plans to ensure that they can continue to exercise their right to manage and utilize these resources.</p> <p>Additional initiative to enable participation in decision making is through ICM task teams and ICM implementation in selected sites. Local leaders are also being proposed as key members and to lead the SPF.</p> <p>Project activities are implemented at the community level, the socio-economic circumstances, such as poverty incidence, reliance on fish and marine resources of the local beneficiaries were considered, in order to maximize benefit to those under-privileged or otherwise marginalized factions. (Please refer to Risk 4).</p> <p>To address the challenges on limited internet/ connectivity, the project invested to improve IT infrastructure (for wifi and internet connection),</p>

			stakeholders with limited internet/connectivity.	especially in key venues or by providing phone credits.
Risk 3: Gender-based and marginalized group discrimination may be replicated, especially regarding women's and marginalized group's participation in project design and implementation, as well as access to opportunities and benefits; and also in decision making. (Overarching Principle: P10 and P11)	I = 3 L = 3	Moderate	Women and marginalized group may not be adequately represented with regards to decision-making or participation in the design/implementation of the project's activities. As a result, they may have limited access to resources, opportunities and benefits.	<p>Project activities are designed and are being implemented to ensure that all genders: i) are able to participate fully and equitably; ii) receive comparable social and economic benefits; and iii) do not suffer disproportionate adverse effects as per the UNDP Gender Mainstreaming Strategy. Project implementers – RPMU and NCUs and site mobilizers also trained on GESI.</p> <p>Building on the Gender and Social Inclusion Plan developed as part of project design, an updated gender analysis (GESI Survey as part of the Social and Environmental Baseline Analysis) is being undertaken to assess divisions of labor and the role of women and their access to resources. The analysis will also develop recommendations as to how the project's activities will promote women's equality and empowerment, including participation in project decision-making and to ensure activities are designed & planned by taking into account women interest, knowledge, and experience</p> <p>Several project interventions are being implemented in different sites in Indonesia to improve gender equality and women empowerment (e.g.: Strengthening the Forum Perempuan Masyarakat Adat Aru (Women's Forum for Customary Communities in Aru); ICM:</p>

				<p>Improved Access to the Market for Women-Run Seaweed Growing and/or Processing Enterprises (NTT); ICM: Business and Financial Management Training for Women-Run Home-Based Businesses (NTT).</p> <p>Project activities are designed and are being implemented so that marginalized groups are able to participate fully and equitably.</p> <p>Appropriate measures will ensure that women receive an equitable share of benefits and that their status and interests are not marginalized. Participatory processes will include methodologies that enhance the participation of women and promote the inclusion of their views into the activities of the project.</p> <p>Monitoring of project outputs will include disaggregated and measurable data related to gender equality and empowerment of women. The project has also hired a Gender Specialist (for NCU-Indonesia) to ensure that the GESI-related issues listed above have been taken into account in the planning and implementation of project activities.</p>
Risk 4: Potential exclusion of any potentially affected stakeholders, in particular marginalized groups and excluded individuals (including persons with disabilities), from fully participating in decisions that	I: 3 L: 2	Moderate	Local stakeholders (marginalized groups), in particular poor and vulnerable groups, may be limited in their abilities to participate	<p>In the project activities, measures are taken to involve marginalized groups in decision making process.</p> <p>Project activities are implemented at the community level, wherein socio-economic circumstances, such as poverty incidence,</p>

<p>may affect them. (Overarching Principle: P13)</p>			<p>effectively in decision making (Including limitations posed by the global pandemic).</p>	<p>reliance on fish and marine resources of the local beneficiaries were considered, in order to maximize benefit to those under-privileged or otherwise marginalized factions.</p> <p>Stakeholder identification and analysis is continually conducted throughout the program cycle. As the project progresses from design to implementation and evaluation, stakeholders are identified including those coming from poor and vulnerable groups. The Project developed its Stakeholder Engagement and Communications Plan. The Plan identified strategies to enhance communication and dissemination of information, and to build awareness and involvement of various stakeholders on the different objectives and targets of the project, including alternative means of reaching out to stakeholders in view of limitations posed by the global pandemic.</p> <p>Project components such as MPA Management Plan, the ICM approach, and EAFM also aims to ensure that local stakeholders are involved in the decision-making processes related to natural resource management.</p> <p>The planned establishment of SPF would facilitate broader stakeholder participation, including: national government representatives and academic experts from the original forum, and additionally includes other national and sub-national government agencies as well as regional, national and sub-national civil society</p>
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				organizations, ensuring representation from particularly marginalized groups like local people women’s groups.
Risk 5: Project activities have the capacity to impact on marine and coastal ecosystems and resources. (Project Level Standard: 1.2, 1.3 and 1.10)	I: 3 L: 3	Moderate	Project activities are targeted in areas that include community-managed areas. This means that fishing/ fish/coastal resources harvesting is currently taking place and may be affected as a result of project interventions that promote sustainable resource management and practices.	<p>The integrated approaches supported by the project, including EAFM, FIP, ICM, EbA, etc., are designed to deliver win-win solutions for resource users and managers. For example, applying sustainable fishing practices under fisheries improvement projects would enable local fishers the opportunity to gain better prices for their catch, while safeguarding the ecosystem services that support the species they are harvesting.</p> <p>EAFM plan will be developed through: (1) identifying and prioritizing issues and goals, through stakeholder consultations; (2) developing objectives, indicators, benchmarks, and monitoring and evaluation tools; and (3) design a set of management measures to implement over the course of the ATSEA-2 project.</p> <p>EAFM, FIP, ICM trainings will be conducted to fisheries resource managers and relevant stakeholders from countries in the ATS region. Likewise, EAFM, FIP, ICM interventions will be implemented in the different sites in the ATS region. The initiative also includes training for monitoring, control and surveillance (MCS) and oil spill preparedness and response.</p>

				<p>The project also includes activities related to protection of sea turtles - turtle recovery plan, reduce illegal harvesting, trials of bycatch reduction devices, capacity and awareness, etc. The project also includes related activities on monitoring, control, and surveillance (MCS) to help reduce illegal, unreported, and unregulated (IUU) fishing, as well as various awareness and capacity-building initiatives on integrated and sustainable coastal and marine resource management. The project activities also include development of alternative livelihoods to reduce reliance on fisheries activities,</p> <p>A national coordination unit was established, with NCU reporting to a national project board and also with direct reporting line to the regional project manager. The NCU will include a full-time national coordinator and site mobilizers will be hired to facilitate the implementation activities in the field.</p>
<p>Risk 6: Project potentially involve outputs and outcomes sensitive or vulnerable to potential impacts of climate change. (Project Level Standard: 2.2)</p>	<p>I: 2 L: 3</p>	<p>Moderate</p>	<p>The impacts of climate change can undermine the sustainability of coastal and marine environment and resources in ATS region, especially those living in coastal communities if adaptation and</p>	<p>The risks associated with predicted climate change impacts are complex and difficult to quantify. Project funds are allocated toward increasing the knowledge base regarding the potential impacts of climate change on fish and other marine resources, and the associated consequences on local communities. The increased predictive capability resulting from these efforts will allow more informed strategies</p>

			mitigation measures and knowledge/capacities are not strengthened.	<p>for strengthening the resilience of vulnerable communities.</p> <p>The project activities are also aimed to help mitigate the potential impact of climate change, by improving & rehabilitating coastal ecosystem to ensure their ecosystem functions, as well as improving the resilience of local coastal communities in responding to future climate-related pressures.</p> <p>The project activities include: EbA: Restoration of mangrove and/or other coastal ecosystem CCA; Building Maintenance Skills for Solar Water Distillers (alternative livelihoods); and ICM and Climate Change.</p>
<p>Risk 7: (Displacement and Resettlement and Indigenous Peoples) Project activities are in the area where indigenous peoples (IPs) are present and may lead to economic displacement (e.g. loss of assets or access to resources; access restriction).</p> <p>(Covering Project Level Standards: 5.2, 5.4, 6.1 and 6.2).</p>	<p>I: 3</p> <p>L: 2</p>	Moderate	<p>The project activities involving fisheries, introducing alternative livelihoods and nutrition have the potential to impact on the rights, lands, livelihoods and traditional knowledge of Indigenous Peoples and Ethnic Minorities in Indonesia (Related to Risk 2 and 4).</p>	<p>Stakeholder identification and analysis is continually conducted throughout the program cycle. As the project progresses from design to implementation and evaluation, stakeholders are identified including those coming from IPs.</p> <p>In the project activities, measures are taken to involve IP groups in decision making process. Local coastal communities are involved in FGDs and surveys designed to learn about how they manage & utilize their natural resources and how they perceive their environment. This information is then used as a key piece of information in the process of developing regulations and management plans to ensure that they can continue to exercise their right to</p>

				<p>manage and utilize these resources. The project also works to accommodate, strengthen, and incorporate local practices and traditions into the resource management strategies.</p> <p>The project promotes rights-based fisheries management for inshore red snapper in Indonesia (Aru-tbc).</p>
<p>Risk 8: Project potentially involve occupational health and safety risks due to physical hazards. (Project Level Standard: 7.6)</p>	<p>I: 2 L: 2</p>	<p>Low</p>	<p>OHS risk related to field data collection & monitoring not only to the potential risk faced by the team in visiting remote villages with limited healthcare facilities (i.e., underwater monitoring is a risky data collection method)</p> <p>Project implementers will be dealing with various stakeholders at all levels.</p>	<p>Teams and enumerators carrying out data collection are required to adhere to safety protocols and data collection/monitoring SOP.</p> <p>In addition, we are also ensuring that health protocols are adhered to in the implementation of our activities during the Covid-19 Pandemic to minimize the risk of virus spread.</p> <p>We're also encouraging the adoption of fisheries SOP from the MMAF by fishers, which also include safety protocols for fishing activities</p> <p>The project aims to develop an early warning system to mitigate potential oil spill risks, partly as an effort to reduce health risk to coastal communities that may be caused by oil spills.</p>

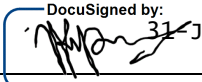


QUESTION 4: What is the overall project risk categorization?		
	Low Risk	<p style="text-align: center;">X</p> <p>The ATSEA-2 Project activities are designed are designed to enhance regional collaboration and coordination in the Arafura and Timor Seas (ATS) region. ATSEA-2 specifically focuses on supporting the implementation of the endorsed strategic action program (SAP), a 10-year vision for the Arafura-Timor Seas with the long-term objective “to promote sustainable development of the Arafura-Timor Seas region to improve the quality of life of its inhabitants through restoration, conservation and sustainable management of marine-coastal ecosystems”.</p> <p>The planned activities are assessed to have minimal risk of adverse social and environmental impacts. The inherent design of the project precludes overall risk categories listed below.</p> <p>Although the project will not contribute to any adverse environmental impacts, the occurrence of potential low and moderate risk identified above may compromise certain activities supported by the project. A Social and Environmental Safeguards Management Plan (SESMP) and a monitoring and evaluation plan are provided by the project to mitigate potential negative environmental impacts. It is therefore expected that the project will result in overall positive environmental and social impacts.</p>

	Moderate Risk	<input type="checkbox"/>	
	Substantial Risk	<input type="checkbox"/>	
	High Risk	<input type="checkbox"/>	
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 type="checkbox"/>	Status? (completed, 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)
	<i>Are management plans required? (check if “yes”)</i>	<input checked="" type="checkbox"/>	
	<i>If yes, indicate overall type</i>	<input checked="" type="checkbox"/>	Targeted management plans (e.g. Gender Action Plan, Emergency Response Plan, Waste Management Plan, others) In particular: Gender Action Plan
		<input checked="" 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 <i>risks</i>, 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 	31-Jan-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 	02-Feb-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.
PAC Chair 	02-Feb-2022	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 – INDONESIA**Sites/Activities:**

- a) Kabupaten Aru Islands (District), Maluku Province
 - EAFM: red snapper and shrimp
 - FIP: Fisheries improvement projects: red snapper and shrimp fisheries
 - MPA: Strengthening management effectiveness of existing Southeast Aru MPA (Kepulauan Aru Tenggara)
 - MPA: Community activities (trepan rearing, Sasi, community conservation agreement)
- b) Kabupaten Merauke (District), Papua Province
 - FIP: Fisheries improvement project: barramundi fisheries
 - MPA: Designation of Pulau Kolepon (new MPA)
 - MPA: Community activities
- c) Kabupaten Rote Ndao (District), NTT Province
 - ICM plan (focusing on south coast of Kabupaten Rote Ndao)
 - ICM with ecosystem based adaptation
 - ICM implementation: Alternative livelihood interventions, capacity building
 - Pollution: oil and gas sector, training and regional exchange

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>		
<p>Overarching Principle: Leave No One Behind</p> <p>Human Rights</p>		Answer (Yes/No)
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
<p><i>Would the project potentially involve or lead to:</i></p>		

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? ⁵	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?	Yes
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?	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>	Yes
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>		

⁵ 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.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?	No
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?	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?	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? ⁶	No

⁶ See the [Convention on Biological Diversity](#) and its [Cartagena Protocol on Biosafety](#).

1.13	utilization of genetic resources? (e.g. collection and/or harvesting, commercial development) ⁷	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>	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>	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

⁷ See the [Convention on Biological Diversity](#) and its [Nagoya Protocol](#) on access and benefit sharing from use of genetic resources.

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?	
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)?	Yes
5.3	risk of forced evictions? ⁸	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		
<i>Would the project potentially involve or lead to:</i>		
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	No

⁸ 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.

	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>	
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
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?	Yes
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

APPENDIX 2. SOCIAL AND ENVIRONMENTAL SCREENING PROCEDURE TEMPLATE - PNG

Project Information

Project Information	
11. Project Title	Implementation of Arafura and Timor Seas Regional and National Strategic Action Programs (ATSEA-2)
12. Project Number (i.e. Atlas project ID, PIMS+)	5439
13. Location (Global/Region/Country)	PNG
14. Project stage (Design or Implementation)	Implementation
15. Date	October 8, 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

In PNG, the project mainstreamed human-rights based approach through supporting integrated methods that lead to the sustainable use and conservation of ecosystem goods and services in the South Fly district. Participation by marginalized groups including indigenous and local people, are realized through community consultations, on-the-ground activities at target project sites and through the activities by the the Stakeholders Committee. Community activities are focused on strengthening capacities and increasing awareness of local resource users, in order to more sustainably utilized coastal and marine resources.

The employment of site mobilizers helps to facilitate participation by local communities, providing on-the-ground, proactive linkages between duty-bearers (authorities) and rights-holders (local residents).

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

In PNG project site, women are actively engaged in planning and decision-making regarding project activities at all levels, from the national level to community level alternative livelihood activities.

In order to support the dual objective of achieving economic empowerment of women while promoting climate-resilient, sustainable use of coastal and marine resources, livelihood and income generating activities (accompanied by the necessary budget) specifically targeting women have been designed for implementation in the ATSEA-2 PNG demonstration site. Preferences are given to funding those interventions that benefit both men and women.

Project interventions will use gender sensitive indicators and collect sex-disaggregated data that will be systemically recorded, reported and integrated into adaptive management responses.

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

Sustainability is mainstreamed across the project components and in PNG including: a) strengthening national and local governance mechanism; (b) strengthening individual and institutional capacity building on integrated approaches to coastal and marine ecosystem management and conservation; (c) addressing environmental-development linkage by promoting more sustainable use of ecosystem goods and services while providing alternative livelihood opportunities and strengthening the resilience of local communities with respect to the impacts of climate change; (d) providing scale-able framework, such as in ICM plans that will provide local stakeholders with a roadmap for integrating socio-economic development priorities of their communities with sustainable management and conservation of ecosystem goods and services; and (e) through EAFM, ICM and EbA implementation in selected project sites which considers precautionary and adaptive principles and increase ecological and social resiliencies to climate change.

All these initiatives are contributing to and supporting PNG in the implementation of national and local environmental sustainability priorities.

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

The project emphasizes the value of multi-stakeholder engagement in various aspects of the project. In particular, to strengthen accountability to stakeholders, the project: conducts consultations as required in different activities to secure stakeholder inputs and feedback; expands its project reach through various communication platforms to share periodic information on project status, planned activities, and progress; sharing of project monitoring results to key regional and national channels/partners.

PART B. IDENTIFYING AND MANAGING SOCIAL AND ENVIRONMENTAL RISKS ATSEA-2 PNG

<p>QUESTION 2: What are the Potential Social and Environmental Risks?</p> <p><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?</p> <p><i>Note: Respond to Questions 4 and 5 below before proceeding to Question 5</i></p>			<p>QUESTION 6: Describe the assessment and management measures for each risk rated Moderate, Substantial or High</p>
<p>Risk Description <i>(broken down by event, cause, impact)</i></p>	<p>Impact and Likelihood <i>(1-5)</i></p>	<p>Significance <i>(Low, Moderate Substantial, High)</i></p>	<p>Comments (optional)</p>	<p>Description of assessment and management measures for risks rated as Moderate, Substantial or High</p>
<p>Risk 1: National and local authorities may not have the capacity to meet their obligations to the project. (Overarching Principle: P2)</p>	<p>I = 3 L = 3</p>	<p>Moderate</p>	<p>The capacities of national institutions, district and local authorities may not be sufficient to provide effective governance solutions to problems that are complex and multi-sectoral.</p> <p>There is also potential difficulty and challenges in the coordination between different sectors and different</p>	<p>The project includes dedicated components for capacity-building actions including EAFM training; and Design and Pilot Implementation of EAFM Plan for national and local authorities and project implementers.</p>

			levels of government (both vertically between local, provincial, and national government, and horizontally between local governments of different locations),	
Risk 2: Local stakeholders, in particular poor and vulnerable groups, may be restricted in access to resources and may be limited in their abilities to participate effectively in decision making. (Overarching Principle: P6)	I = 3 L = 3	Moderate	Promotion of sustainable fishing practices and methods may limit the availability of/accessibility to some basic services. However, possible restrictions to access are set by regulations and policies from the countries or regional level agreements which are designed to avoid destructive fishing methods and reduce fishing pressure to sustainable levels.	<p>In the project activities measures are taken to involve marginalized groups in decision making process.</p> <p>Project activities are implemented at the community level, the socio-economic circumstances, such as poverty incidence, reliance on fish and marine resources of the local beneficiaries were considered, in order to maximize benefit to those under-privileged or otherwise marginalized factions. (please refer to Risk 4).</p> <p>Additional initiative to enable participation in decision making is through ICM task teams and ICM implementation in selected sites. Local leaders are also being proposed as key members and to lead the SPF.</p> <p>The project also works to accommodate, strengthen, and incorporate local customary practices into the resource management strategies. The project activities also include developing alternative livelihoods to assist those</p>

			Due to Covid-19, many meetings and other events, especially at regional level are being conducted virtually. This may pose challenges for stakeholders with limited internet/ connectivity.	<p>who will be affected by, and promote support for, the proposed conservation measures.</p> <p>To address the challenges on limited internet/ connectivity, the project invested to improve IT infrastructure (for wifi and internet connection), especially in key venues or by providing phone credits.</p>
<p>Risk 3: Gender-based and marginalized group discrimination may be replicated, especially regarding women's and marginalized group's participation in project design and implementation, as well as access to opportunities and benefits; and also in decision making. (Overarching Principle: P10 and P11)</p>	<p>I = 3 L = 3</p>	Moderate	<p>Women and marginalized group may not be adequately represented with regards to decision-making or participation in the design/implementation of the project's activities. As a result, they may have limited access to resources, opportunities and benefits (potential risk).</p>	<p>Project activities will are designed and are being implemented so that all genders: i) are able to participate fully and equitably; ii) receive comparable social and economic benefits; and iii) do not suffer disproportionate adverse effects as per the UNDP Gender Mainstreaming Strategy.</p> <p>Building on the Gender and Social Inclusion Plan developed as part of project design, an updated gender analysis (GESI Survey as part of the Social and Environmental Baseline Analysis) is being undertaken to assess divisions of labor and the role of women and their access to resources. The analysis will also develop recommendations as to how the project's activities will promote women's equality and empowerment, including participation in project decision-making and to ensure activities are designed & planned by taking into account women interest, knowledge, and experience.</p>

				<p>In the South Fly Distric PNG, women make up approximately 50% of traditional fishers. EAFM activities are designed to inherently proportionally target men and women fishers (this requirement is included in the ProDoc).</p> <p>Project activities are designed and are being implemented so that marginalized groups are able to participate fully and equitably.</p> <p>Appropriate measures will ensure that women receive an equitable share of benefits and that their status and interests are not marginalized. Participatory processes will include methodologies that enhance the participation of women and promote the inclusion of their views into the activities of the project.</p> <p>Monitoring of project outputs will include disaggregated and measurable data related to gender equality and empowerment of women.</p>
<p>Risk 4: Potential 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. (Overarching Principle: P13)</p>	<p>I: 3 L: 2</p>	<p>Moderate</p>	<p>Local stakeholders (marginalized groups), in particular poor and vulnerable groups, may be limited in their abilities to participate effectively in decision making (Including limitations posed by the global pandemic).</p>	<p>In the project activities, measures are taken to involve marginalized groups in decision making process.</p> <p>Project activities are implemented at the community level, wherein socio-economic circumstances, such as poverty incidence, reliance on fish and marine resources of the local beneficiaries were considered, in order to maximize benefit to those under-privileged or otherwise marginalized factions.</p>

				<p>Stakeholder identification and analysis is continually conducted throughout the program cycle. As the project progresses from design to implementation and evaluation, stakeholders are identified including those coming from poor and vulnerable groups. The Project developed its Stakeholder Engagement and Communications Plan. The Plan identified strategies to enhance communication and dissemination of information, and to build awareness and involvement of various stakeholders on the different objectives and targets of the project, including alternative means of reaching out to stakeholders in view of limitations posed by the global pandemic..</p> <p>The planned establishment of SPF would facilitate broader stakeholder participation, including: the national government representatives and academic experts from the original forum, and additionally includes other national and sub-national government agencies as well as regional, national and sub-national civil society organizations, ensuring representation from particularly marginalized groups like local people women’s groups.</p>
<p>Risk 5: Project activities could potentially restrict availability of, quality of and access to resources or basic services, particularly for marginalized individuals or groups.</p>	<p>I: 3 L: 2</p>	<p>Moderate</p>	<p>The project activities involving fisheries, have the potential to impact on access to resources by people with no rights to fish.</p>	<p>An artisanal fisheries management plan for the South Fly District is (being) developed.</p> <p>Rights based Management (Strengthen Collective Values). Working with subnational stakeholders, including the Provincial</p>

<p>(Project Level Standard: 1.2, 1.3 and 1.10, main concern: 1.3)</p>			<p>In the management plan - Allow only people with fishing rights, and restrict people who has no rights to fish.</p>	<p>Administration, Local Level Government Administrations, and the Treaty Villages Council, design and deliver an awareness campaign focused on the community level. Awareness activities will include understanding of the value of endangered species.</p> <p>Rights based Management (Develop Institutional Framework). Working with subnational stakeholders, including the Provincial Administration, Local Level Government Administrations, and the Treaty Villages Council, through a participatory process develop community management rules for a single or multiple species.</p>
<p>Risk 6: (Displacement and Resettlement and Indigenous Peoples) Project activities are in the area where indigenous peoples (IPs) are present and may lead to economic displacement (e.g. loss of assets or access to resources; access restriction).</p> <p>(Covering Project Level Standards: 5.2, 5.4, 6.1 and 6.2).</p>	<p>I: 3 L: 2</p>	<p>Moderate</p>	<p>Related to Risk 2 and 4.</p>	<p>Stakeholder identification and analysis is continually conducted throughout the program cycle. As the project progresses from design to implementation and evaluation, stakeholders are identified including those coming from IPs.</p> <p>In the project activities, measures are taken to involve IP groups in decision making process. Local coastal communities are involved in FGDs and surveys designed to learn about how they manage & utilize their natural resources and how they perceive their environment. This information is then used as a key piece of information in the process of developing regulations and management plans to ensure that they can continue to exercise their right to manage and utilize these resources. The project</p>

				<p>also works to accommodate, strengthen, and incorporate local practices and traditions into the resource management strategies.</p> <p>As an example, the following interventions are conducted for PNG:</p> <ol style="list-style-type: none"> 1) the assessment of legal frameworks highlighted the importance of customary laws (e.g., for natural resources management) and their recognition under national laws; 2) the biophysical and socioeconomic baseline assessment discussed traditional and customary villages/ tribes/ inhabitants/ resource users/managers (tribal/clan elders), practices and management measures; 3) the stakeholder analysis and capacity assessment included village-based fishers, community-based organizations and customary resource managers/ clan elders among the key stakeholders; 4) a capacity development plan is being prepared considering the capacity needs of identified stakeholders.
<p>Risk 7: Project potentially involve occupational health and safety risks due to physical hazards. (Project Level Standard: 7.6)</p>	<p>I: 2 L: 2</p>	<p>Low</p>	<p>OHS risk related to field data collection & monitoring not only to the potential risk faced by the team in visiting remote</p>	<p>Teams and enumerators carrying out data collection are required to adhere to safety protocols and data collection/monitoring SOP.</p> <p>In addition, the project is also ensuring that health protocols are adhered to in the implementation of activities during the Covid-19</p>

			<p>villages with limited healthcare facilities (i.e., underwater monitoring is a risky data collection method)</p> <p>Project implementers will be dealing with various stakeholders at all levels.</p>	<p>Pandemic to minimize the risk of virus spread. Alternative options were identified like online tools and info sharing, hybrid types of activities, etc.</p> <p>As project implementers will be dealing with various stakeholders at all levels, measures are being implemented to minimize the risk by coordinating with local authorities, community leaders to ensure proper coordination and communication and ensure their safety</p>
	QUESTION 4: What is the overall project risk categorization?			
		Low Risk	X	<p>The ATSEA-2 Project activities are designed are designed to enhance regional collaboration and coordination in the Arafura and Timor Seas (ATS) region. ATSEA-2 specifically focuses on supporting the implementation of the endorsed strategic action program (SAP), a 10-year vision for the Arafura-Timor Seas with the long-term objective “to promote sustainable development of the Arafura-Timor Seas region to improve the quality of life of its inhabitants through restoration, conservation and sustainable management of marine-coastal ecosystems”.</p> <p>The planned activities are assessed to have minimal risk of adverse social and environmental</p>

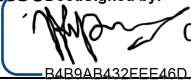

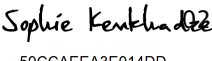
			<p>impacts. The inherent design of the project precludes overall risk categories listed below.</p> <p>Although the project will not contribute to any adverse environmental impacts, the occurrence of potential low and moderate risk identified above may compromise certain activities supported by the project. A Social and Environmental Safeguards Management Plan (SESMP) and a monitoring and evaluation plan are provided by the project to mitigate potential negative environmental impacts. It is therefore expected that the project will result in overall positive environmental and social impacts.</p>	
	Moderate Risk	<input type="checkbox"/>		
	Substantial Risk	<input type="checkbox"/>		
	High Risk	<input type="checkbox"/>		
	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 type="checkbox"/>		Status? (completed, 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)	X		
	<i>If yes, indicate overall type</i>	X	Targeted management plans (e.g. Gender Action Plan, Emergency Response Plan, Waste Management Plan, others) In particular: Gender Action Plan	
		X	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 risks, 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  <small>DocuSigned by: B4B9AB432FEF46D</small>	02-Feb-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  <small>DocuSigned by: 59CCAEFA3E014DD...</small>	02-Feb-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.
PAC Chair  <small>DocuSigned by: 59CCAEFA3E014DD...</small>	02-Feb-2022	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 - PNG

Sites/Activities:

d) South Fly District, Western Province

- EAFM: artisanal fisheries management plan
- EAFM pilot implementation: rights-based management
- IUU Fishing Reduction: pilot community monitoring, control, surveillance

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?	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? ⁹	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?	Yes

⁹ 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.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?	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>	Yes
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?	Yes
P.14	grievances or objections from potentially affected stakeholders?	No
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?	No

	<i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	
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?	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? ¹⁰	No
1.13	utilization of genetic resources? (e.g. collection and/or harvesting, commercial development) ¹¹	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

¹⁰ See the [Convention on Biological Diversity](#) and its [Cartagena Protocol on Biosafety](#).

¹¹ See the [Convention on Biological Diversity](#) and its [Nagoya Protocol](#) on access and benefit sharing from use of genetic resources.

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)?	Yes
5.3	risk of forced evictions? ¹²	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		
<i>Would the project potentially involve or lead to:</i>		
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)? <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?	No

¹² 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.

	<i>Consider, and where appropriate ensure, consistency with the answers under Standard 5 above</i>	
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?	Yes
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
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APPENDIX 3. SOCIAL AND ENVIRONMENTAL SCREENING PROCEDURE TEMPLATE - TIMOR-LESTE

Project Information

Project Information	
16. Project Title	Implementation of Arafura and Timor Seas Regional and National Strategic Action Programs (ATSEA-2)
17. Project Number (i.e. Atlas project ID, PIMS+)	5439
18. Location (Global/Region/Country)	Timor-Leste
19. Project stage (Design or Implementation)	Implementation
20. Date	October 8, 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

In Timor-Leste, the project mainstreamed human-rights based approach through supporting integrated methods that lead to the sustainable use and conservation of ecosystem goods and services. Participation by marginalized groups including indigenous, women and local people, are realized through community consultations, on-the-ground activities at target project sites and through the activities by the Stakeholder Partnership Forum (SPF). Community activities are focused on strengthening capacities and increasing awareness of local resource users, in order to more sustainably utilized coastal and marine resources.

The employment of site mobilizers helps to facilitate participation by local communities, providing on-the-ground, proactive linkages between duty-bearers (authorities) and rights-holders (local residents).

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

In Timor-Leste project sites, women are actively engaged in planning and decision-making regarding project activities at all levels, from the national level to community level alternative livelihood activities.

In order to support the dual objective of achieving economic empowerment of women while promoting climate-resilient, sustainable use of coastal and marine resources, livelihood and income generating activities (accompanied by the necessary budget) specifically targeting women have been designed for implementation in the ATSEA-2 Timor-Leste demonstration sites. Preferences are given to funding those interventions that benefit both men and women.

Project interventions will use gender sensitive indicators and collect sex-disaggregated data that will be systemically recorded, reported and integrated into adaptive management responses.

Several project interventions are being implemented in different sites in Timor-Leste to improve gender equality and women empowerment. Example of interventions includes: EAFM: Red Snapper fisheries (*EAFM: Women's cooperative for fish post-harvest livelihood improvements - Establishing and strengthening alternative resilient livelihoods*) Município Viqueque.

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

Sustainability is mainstreamed across the project components and in Timor-Leste including: a) strengthening national and local governance mechanism; (b) strengthening individual and institutional capacity building on integrated approaches to coastal and marine ecosystem management and conservation; (c) addressing environmental-development linkage by promoting more sustainable use of ecosystem goods and services while providing alternative livelihood opportunities and strengthening the resilience of local communities with respect to the impacts of climate change; (d) providing scale-able framework, such as in ICM plans that will provide local stakeholders with a roadmap for integrating socio-economic development priorities of their communities with sustainable management and conservation of ecosystem goods and services; and (e) through EAFM, ICM and EbA implementation in selected project sites which considers precautionary and adaptive principles and increase ecological and social resiliencies to climate change.

All these initiatives are contributing to and supporting Timor-Leste in the implementation of national and local environmental sustainability priorities.

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

The project emphasizes the value of multi-stakeholder engagement in various aspects of the project. In particular, to strengthen accountability to stakeholders, the project: conducts consultations as required in different activities to secure stakeholder inputs and feedback; expands its project reach through various communication platforms to share periodic information on project status, planned activities, and progress; sharing of project monitoring results to key regional and national channels/partners.

PART B. IDENTIFYING AND MANAGING SOCIAL AND ENVIRONMENTAL RISKS ATSEA-2 TIMOR-LESTE

<p>QUESTION 2: What are the Potential Social and Environmental Risks?</p> <p><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?</p> <p><i>Note: Respond to Questions 4 and 5 below before proceeding to Question 5</i></p>			<p>QUESTION 6: Describe the assessment and management measures for each risk rated Moderate, Substantial or High</p>
<p>Risk Description <i>(broken down by event, cause, impact)</i></p>	<p>Impact and Likelihood <i>(1-5)</i></p>	<p>Significance <i>(Low, Moderate Substantial, High)</i></p>	<p>Comments (optional)</p>	<p>Description of assessment and management measures for risks rated as Moderate, Substantial or High</p>
<p>Risk 1: National and local authorities may not have the capacity to meet their obligations to the project. (Overarching Principle: P2)</p>	<p>I = 3 L = 3</p>	<p>Moderate</p>	<p>The capacities of national institutions, district and local authorities may not be sufficient to provide effective governance solutions to problems that are complex and multi-sectoral.</p> <p>There is also potential difficulty and challenges in the coordination between different sectors and different</p>	<p>The project includes dedicated components for capacity-building actions including Training on EAFM training; and Design and Pilot Implementation of EAFM Plan for national and local authorities and project implementers; and Establishment of National Inter-Ministerial Committees (NIMC).</p> <p>The NIMC will be tasked with facilitating cross-sectoral collaboration. The Stakeholder Partnership Forum that will build on ATSEF is designed to facilitate broad stakeholder participation.</p> <p>A number of the planned project activities require high level enabling decisions, including adoption of updated SAP through a ministerial</p>

			<p>levels of government (both vertically between local, provincial, and national government, and horizontally between local governments of different locations),</p>	<p>declaration, DG level approval of fisheries improvement projects and EAFM plans, etc. The Regional Project Management Unit (RPMU) and the (Timor-Leste) National Coordinating Unit (NCU) will be proactive in project advocacy, including regular communication with cross-sectoral coordination structures, such as NIMC and the NPB, and other relevant programs/initiatives.</p> <p>Capacity building is one of the primary focuses of the project, with the aim of training “change agents” on state of the art integrated approaches to natural resource management and biodiversity conservation. Local communities will also be engaged in sharing management responsibilities, including monitoring, control, and surveillance arrangements. Further areas for capacity building may be identified during project implementation.</p>
<p>Risk 2: Local stakeholders, in particular poor and vulnerable groups, may be restricted in access to resources and may be limited in their abilities to participate effectively in decision making. (Overarching Principle: P6)</p>	<p>I = 3 L = 3</p>	<p>Moderate</p>	<p>Promotion of sustainable fishing practices and methods, as well as zonation in line with some MPA efforts may limit the availability of/accessibility to some basic services. However, possible restrictions to access</p>	<p>In the project activities measures are taken to involve marginalized groups in decision making process. Local coastal communities are involved in Focus Group Discussions (FGDs) and surveys designed to learn about how they manage & utilize their natural resources and how they perceive their environment. This information is then used as a key piece of information in the process of developing regulations and management plans to ensure that they can</p>

			<p>are set by regulations and policies from the countries or regional level agreements which are designed to avoid destructive fishing methods and reduce fishing pressure to sustainable levels.</p> <p>Due to Covid-19, many meetings and other events, especially at regional level are being conducted virtually. This may pose challenges for stakeholders with limited internet/connectivity.</p>	<p>continue to exercise their right to manage and utilize these resources.</p> <p>Project activities are implemented at the community level, the socio-economic circumstances, such as poverty incidence, reliance on fish and marine resources of the local beneficiaries were considered, in order to maximize benefit to those under-privileged or otherwise marginalized factions. (Please refer to Risk 4).</p> <p>Additional initiative to enable participation in decision making is through ICM task teams and ICM implementation in selected sites. Local leaders are also being proposed as key members and to lead the SPF.</p> <p>The project also works to accommodate, strengthen, and incorporate local customary practices into the resource management strategies. The project activities also include developing alternative livelihoods to assist those who will be affected by, and promote support for, the proposed conservation measures.</p> <p>To address the challenges on limited internet/ connectivity, the project invested to improve IT infrastructure (for wifi and internet connection), especially in key venues (such as MAF office in TL) or by providing phone credits.</p>
Risk 3: Gender-based and marginalized group discrimination	1 = 3	Moderate	Women and marginalized group	Project activities are designed and are being implemented so that all genders: i) are able to

<p>may be replicated, especially regarding women's and marginalized group's participation in project design and implementation, as well as access to opportunities and benefits; and also in decision making. (Overarching Principle: P10 and P11)</p>	<p>L = 3</p>		<p>may not be adequately represented with regards to decision-making or participation in the design/implementation of the project's activities. As a result, they may have limited access to resources, opportunities and benefits (potential risk).</p>	<p>participate fully and equitably; ii) receive comparable social and economic benefits; and iii) do not suffer disproportionate adverse effects as per the UNDP Gender Mainstreaming Strategy.</p> <p>Building on the Gender and Social Inclusion Plan developed as part of project design, an updated gender analysis (GESI Survey as part of the Social and Environmental Baseline Analysis) is being undertaken to assess divisions of labor and the role of women and their access to resources. The analysis will also develop recommendations as to how the project's activities will promote women's equality and empowerment, including participation in project decision-making and to ensure activities are designed & planned by taking into account women interest, knowledge, and experience.</p> <p>Several project interventions are being implemented in different sites in Timor-Leste to improve gender equality and women empowerment. Activities are designed provide opportunities for women to engage and benefit, including enablers for engagement (such as child care, where appropriate); and consider ways in which to avoid over-burdening of women and girls as the result of project implementation. Example of interventions includes: EAFM: Red Snapper fisheries (EAFM: Women's cooperative for fish post-harvest livelihood improvements - Establishing and strengthening alternative resilient livelihoods).</p>
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				<p>Project activities are designed and are being implemented so that marginalized groups are able to participate fully and equitably.</p> <p>Appropriate measures will ensure that women receive an equitable share of benefits and that their status and interests are not marginalized. Participatory processes will include methodologies that enhance the participation of women and promote the inclusion of their views into the activities of the project.</p> <p>Monitoring of project outputs will include disaggregated and measurable data related to gender equality and empowerment of women.</p>
<p>Risk 4: Potential 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. (Overarching Principle: P13)</p>	<p>I: 3 L: 2</p>	<p>Moderate</p>	<p>Local stakeholders (marginalized groups), in particular poor and vulnerable groups, may be limited in their abilities to participate effectively in decision making (Including limitations posed by the global pandemic).</p>	<p>In the project activities, measures are taken to involve marginalized groups in decision making process.</p> <p>Project activities are implemented at the community level, wherein socio-economic circumstances, such as poverty incidence, reliance on fish and marine resources of the local beneficiaries were considered, in order to maximize benefit to those under-privileged or otherwise marginalized factions.</p> <p>Stakeholder identification and analysis is continually conducted throughout the program cycle. As the project progresses from design to implementation and evaluation, stakeholders are identified including those coming from poor and vulnerable groups. The Project developed its</p>

				<p>Stakeholder Engagement and Communications Plan. The Plan identified strategies to enhance communication and dissemination of information, and to build awareness and involvement of various stakeholders on the different objectives and targets of the project, including alternative means of reaching out to stakeholders in view of limitations posed by the global pandemic.</p> <p>The planned establishment of SPF would facilitate broader stakeholder participation, including: the national government representatives and academic experts from the original forum, and additionally includes other national and sub-national government agencies as well as regional, national and sub-national civil society organizations, ensuring representation from particularly marginalized groups like local people women’s groups.</p>
<p>Risk 5: Project activities have the capacity to impact on marine and coastal ecosystems and resources. (Project Level Standard: 1.2, 1.3 and 1.10)</p>	<p>I: 3 L: 3</p>	<p>Moderate</p>	<p>Project activities are targeted in areas that include community-managed areas. This means that fishing/ fish/coastal resources harvesting is currently taking place and may be affected as a result of project interventions that promote sustainable</p>	<p>The integrated approaches supported by the project, including EAFM, FIP, ICM, etc., are designed to deliver win-win solutions for resource users and managers. For example, applying sustainable fishing practices under fisheries improvement projects would enable local fishers the opportunity to gain better prices for their catch, while safeguarding the ecosystem services that support the species they are harvesting.</p>

			<p>resource management and practices.</p>	<p>EAFM plan will be developed through: (1) identifying and prioritizing issues and goals, through stakeholder consultations; (2) developing objectives, indicators, benchmarks, and monitoring and evaluation tools; and (3) design a set of management measures to implement over the course of the ATSEA-2 project.</p> <p>EAFM, FIP, ICM trainings will be conducted to fisheries resource managers and relevant stakeholders from countries in the ATS region. Likewise, EAFM, FIP, ICM interventions will be implemented in the different sites in the ATS region. The initiative also includes training for monitoring, control and surveillance (MCS) and oil spill preparedness and response.</p> <p>The project also includes activities related to protection of sea turtles - turtle recovery plan, reduce illegal harvesting, trials of bycatch reduction devices, capacity and awareness, etc. The project also includes related activities on monitoring, control, and surveillance (MCS) to help reduce illegal, unreported, and unregulated (IUU) fishing, as well as various awareness and capacity-building initiatives on integrated and sustainable coastal and marine resource management. The project activities also include development of alternative livelihoods to reduce reliance on fisheries activities,</p> <p>A national coordination unit was established, with NCU reporting to a national project board</p>
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				and also with direct reporting line to the regional project manager. The NCU will include a full-time national coordinator and site mobilizers will be hired to facilitate the implementation activities in the field.
Risk 6: Project potentially involve outputs and outcomes sensitive or vulnerable to potential impacts of climate change. (Project Level Standard: 2.2)	I: 2 L: 3	Moderate	The impacts of climate change can undermine the sustainability of coastal and marine environment and resources in ATS region, especially those living in coastal communities if adaptation and mitigation measures and knowledge/capacities are not strengthened.	<p>The risks associated with predicted climate change impacts are complex and difficult to quantify. Project funds are allocated toward increasing the knowledge base regarding the potential impacts of climate change on fish and other marine resources, and the associated consequences on local communities. The increased predictive capability resulting from these efforts will allow more informed strategies for strengthening the resilience of vulnerable communities.</p> <p>The project activities are also aimed to help mitigate the potential impact of climate change, by improving & rehabilitating coastal ecosystem to ensure their ecosystem functions, as well as improving the resilience of local coastal communities in responding to future climate-related pressures.</p> <p>The project activities include: EAFM: Pilot sustainable fish feed production/sourcing (Strengthening Alternative Climate Resilient Livelihoods); and ICM implementation, alternative livelihoods, capacity building (comprising of two interventions: CCA: Coastal</p>

				vegetation restoration; and CCA: Drought resistant home gardens .
<p>Risk 7: (Displacement and Resettlement and Indigenous Peoples) Project activities are in the area where indigenous peoples (IPs) are present and may lead to economic displacement (e.g. loss of assets or access to resources; access restriction).</p> <p>(Covering Project Level Standards: 5.2, 5.4, 6.1 and 6.2).</p>	<p>I: 3</p> <p>L: 2</p>	Moderate	<p>The project activities involving fisheries, introducing alternative livelihoods and nutrition have the potential to impact on the rights, lands, livelihoods and traditional knowledge of Indigenous Peoples and Ethnic Minorities in Timor-Leste (Related to Risk 2 and 4).</p>	<p>Stakeholder identification and analysis is continually conducted throughout the program cycle. As the project progresses from design to implementation and evaluation, stakeholders are identified including those coming from IPs.</p> <p>In the project activities, measures are taken to involve IP groups in decision making process. Local coastal communities are involved in FGDs and surveys designed to learn about how they manage & utilize their natural resources and how they perceive their environment. This information is then used as a key piece of information in the process of developing regulations and management plans to ensure that they can continue to exercise their right to manage and utilize these resources. The project also works to accommodate, strengthen, and incorporate local practices and traditions into the resource management strategies.</p> <p>The project promotes rights-based fisheries management in Timor-Leste (Viqueque).</p>
<p>Risk 8: Project potentially involve occupational health and safety risks due to physical hazards. (Project Level Standard: 7.6)</p>	<p>I: 2</p> <p>L: 2</p>	Low	<p>OHS risk related to field data collection & monitoring not only to the potential risk faced by the team in visiting remote villages with limited</p>	<p>Teams and enumerators carrying out data collection are required to adhere to safety protocols and data collection/monitoring SOP.</p> <p>In addition, the project is also ensuring that health protocols are adhered to in the implementation of activities during the Covid-19</p>

			<p>healthcare facilities (i.e., underwater monitoring is a risky data collection method)</p> <p>Project implementers will be dealing with various stakeholders at all levels.</p>	<p>Pandemic to minimize the risk of virus spread. Alternative options were identified like online tools and info sharing, hybrid types of activities, etc.</p> <p>As project implementers will be dealing with various stakeholders at all levels, measures are being implemented to minimize the risk by coordinating with local authorities, community leaders to ensure proper coordination and communication and ensure their safety</p>
	QUESTION 4: What is the overall project risk categorization?			
		Low Risk	X	<p>The ATSEA-2 Project activities are designed are designed to enhance regional collaboration and coordination in the Arafura and Timor Seas (ATS) region. ATSEA-2 specifically focuses on supporting the implementation of the endorsed strategic action program (SAP), a 10-year vision for the Arafura-Timor Seas with the long-term objective “to promote sustainable development of the Arafura-Timor Seas region to improve the quality of life of its inhabitants through restoration, conservation and sustainable management of marine-coastal ecosystems”.</p> <p>The planned activities are assessed to have minimal risk of adverse social and environmental</p>

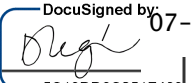
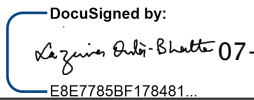

			<p>impacts. The inherent design of the project precludes overall risk categories listed below.</p> <p>Although the project will not contribute to any adverse environmental impacts, the occurrence of potential low and moderate risk identified above may compromise certain activities supported by the project. A Social and Environmental Safeguards Management Plan (SESMP) and a monitoring and evaluation plan are provided by the project to mitigate potential negative environmental impacts. It is therefore expected that the project will result in overall positive environmental and social impacts.</p>	
	Moderate Risk	<input type="checkbox"/>		
	Substantial Risk	<input type="checkbox"/>		
	High Risk	<input type="checkbox"/>		
	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 type="checkbox"/>		Status? (completed, 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)	X		
	<i>If yes, indicate overall type</i>	X	Targeted management plans (e.g. Gender Action Plan, Emergency Response Plan, Waste Management Plan, others) In particular: Gender Action Plan	
		X	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 risks, 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
	07-Feb-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.
	07-Feb-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.
		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 – TIMOR-LESTE**Sites/Activities:**

- e) Município Viqueque
 - EAFM: mackerel (local name: *kombong*) fisheries
 - EAFM: Women’s cooperative for fish post-harvest livelihood improvements (Establishing and strengthening alternative resilient livelihoods)
 - EAFM, mackerel: Improved fishing gear/techniques
- f) Municípios Manatuto, Manufahi
 - MPA: Designation of a new marine protected area
 - EAFM: Pilot sustainable fish feed production/sourcing (Strengthening Alternative Climate Resilient Livelihoods)
- g) Barique Posto Administrativo, Município Manatuto
 - ICM Action Plan developed and implemented
 - ICM Plan expanded with CCA
 - ICM implementation, alternative livelihoods, capacity building
 - CCA: Coastal vegetation restoration
 - CCA: Drought resistant home gardens
- h) Município Covalima
 - Pollution: oil and gas sector, training and regional/exchange
- i) Município Lautem
 - MPA Nino Konis Santana, strengthened man
 - MPA: Locally managed marine areas, alternative livelihoods
 - MPA: Strengthening LMMAs at Nino Konis Santana (awareness-raising)

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?	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? ¹³	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?	Yes
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?	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>	Yes
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>		

¹³ 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.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?	No
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?	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?	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? ¹⁴	No

¹⁴ See the [Convention on Biological Diversity](#) and its [Cartagena Protocol on Biosafety](#).

1.13	utilization of genetic resources? (e.g. collection and/or harvesting, commercial development) ¹⁵	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>	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>	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

¹⁵ See the [Convention on Biological Diversity](#) and its [Nagoya Protocol](#) on access and benefit sharing from use of genetic resources.

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?	
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)?	Yes
5.3	risk of forced evictions? ¹⁶	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		
<i>Would the project potentially involve or lead to:</i>		
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	

¹⁶ 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.

	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>	
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
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?	Yes
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



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