

Part B. Identifying and Managing Social and Environmental Risks

| <p>QUESTION 2: What are the Potential Social and Environmental Risks?</p> <p><i>Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “Yes” responses). If no risks have been identified in Attachment 1 then note “No Risks Identified” and skip to Question 4 and Select “Low Risk”. Questions 5 and 6 not required for Low Risk Projects.</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 6</i></p> | | | <p>QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?</p> |
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| <p>Risk Description</p> | <p>Impact and Probability (1-5)</p> | <p>Significance (Low, Moderate, High)</p> | <p>Comments</p> | <p>Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.</p> |
| <p>Risk 1: Duty bearers do not have the capacity to meet their obligations and right holders do not have the capacity to claim their rights.</p> <p>Referred to SESP attachment 1: Principle 1, Question 5 & 6.</p> | <p>I = 3 P = 3</p> | <p>Moderate</p> | <p>The capacity and efficiency of local forest officers to develop extension strategies and deliver extension services that actively support ongoing local forest management and reforestation activities is limited.</p> <p>Local communities including indigenous people in the target</p> | <p><i>In order to address the risk posed by the lack of capacity among duty bearers (Principle 1, Question 5) and lack of capacity among local communities (including IPs) to claim their rights (Principle 1, Question 6) the project will undertake the following actions:</i></p> <p>(i) A capacity needs assessment will be undertaken early in the project to define training needs and additional skills required to implementation of the project. Thereafter, the project will focus on strengthening capacity of the key ministries including integrated natural resources planning and management approaches that would seek to ensure sustainable natural resources development outcomes while conserving biodiversity, ecosystems and species.</p> |

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| | | | <p>landscapes may be unable to claim their rights owing to low levels of literacy, education and poverty.</p> | <p>(ii) The project will provide technical advice and direct learning by doing support from specialists within the relevant agencies (including external technical support) combined with demonstrations to promote adoption of sustainable practices within the target landscape to enhance capacity and participation of duty bearers and right holders.</p> <p>(iii) Extension strategies will be implemented to promote integrated management approaches based on the existing national Sustainable Land Management Guidelines, and linkages with relevant Ministry of Environment communications and education campaigns. The capacity of managers and stakeholders to support relevant activities will be enhanced by demonstration activities.</p> <p>(iv) The project will seek to affirm the significance of local communities including indigenous people by facilitating their engagement through appropriate modalities, building their capacity and awareness for implementation of sustainable natural resources and livelihood strategies.</p> |
| <p>Risk 2: Women or vulnerable groups might not be fully engaged in decision that affect their land, culture and rights.</p> <p>Referred to SESP attachment 1: Principle 2, Questions 1, 2 and 4.</p> | <p>I = 3 P = 3</p> | <p>Moderate</p> | <p>While, women in the Mekong region, are often at the forefront of protecting forests, and are particularly dependent on ecosystem goods and services for livelihoods and domestic responsibilities, landowners and other influential persons, mainly men, may have more control on local level decision-making.</p> | <p><i>To ensure that project activities do not have adverse impacts on gender equality (Principle 2, Question 1); potentially cause discrimination against women based on gender (Principle 2, Question 2), and limit women’s ability to use, develop and protect natural resources (Principle 2, Question 4) the project will institute the following actions:</i></p> <p>(i) The application of the “Gender Analysis and Mainstreaming Action Plan” (Annex 6) prepared during the PPG stage to ensure that the project contributes to gender equality and creates equitable opportunities for women and men at all levels of engagement;</p> <p>(ii) Promote equal representation of women in project related decisions in communities</p> <p>(iii) The use of a gender and socially inclusive lens to every project activity and output to further analyze impacts on the rights of women</p> |

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| | | | | <p>and vulnerable peoples, as well as support land reform initiatives that benefit women and indigenous groups;</p> <p>(iv) Special investments would be planned based on women’s requirements to ensure that they adequately benefit from project investments and that there is responsiveness to their practical needs and strategic interests;</p> <p>(v) The use of the monitoring plan (RAF) with gender responsive indicators to access gender dimensions, including that the project scores a Gen. 2 Marker.</p> <p>(v) Needs assessments’ followed by training and capacity building to enhance gender and socially responsive knowledge at all levels of the project cycle and within the institutions;</p> <p>(vi) Guidelines and tools to strengthen gender responsiveness of local organizations to ensure the participation of women and vulnerable groups in decision—making including in respect of the allocation of resources to activities within the clusters; provision for women and youth only investment activities;</p> <p>(vii) Technical expertise on gender mainstreaming to support project implementation and monitoring and evaluation; budgets to secure gender responsiveness in the project, including the collection of sex-disaggregated data with oversight provided by the Ministry of Women’s Affairs to ensure appropriate mainstreaming of gender issues.</p> |
| <p>Risk 3: Project activities to ensure conservation and sustainable natural resource use could have unintended negative consequences on endangered species or critical habitats if not planned or implemented correctly (including insufficient enforcement of protected area management rules).</p> | <p>I = 2 P = 3</p> | <p>Moderate</p> | <p>Project interventions in terms of biodiversity conservation, sustainable natural resources use and livelihood improvements could occur within and adjacent to protected areas and critical habitats. If these interventions are poorly planned there is the risk</p> | <p><i>To ensure that project activities will not cause negative impacts to habitats and ecosystems (Principle 3, Standard 1, Question 1); proposed within or adjacent to critical habitats (Principle 3, Standard 1, Question 2); does not adversely involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and livelihoods habitats (Principle 3, Standard 1, Question 3), pose risks to endangered species (Principle 3, Standard 1, Question 4), that harvest are within sustainable limits and restoration actions are biodiversity-friendly (Principle 3, Standard 1, Question 6) and utilization of genetic materials are managed (Principle 3, Standard 1, Question 9), the project has considered the following:</i></p> |

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| <p>Referred to SESP attachment 1: Standard 1, Questions 1, 2, 3, 4, 6 and 9</p> | | | <p>of adverse impacts on species and ecosystems. The probability of this occurring is low as specialist biodiversity expertise has contributed to the design of project activities, and biodiversity expertise at BDB will support PA management planning during implementation. However, there is some risk with a lack of community awareness and/or capacity to implement and enforce PA management plans, resulting in a higher overall risk rating.</p> | <p>(i) Criteria for the selection of investment sites will follow extensive biological mapping so as to conform to project’s objective of ‘enhancing the conservation of biodiversity and ecosystem services’ through mainstreaming of biodiversity into planning policies and practices in the northern landscape.</p> <p>(ii) All community agriculture, productive and livelihood activities will take place within community lands and no new areas within the PAs are proposed for such activities. Appropriate zoning of the Protected Area will be undertaken to ensure that biodiversity areas are conserved with minimum interference.</p> <p>(iii) The use of a screening checklist based on SESP for project investments developed (Annex 4) to screen all investments to ensure that they comply with sound social and environmental principles and is sustainable. Such a checklist would also include the identification of investment location in relation to high biodiversity location within the protected areas.</p> <p>(iv) The planning process for PA management will entail establishing specific rules and regulations for location and nature of sustainable natural resources harvest and use and livelihood activities (and that ensure that these activities will not endanger habitats or species). This will be supported by community capacity building efforts for implementation and enforcement of these management plans.</p> <p>(v) Project community investments will include specific reciprocal commitments by local communities for voluntary compliance and support for conservation actions.</p> <p>(vi) The project will include training to equip community members to monitor changes in local biodiversity and over use of natural resources to ensure community rules are complied with</p> <p>(vii) The implementation of the Stakeholder Engagement Plan (Annex 5) completed during the PPG stage will help promote awareness towards the key features of PA management, from local to national</p> |
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| | | | | <p>level, for flow of information and exchange of ideas between resource users and management staff.</p> <p>(viii) Project activities in Protected Areas will be carried out with the aim of better management, higher chances of sustainability, biodiversity protection and protection of ecosystem services. Specific emphasis will be placed on integrating and supporting the Community Protected Areas as part of sustainable land management.</p> |
| <p>Risk 4: The outcomes of the Project might be sensitive or vulnerable to the potential impacts of climate change?</p> <p>Referred to SESP attachment 1: Standard 2, Question 2</p> | <p>I=3 P=3</p> | <p>Moderate</p> | <p>Potential climate change risks include – increase precipitation both in terms of intensity and frequency, floods and droughts. vulnerabilities of communities living around Tonle Sap have increased. The Mekong flash floods during wet seasons have become increasingly problematic and poses threats to the farming community. Floods coupled with droughts have resulted in significant economic losses in the recent years.</p> | <p><i>To ensure that the activities of the project are sensitive to potential climate change impacts (Principle 3, Standard 2, Question 2), the project will ensure the following:</i></p> <p>(i) Climate change impacts on the project outcomes and interventions was factored in during the project design. The projects emphasis on catchment and riparian management across the landscape will support climate change mitigation through flood and drought reduction in target areas. Working with production aspects of the landscape on water management will help to promote adaptive responses to climate change.</p> <p>(ii) At the local level, the project will support measures for management of climate related risks including: (a) participatory community risk assessment (including climate change) and planning that will, inter alia, influence the choice of climate smart investment projects; (b) strengthening of sustainable and other conservation practices will enhance protection of ecosystem services; (c) monitoring plan to ensure that the health of the eco-system is kept in focus and (d) the knowledge management and communication strategy activities will help raise public awareness and involvement in climate smart actions.</p> <p>(iii) In terms of the Monitoring Plan, the condition of the natural ecosystems would be monitored to ensure that activities do not damage these sensitive ecosystems so that it is in a better overall situation to manage climate changes.</p> |

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| | | | | (iv) The Management Knowledge and Communications Plan to be developed under the project will include specific information about climate risks and measures to improve climate resilience |
| <p>Risk 5: the proposed project may result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture.</p> <p>Referred to SESP attachment 1: Standard 4, Question 1 and Standard 6, Question 6</p> | <p>I = 3 P = 2</p> | <p>Moderate</p> | <p>The project target areas may include heritage sites.</p> | <p><i>To ensure that the activities of the project are sensitive to cultural heritage (Principle 3, Standard 4, Question 2) the project will manage this risk by the following measures:</i></p> <p>(i) The Ministry of Environment Heritage Department will work closely with the APSARA Authority to propose heritage zones similar to those already used in Phnom Kulen National Park.</p> <p>(ii) In keeping with the Law for the Protection of Cultural Heritage of January 25, 1996, Section 7 “Chance Discoveries” any chance finds will be subjected to Articles 37, 38 and 39 of the above-mentioned legislation</p> <p>(iii) The effective use of the grievance redressal system Section IV, Part iv) to address these specific concerns;</p> <p>(iv) The use of a screening checklist based on SESP (Annex 4) to screen all investments from an environmental, social and cultural perspective to ensure that these take into consideration all potential impacts and implementation would be monitored to ensure that there is no impacts on cultural, religious or traditional of either local communities (including IPs) and historical sites.</p> <p>(v) Any project related economic development initiatives proposed by communities will rest on the maintenance of the integrity of their cultures, traditions, religious values, for example, in agricultural practices, eco-tourism, etc.</p> <p>(vi) Provision has also been made for the documentation by IP cultural practices to enhance biodiversity conservation after FPIC.</p> |
| <p>Risk 6: It is likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples. Consequently, it is possible that the</p> | <p>I = 3 P = 3</p> | <p>Moderate</p> | <p>There are Kuoy and Por communities in the Kulen Promtep Wildlife Sanctuary. Rights of access and tenure could</p> | <p><i>To ensure that the activities of the project that are located in areas where indigenous peoples are present (Principle 3, Standard 6 Question 1); likely that parts of the project will be located on lands claimed by indigenous peoples (Principle 3, Standard 6 Question 2); that the proposed project could potentially affect human rights, lands,</i></p> |

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| <p>project can affect land tenure arrangements and customary rights of IPs</p> <p>Referred to SESP attachment 1: Standard 6, Question 1, 2, 3, 4, 5, 6 and 7</p> | | | <p>possibly be affected unless these are clarified, affirmed and documented during the integrated biodiversity corridor planning processes</p> | <p><i>natural resources and traditional livelihoods of indigenous peoples (Principle 3, Standard 6 Question 3); could potentially involve utilization of natural resources on lands claimed by indigenous peoples (Principle 3, Standard 6 Question 5), partial displacement of livelihoods (Principle 1, Question 6); and could possibly affect development priorities of IPs (Principle 1, Question 7); the project will manage these risks through the following measures:</i></p> <p>(i) While no additional lands will be brought under the PA network, these are IP communities living in the PA that will continue to depend on subsistence agriculture, fishing and NTFP collection for their living. The project will not entail any restrictions on the current practices of the IPs, and any new investments in agriculture, sustainable natural resources activities and livelihoods will only be defined following FPIC protocols. To the extent feasible the Ministry of Environment will work with APSARA to propose heritage zones to protect IP cultural practices and norms.</p> <p>(ii) The project will further incorporate the need for FPIC and develop an Indigenous Peoples plan (IPP) in Year 1 of the project.</p> <p>(iii) During the participatory investment planning process, the project will support community decision making on their priorities and needs, rather than have any new practices imposed. Consultation will take place and community consent based on FPIC procedures prior to deciding on specific location, nature and scope of project investments to reduce potential for conflict and ensure that these do not infringe on human rights, lands, natural resources on land under ancestral domains.</p> <p>(iv) The project will use the screening checklist defined through the SESP to ensure that any new investments or improvement in existing practices of IPs are socially and environmentally sound and done with their consent, and do not adversely impact their cultural heritage, TK, etc.</p> |
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| | | | | <p>(v) The project will work with IPs to identify their specific needs and assess any issues related to land, community forestry, etc. that would affect the Kuoy and Por communities.</p> <p>(vi) As to be defined in the forthcoming IPP, any unexpected restriction in resource access (although not a design aspect) would be done only with FPIC and would be managed through a Livelihood Action Plan</p> |
| <p>Risk 7: Improved zoning and management of the PAs and corridors could restrict access to resources from PAs and surrounding lands. This will include indigenous communities living in this area</p> <p>Referred to SESP Attachment 1: Principle 1, Questions 1, 2, 3, and 4; and Standard 5, Questions 2 and 4</p> | <p>I = 3 P = 3</p> | <p>Moderate</p> | <p>With the improved management of existing PAs and creation of other Community managed areas and improved zoning of the landscape for multiple different uses, community rights of access may be restricted in specific areas.</p> | <p><i>To manage the risk from potential adverse impacts on human rights (Principle 1, Question 1); adverse impacts on affected populations (Principle 1, Question 2); restriction of availability, quality of access to resources (Principle 1, Question 3), exclude any potentially affected people (Principle 1, Question 4) and risk of economic displacement (Principle 3, Standard 5, Question 2) and affect on land tenure arrangements and/or community property/customary rights (Principle 3, Standard 5, Question 4) the Project will undertake following mitigation measures:</i></p> <p>(i) Apply a framework approach to INRM to ensure that project activities are detailed in collaboration with Provincial and local governments and local communities, to delineate areas to be set asides in a manner to avoid limitations on existing community resource use rights and access;</p> <p>(ii) The establishment of KBAs, HCVFs that will be planned and managed under community governance mechanisms will take into consideration current uses of these resources</p> <p>(iii) The development and use of a screening checklist for project investments based on SESP to screen all investments (including set-asides) to ensure that they comply with sound social and environmental principles and ensure avoidance of restriction in access to the extent feasible;</p> <p>(iv) Project planning will ensure that decisions regarding restrictions, if any, on resource use will not be imposed, but will involve through an informed, transparent and consultative community consensus building process (refer Annex 8), and any restrictions, if any will be adequately compensated to match or exceed loss of incomes or livelihoods. An</p> |

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| | | | | <p>alternative livelihood action plan will be prepared early in project implementation (Year 1) for any households that are likely to be denied access to resources or current livelihood practices.</p> <p>(v) The project grievance redressal system (refer Section IV, Part iii of UNDP Project Document) provides a mechanism to address any specific community concerns.</p> <p>(vi) Use of FPIC procedures to obtain consent from IPs regarding project investments</p> |
| QUESTION 4: What is the overall Project risk categorization? | | | | |
| Select one (see SESP for guidance) | | | Comments | |
| <i>Low Risk</i> | | | <input type="checkbox"/> | |
| <i>Moderate Risk</i> | | | <input checked="" type="checkbox"/> | <p>A total of seven risks have been identified, all of which are assessed as being of moderate significance. The following safeguards are triggered: Principle 1: Human Rights, Principle 2: Gender Equality and Women’s Empowerment, Principle 3, Standard 1: Biodiversity Conservation and Natural Resource Management; Standard 2: Climate Change Mitigation and Adaptation; Standard 4: Cultural Heritage and Standard 5: Displacement and Resettlement; and 6 Indigenous Peoples</p> <p>The overall project risk categorization is moderate. In accordance with this SESP, a targeted assessment of potential economic displacement will be assessed during cluster planning and any additional management measures detailed.</p> <p>Any displacement of resource access and incomes will include the completion of a livelihoods action plan early in the project implementation period</p> <p>The application of FPIC principles that will govern any decisions regarding PA management, resource access and use, community investments and related aspects. An Indigenous Peoples Plan will be developed early in the project period.</p> <p>This SESP (Annex 4) prepared during the PPG stage will form the basis of the targeted assessment and will be updated as</p> |




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| | | | <p>required. If the impacts are considered significant or cannot be managed by simple and practical mitigation measures that can be implemented within the capacity of the communities, these activities will be avoided. When impacts are easily manageable, the INRM Framework would include responsibilities for ensuring oversight for these measures and monitoring of its implementation.</p> <p>Implementation of any social and environmental mitigation measures will be monitored by the NCSO MOE and PMU and reported annually, including actions taken. Annually supervision missions will assess the extent to which the risks have been identified and managed</p> <p>A gender assessment and action plan (Annex 6) has been completed along with a gender mainstreaming action plan. Implementation of the project gender action plan has been integrated in all capacity building, livelihoods and other activities to ensure that institutions and individuals optimize gender outcomes.</p> <p>Oversight will be provided by the Ministry of Women’s Affairs to ensure appropriate mainstreaming of gender issues.</p> <p>Support for safeguards and gender has been built into the project budget, the monitoring and evaluation framework and specific responsibilities allocated to Project Management Unit staff.</p> <p>In the case of chance discoveries, these will be subjected to Articles 37, 38 and 39 of the Law for the Protection of Cultural Heritage of January 25, 1996</p> <p>The independent Mid-Term Review and Terminal Evaluation will assess whether these mitigation measures have been met. This will be explicitly stated in the Terms of Reference of these consultancies.</p> |
| | | High Risk | <input type="checkbox"/> |

| | QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant? | | |
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| | Check all that apply | | Comments |
| | Principle 1: Human Rights | <input checked="" type="checkbox"/> | <p>Referred to SESP attachment 1: Principle 1, Question 5 & 6 and <i>Principle 1, Questions 1, 2, 3, and 4; and Principle 3, Standard 5, Questions 2 and 4</i></p> <p>See Risks 1 and 7. In relation to capacity of duty bearers to meet their obligations and the right holders to claim their rights, the project will support capacity needs assessments, skills development, technical support and direct learning through field demonstrations, extension support and stakeholder engagement. In terms of general human rights concerns, the project will apply SESP checklist to screen investments to ensure limited or no social and environmental impacts, have GRM procedures in place, ensure use of FPIC procedures and prepare a livelihood plan if any people's livelihoods are affected</p> |
| | Principle 2: Gender Equality and Women's Empowerment | <input checked="" type="checkbox"/> | <p>Referred to SESP attachment 1: Principle 2, Questions 1, 2 and 4.</p> <p>See Risk 2: Application of Gender Analysis and Mainstreaming Action Plan that was developed at PPG stage, The use of the monitoring plan (RAF) with gender responsive indicators to access gender dimensions, use of guidelines and tools to strengthen gender responsiveness of local organizations and public institutions, technical expertise on gender mainstreaming to support project implementation and monitoring and evaluation; budgets to secure gender responsiveness in the project, including the collection of sex-disaggregated data with oversight provided by the Ministry of Women's Affairs to ensure appropriate mainstreaming of gender issues.</p> |
| | 1. Biodiversity Conservation and Natural Resource Management | <input checked="" type="checkbox"/> | <p>Principle 3, Standard 1, Questions 1, 2, 3, 4, 6 and 9</p> <p>See Risk 3: Criteria for the selection of investment sites will follow extensive biological mapping, project investments within community lands and no new areas within the PAs are proposed for such activities, zoning to ensure biodiversity safeguards, screening using SESP,</p> |

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| | | | PA management establishing specific rules and regulations for harvest and forest use and livelihood activities, reciprocal commitments by communities to conservation, training of community members to monitor changes in local biodiversity and over use; support for community PAs, and improving conservation of waterways to facilitate biodiversity connectivity and management across the landscape. |
| | 2. Climate Change Mitigation and Adaptation | <input checked="" type="checkbox"/> | Principle 3, Standard 2, Question 2 See Risk 4: Application of participatory community risk assessment and planning that will, inter alia, influence the choice of investment projects with considerations of their risks. Monitoring plan to ensure that the health of the eco-system and implementation of knowledge management and communication strategy to enhance public awareness and involvement in climate smart actions. |
| | 3. Community Health, Safety and Working Conditions | <input type="checkbox"/> | |
| | 4. Cultural Heritage | <input checked="" type="checkbox"/> | Principle 3, Standard 4, Question 2 Risk 5: The project target areas include heritage sites. The project will bring on board the national Authority in charge of the site to avoid potential activities that lead to negative impacts on the heritage sites and propose specific zoning and management in the management plans. It will apply SESP screening and ensure consultation with IPs through FPIC mechanism to ensure that there is no cultural risks |
| | 5. Displacement and Resettlement | <input type="checkbox"/> | |
| | 6. Indigenous Peoples | <input checked="" type="checkbox"/> | Principle 3, Standard 6, Question 1, 2, 3, 4, 5, 6 and 7 Risk 6: The project will consult with indigenous communities and identify their specific needs, including any issues related to land conflict, community forestry, etc., and measures must be included to ensure that the issues concerning the IP are fully incorporated into the project plans, and appropriate oversight mechanisms are put in place. |

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| | | | <p>It will also apply FPIC procedures to delineate areas to be set asides in a manner to avoid limitations on existing community resource use rights and access;</p> <p>use of a screening checklist for project investments based on SESP to screen all investments, ensure</p> <p>decision regarding restrictions, if any, on resource use will not be imposed, but will involve through an informed, transparent and consultative community consensus building process and any restrictions, if any will be adequately compensated to match or exceed loss of incomes or livelihoods. An alternative livelihood development plan will be prepared early in project and</p> <p>use of grievance redressal system</p> |
| | <p>7. Pollution Prevention and Resource Efficiency</p> | <input type="checkbox"/> | |

Final Sign Off

| Signature | Date | Description |
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| <p>QA Assessor</p>  <p>So Lida Programme Analyst</p> | <p>July 25, 2020</p> | <p>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.</p> |
| <p>QA Approver</p>  <p>Rany Pen Head of Programme Results Unit</p> | <p>July 25, 2020</p> | <p>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.</p> |
| <p>PAC Chair</p>  <p>Nick Beresford Resident Representative</p> | <p>July 26, 2020</p> | <p>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.</p> |

SESP Attachment 1. Social and Environmental Risk Screening Checklist

| Checklist Potential Social and Environmental Risks | | Answer (Yes/No) |
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| Principles 1: Human Rights | | |
| 1. | Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups? | Yes |
| 2. | Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? ⁴⁹ | Yes |
| 3. | Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups? | Yes |
| 4. | Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them? | Yes |
| 5. | Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project? | Yes |
| 6. | Is there a risk that rights-holders do not have the capacity to claim their rights? | Yes |
| 7. | Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process? | No |
| 8. | Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals? | Yes |
| Principle 2: Gender Equality and Women's Empowerment | | |
| 1. | Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls? | Yes |
| 2. | Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits? | Yes |
| 3. | Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment? | No |
| 4. | Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? | Yes |
| Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below | | |
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⁴⁹ Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

| Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management | | |
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| 1.1 | Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i> | Yes |
| 1.2 | Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities? | Yes |
| 1.3 | Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5) | Yes |
| 1.4 | Would Project activities pose risks to endangered species? | Yes |
| 1.5 | Would the Project pose a risk of introducing invasive alien species? | No |
| 1.6 | Does the Project involve harvesting of natural forests, plantation development, or reforestation? | Yes |
| 1.7 | Does the Project involve the production and/or harvesting of fish populations or other aquatic species? | No |
| 1.8 | Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i> | No |
| 1.9 | Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development) | No |
| 1.10 | Would the Project generate potential adverse transboundary or global environmental concerns? | No |
| 1.11 | Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? | No |
| Standard 2: Climate Change Mitigation and Adaptation | | |
| 2.1 | Will the proposed Project result in significant ⁵⁰ greenhouse gas emissions or may exacerbate climate change? | No |
| 2.2 | Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change? | Yes |
| 2.3 | Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive 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 |
| Standard 3: Community Health, Safety and Working Conditions | | |
| 3.1 | Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities? | No |
| 3.2 | Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)? | No |
| 3.3 | Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)? | No |

⁵⁰ In regards to CO₂, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

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| 3.4 | Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure) | No |
| 3.5 | Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions? | No |
| 3.6 | Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)? | No |
| 3.7 | Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning? | No |
| 3.8 | Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)? | No |
| 3.9 | Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)? | No |
| Standard 4: Cultural Heritage | | |
| 4.1 | Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts) | Yes |
| 4.2 | Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes? | No |
| Standard 5: Displacement and Resettlement | | |
| 5.1 | Would the Project potentially involve temporary or permanent and full or partial physical displacement? | No |
| 5.2 | Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)? | Yes |
| 5.3 | Is there a risk that the Project would lead to forced evictions? ⁵¹ | No |
| 5.4 | Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources? | Yes |
| Standard 6: Indigenous Peoples | | |
| 6.1 | Are indigenous peoples present in the Project area (including Project area of influence)? | Yes |
| 6.2 | Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples? | Yes |
| 6.3 | Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)? | Yes |

⁵¹ Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

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| 6.4 | Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned? | Yes |
| 6.5 | Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples? | Yes |
| 6.6 | Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources? | Yes |
| 6.7 | Would the Project adversely affect the development priorities of indigenous peoples as defined by them? | Yes |
| 6.8 | Would the Project potentially affect the physical and cultural survival of indigenous peoples? | No |
| 6.9 | Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices? | Yes |
| Standard 7: Pollution Prevention and Resource Efficiency | | |
| 7.1 | Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts? | No |
| 7.2 | Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)? | No |
| 7.3 | Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs? <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i> | No |
| 7.4 | Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health? | No |
| 7.5 | Does the Project include activities that require significant consumption of raw materials, energy, and/or water? | No |

Annex 7: UNDP Risk Log

| Project risks | | | | | |
|--|---------------|------------------------------------|--|-------|--------------------------------|
| Description | Type | Impact, Probability and Risk Level | Mitigation Measures | Owner | Status |
| General Risks | | | | | |
| Risk 1: Limited capacity of sub-national authorities in the implementation of integrated landscape management | Institutional | P=3; I=3 MODERATE | Component 1 will include capacity development activities for national and sub-national authorities on IEM planning, sustainable NRM management, integration of biodiversity and ecosystem services in sub-national planning. The project will establish database/system on watershed management plan for informing planning process of the sub-national authorities. The project will identify successful experience of sub-national authorities' role on landscape management from in and out of the country. | PD | Implementation |
| Risk 2: Relevant government agencies at the national and provincial levels may be reluctant to promote conservation-oriented financial reforms for a fear of losing other short-term economic development revenues | Institutional | P=2; I=3 MODERATE | The project will work closely with relevant government agencies. The project aims to influence the national development and fiscal development planning process. An assessment of ecosystem functions and its value (economic valuation) will be conducted to inform the national and sub-national authorities. Participatory planning at the local level will serve as a platform for development plans that integrate conservation priorities. It will be critical to capture the potential of ecosystem markets. The pilot project will develop necessary capacity and tools for mainstreaming biodiversity into a National Policy. Moreover, key relevant agencies such as MAFF, MoE, and MOWRAM, who have decision making roles in landscape planning and management will be invited to be members of the project board. They will also have active role in the project implementation through provision of grant agreements on certain activities. | PD | Implementation |
| Risk 3: The Siem Reap Water Supply Authority may be reluctant to collaborate, fearing loss of business revenue. | Institutional | P=2, I=2 LOW | The project will work towards developing capacity of local government officials and stakeholders in different sectors integrating ecosystem services into local land-use and development planning. The emphasis will be that | PD | Preparation and Implementation |

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| | | | <p>the interventions will be essential for achieving long-term sustainable, inclusive and equitable development, thereby making good business sense. The project will support development and application of a range of tools. Targeted ecosystem valuation work will be conducted, including targeted scenario as appropriate. The process will be done with full participation of stakeholders in government, non-government and the private sector, fostering understanding of the need for and benefit from striking the right balance between developments and safeguarding the environment. An effective communication strategy and stakeholder involvement plan will be developed and implemented in view of increasing stakeholder support.</p> | | |
| Social and Environmental Risks | | | | | |
| <p>Risk 4: Duty bearers do not have the capacity to meet their obligations and right holders do not have the capacity to claim their rights.</p> | Institutional | Moderate I = 3; P = 3 | <p>A capacity needs assessment will be undertaken early in the project to define training needs and additional skills required for the implementation of the project. Training will focus on key ministries including integrated natural resources planning and management approaches. Technical advice, extension services and direct learning by doing support from specialists within the relevant agencies (including external technical support) combined with demonstrations to promote adoption of sustainable practices within the target landscape to enhance capacity and participation of duty bearers and right holders. The project will seek to affirm the significance of local communities including indigenous people by facilitating their engagement through appropriate modalities, building their capacity and awareness for implementation of sustainable natural resources and livelihood strategies.</p> | PD | Implementation |
| <p>Risk 5: Community members that include disadvantaged groups, minorities, poor and women might not be fully engaged in decision that affect their land, culture and rights.</p> | Social | Moderate I = 3; P = 3 | <p>The project devises a stakeholder engagement plan (annex 5) which will ensure opportunities for women and men at all levels of engagement. The project will promote equal representation of Community members that include disadvantaged groups, minorities, poor and women in project related decisions in communities. Capacity development activities will be provided to enhance</p> | PD UNDP | Implementation |

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| | | | local communities' participation at all levels of the project cycle. Partnership with representative organizations of local communities such community forestry, community protected areas, farmer groups, and community eco-tourism will be established for them to implement relevant project activities. Furthermore, the project will also apply FPIC process to ensure real needs and priorities of the local communities are integrated into the project activities. | | |
| Risk 6: Project activities to ensure conservation and sustainable natural resource use could have unintended negative consequences on endangered species or critical habitats if not planned or implemented correctly (including insufficient enforcement of protected area management rules). | Environment | Moderate I = 2; P = 3 | Project impacts are to be managed through ensuring that selection of investment sites will follow extensive biological mapping so as to conform to project's objective of 'enhancing the conservation of biodiversity and ecosystem services'; all community agriculture, productive and livelihood activities will take place within community lands and no new areas within the PAs are proposed for such activities; appropriate zoning of the PAs to ensure that biodiversity areas are conserved with minimum interference; use of screening checklist (based on SESP for project investments to screen all investments to ensure that they comply with sound social and environmental principles; the planning process for PA management will entail establishing specific rules and regulations for location and nature of sustainable natural resources harvest and use and livelihood activities and supported by community capacity building efforts for implementation and enforcement of these management plans; community investments will include specific reciprocal commitments by local communities for voluntary compliance and support for conservation action; implementation of the Stakeholder Engagement Plan; and activities in PAs will be carried out with the aim of better management, higher chances of sustainability, biodiversity protection and protection of ecosystem services. Specific emphasis will be placed on integrating and supporting the Community Protected Areas as part of sustainable land management. In addition, the project will apply FPIC procedures to avoid negative impacts resulting from the project activities in the community owned land areas. | PD UNDP | Implementation |

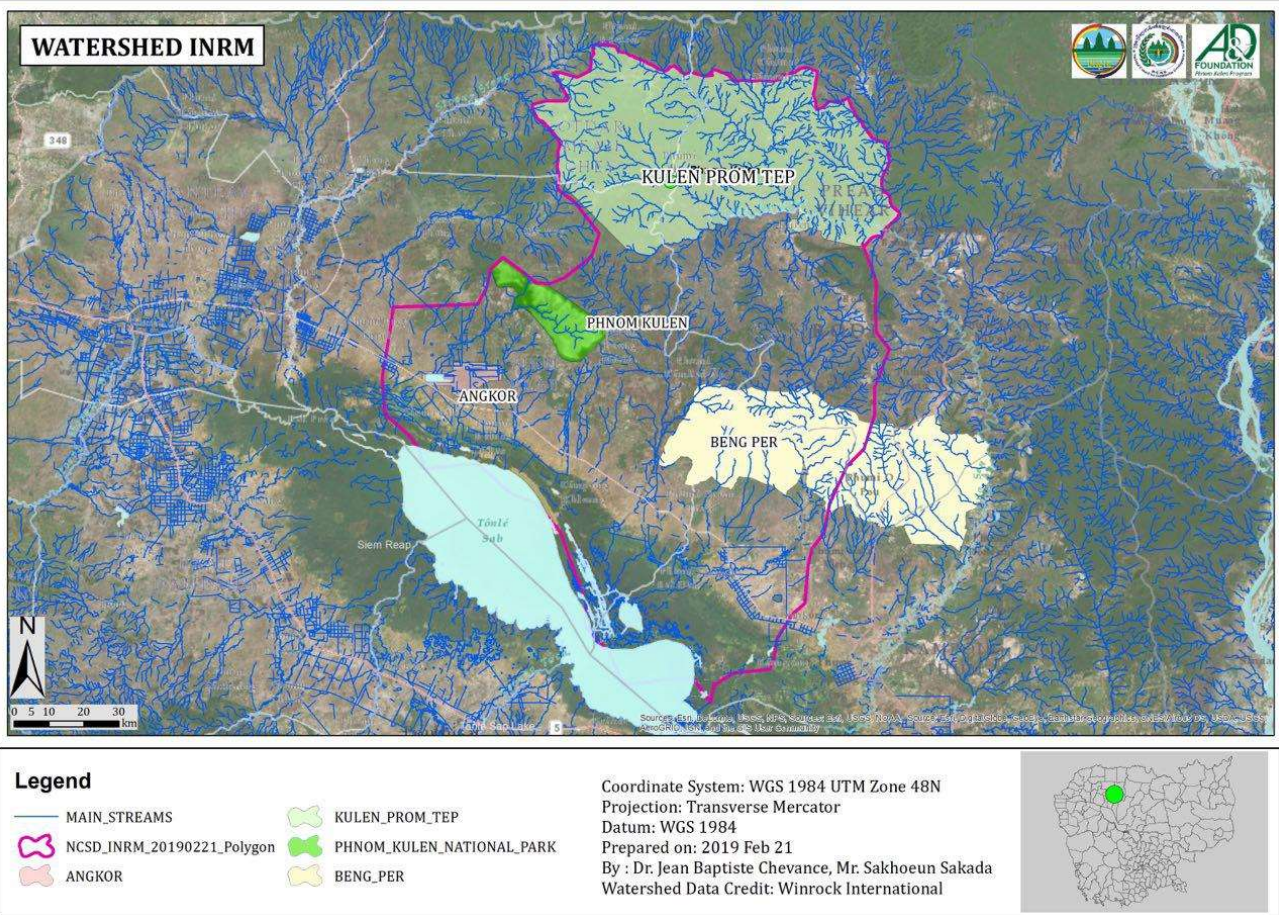
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| <p>Risk 7: The potential outcomes of the Project will be sensitive or vulnerable to potential impacts of climate change?</p> | <p>Environment</p> | <p>Moderate I=3; P=3</p> | <p>Climate change impacts on the project outcomes and interventions were factored in during the project design with emphasis on catchment and riparian management across the landscape. The project approach is centered around water management to reduce climate change effect such as drought within the project targeted area. At the local level, the project will support measures for management of climate related risks including: (i) participatory community risk assessment (including climate change; (ii) strengthening of sustainable and other conservation practices will enhance protection of ecosystem services; (iii) monitoring plan to ensure that the health of the eco-system is kept in focus and (iv) the knowledge management and communication strategy activities will help raise public awareness and involvement in climate smart actions.</p> | <p>PD</p> | <p>Implementation</p> |
| <p>Risk 8: Project interventions may pose risks to sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture.</p> | <p>Socio-cultural</p> | <p>Low I=2; P=2</p> | <p>The risk will be managed through following measures. The Ministry of Environment Heritage Department will work closely with the APSARA Authority to propose similar heritage zones similar to those already used in Phnom Kulen National Park. The effective use of the grievance redressal system Section IV, Part iv) to address these specific concerns. The use of a screening checklist based on SESP (Annex 4) to screen all investments from an environmental, social and cultural perspective. Any project related economic development initiatives proposed by communities will rest on the maintenance of the integrity of their cultures, traditions, religious values, for example, in agricultural practices, eco-tourism, etc. and provisions made for the documentation by IP cultural practices to enhance biodiversity conservation after FPIC.</p> | <p>PD UNDP</p> | <p>Implementation</p> |
| <p>Risk 9: It is likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples. Consequently, it is possible that the project can affect land tenure</p> | <p>Social</p> | <p>Moderate I = 3; P = 3</p> | <p>The project will not entail any restrictions on the current practices of the IPs, and any new investments in agriculture, sustainable natural resources activities and livelihoods will only be defined following FPIC protocols. During the participatory investment planning process, the project will support community decision making on their priorities and needs, rather than have any new</p> | <p>PD UNDP</p> | <p>Implementation</p> |

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| arrangements and customary rights | | | practices imposed. The project will use the screening checklist defined through the SESP to ensure that any new investments or improvement in existing practices of IPs are socially and environmentally sound. The project will work with IPs to identify their specific needs and assess any issues related to land, community forestry, etc. Any unexpected restriction in resource access (although not a design aspect) will be compensated by the preparation and implementation of a livelihood plan to replace any lost incomes. The project design has incorporated the need for FPIC and develop an IP plan in Year 1 of the project. | | |
| Risk 10: Improved management including zoning and enforcement within the targeted landscape may result in restriction of in PAs and surrounding lands. This will include indigenous communities living in this area | Social | Moderate I = 3; P = 3 | This risk will be managed by applying the framework for INRM to ensure that project activities are detailed in collaboration with Provincial and local governments and local communities, to delineate areas to be set asides in a manner to avoid limitations on existing community resource use rights and access. The establishment of KBAs, HCVFs that will be planned and managed under community governance mechanisms will take into consideration current uses of these resources. The use of the screening checklist for project investments to ensure that investments comply with sound social and environmental principles and ensure avoidance of restriction in access to the extent feasible. Decisions regarding restrictions, if any, on resource use will not be imposed, but will involve through an informed, transparent and consultative community consensus building process (refer Annex 8), and any restrictions, if any will be adequately compensated to match or exceed loss of incomes or livelihoods. An alternative livelihood development plan will be prepared early in project implementation (Year 1) for any households that are likely to be denied access to resources or current livelihood practice and application of the project grievance redressal mechanism to address any specific community concerns. | PD | Implementation |

Annex 16: Project map and Geospatial Coordinates of project sites

Geospatial Coordinates of project demonstration sites⁵²

| Sites | Latitudes | Longitudes |
|----------------|------------------|-------------------|
| Phnom Kulen | 13° 36' 27.59" N | 104° 06' 27.00" E |
| Kulen Prom Tep | 14° 01' 2.64" N | 104° 31' 28.20" E |
| Beng Per | 13° 14' 0.60" N | 104° 51' 3.60" E |



Map of Northern Landscape (showing Project Area with PAs, watersheds and provincial boundaries).

⁵² <https://latitude.to/map/kh/cambodia>