

Annex 6

Social and Environmental Screening for CEO Endorsement Stage:

The completed template, which constitutes the Social and Environmental Screening Report, must be included as an annex to the Project Document. Please refer to the [Social and Environmental Screening Procedure](#) for guidance on how to answer the 6 questions.]

Project Information

Project Information	
1. Project Title	Combatting illegal and unsustainable trade in endangered species in Indonesia
2. Project Number	5391
3. Location (Global/Region/Country)	Indonesia

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

QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?
<i>Briefly describe in the space below how the Project mainstreams the human-rights based approach</i>
<p>The project focuses on improving the regulatory and institutional framework to ensure effective action to combat illegal wildlife trade and regulate the legal wildlife trade, at national, provincial and landscape levels in Indonesia. This will include enhancing the effectiveness of law enforcement agencies and their agents, which has the potential to enhance overall governance in Indonesia, including recognition of human rights and sound application of the law. Enhanced law enforcement does also have the potential to lead to negative impacts on some people, if not properly managed. The project will therefore put in place rigorous controls to ensure that all activities are consistent with Indonesian law and international legal obligations, including the Universal Declaration on Human Rights. Component 1 will ensure good governance, including respect for human rights, through the improvements in the institutional and regulatory framework governing wildlife trade in Indonesia. Through the capacity-building component (Component 2) the project will ensure that rights of people involved with or impacted by wildlife trade are respected, including the rights of those accused of wildlife trafficking to fair treatment under the legal system. Under Component 3, the project will work closely and in a culturally appropriate context on crime reduction with the leaders of villages in wildlife trade sources areas adjacent to the Leuser ecosystem in Northern Sumatra (a critical tiger, Asian elephant, rhinoceros, orang-utan and pangolin landscape) and to Bogani Nani Wartabone NP in Northern Sulawesi (a key ecosystem for endemic globally threatened species including babirusa, anoa and maleo fowl).</p>
<i>Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment</i>
<p>The project will integrate gender equality and a social inclusion perspective in programme/project planning and implementation. This is to ensure equal participation of both women and men and people from different economic and social backgrounds in project planning and decision making, in order to make certain that neither of the groups is disadvantaged by the project activities and will derive equal benefits from the project activities. In order to achieve gender mainstreaming in this project, the PPG (project preparation phase) has</p>

undertaken baseline assessments in the project landscapes to identify the measures needed to ensure the equal participation of men and women so as to fully take into account the different perspectives, priorities and socio-economic realities that women and men face. The equal participation of women has been taken into account in project design for planning and decision making among the key stakeholders, including the national, provincial and local government agencies and local communities. Project design pertaining to institutional strengthening and capacity building has also ensured that target trainees will include both sexes and institutional development will mainstream gender in the institutional system and decision making mechanisms. At the landscape level, consultation sessions have been held to obtain views and inputs of a wide range of local stakeholders in selected landscapes to develop the project activities and to develop a robust stakeholder involvement plan with full gender considerations. Relevant indicators including gender disaggregated targets and baselines have also been included as part of the project results framework and monitoring plan.

Briefly describe in the space below how the Project mainstreams environmental sustainability

In line with the project’s biodiversity conservation objectives, its environmental impacts are expected to be overwhelmingly positive, through ensuring appropriate control of wildlife trade and action to address illegal wildlife trade in the Indonesian regulatory and institutional framework, and addressing capacity constraints at all scales in Indonesia. Under Component 3, the project will also support specific demonstration and scaling-up activities to determine, monitor and interrupt trade chains across the demonstration areas including strengthening surveillance and enforcement capacity at key IWT ports and markets and for source areas around key protected area ecosystems. Overall, the project will assist Indonesia to meet its commitments under the CBD and CITES.

Part B. Identifying and Managing Social and Environmental Risks



<p>QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “Yes” responses).</i></p>	<p>QUESTION 3: What is the level of significance of the potential social and environmental risks? <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i></p>			<p>QUESTION 6: 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>
<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: Adverse impacts on human rights of local communities, including marginalized groups.</p>	<p>I = 3 P = 4</p>	<p>Moderate</p>	<p>Enhanced enforcement by Indonesian government agencies could lead to negative impacts for some local people, if they are engaged in illegal activities such as poaching, illegal fishing and wildlife trade.</p>	<p>During the project design, measures have been included to ensure that recognition of human rights are fully incorporated into the project plans. An oversight mechanism will be put in place to ensure that all project activities are carried out in accordance with Indonesian Law and international legal obligations, and that any prosecutions supported by the project are carried out correctly and fairly. This will consist of an SESP ombudsman appointed by the UNDP CO and DG Law Enforcement (MoEF) during the project inception period who will review project progress reports and news from</p>

				<p>stakeholders, as well as providing a telephone hotline and email contact address for complaints from affected parties.</p> <p>As the project demonstration area in Sulawesi covers a large area, it does include areas occupied by different ethnic groups, and some of these are engaged in bushmeat trade and pet trade involving nationally protected species. In these cases, the law would be applied equally irrespective of ethnicity, and legally established cultural traditions would be respected.</p>
Risk 2: Restricted access to natural resources due to enhanced enforcement for local communities, including marginalized groups.	I = 3 P = 4	Moderate	Enhanced enforcement by Indonesian government agencies could restrict access to natural resources for some local people, if they are engaged in illegal activities such as poaching, illegal fishing and wildlife trade.	<p>During the project design, specific measures have been incorporated to ensure that project activities do not restrict legal access of local people to natural resources. This will include sensitization of project staff to human rights and other social and environmental issues before the outset of field activities. Mitigation measures will be considered by project management if it is judged that project activities will curtail illegal activities which form a significant portion of local peoples' livelihoods, such as a consultation process with affected stakeholders to determine alternative approaches.</p> <p>As for risk 1, the project demonstration area in Sulawesi covers a large area including areas occupied by different ethnic groups, in which case specific attention will be given to ensuring that legal access to natural resources is not hindered by project activities, and that cultural traditions are taken into account.</p>
Risk 3: Exclusion of potentially affected stakeholders, in particular marginalized groups, from participating in decisions that might affect them.	I = 1 P = 4	Low	Reform of Indonesian law enforcement regulations and the protected species list could further restrict the opportunities for local people to legally exploit wildlife.	During the project design, PMU staff will ensure that project groups involved in regulatory reform activities consult appropriately with key stakeholders, including umbrella groups that represent the interests of local forest dependent peoples. At the project demonstration area scale, appropriate consultation mechanisms have been established for use during the project implementation.
Risk 4: Indonesian law enforcement agencies do not apply the law correctly.	I = 3 P = 4	Moderate	Increasing the capacity of Indonesian law enforcement agencies carries the risk of improper application of the law,	The project capacity-building component (Component 2) should be specifically designed to enhance the capacity and understanding of Indonesian law enforcement agencies to ensure that the law is applied correctly.

			unless mitigation measures are put in place.	
Risk 5: Project activities are within or adjacent to environmentally sensitive areas including PAs.	I = 1 P = 5	Low	Some project activities will occur in protected areas, but these are expected to benefit biodiversity.	None required
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"/>	It is considered that the project activities with potential adverse social risks are limited in scale, can be identified with a reasonable degree of certainty, and can be addressed through application of standard best practice, mitigation measures and stakeholder engagement during project implementation.
<i>High Risk</i>			<input type="checkbox"/>	
QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?				
Check all that apply			Comments	
<i>Principle 1: Human Rights</i>			<input checked="" type="checkbox"/>	It is considered that the project activities with potential adverse social risks are limited in scale, can be identified with a reasonable degree of certainty, and can be addressed through application of standard best practice, mitigation measures and stakeholder engagement during project implementation.
<i>Principle 2: Gender Equality and Women's Empowerment</i>			<input type="checkbox"/>	
<i>1. Biodiversity Conservation and Natural Resource Management</i>			<input type="checkbox"/>	
<i>2. Climate Change Mitigation and Adaptation</i>			<input type="checkbox"/>	
<i>3. Community Health, Safety and Working Conditions</i>			<input type="checkbox"/>	
<i>4. Cultural Heritage</i>			<input type="checkbox"/>	

	5. Displacement and Resettlement	<input type="checkbox"/>	
	6. Indigenous Peoples	<input checked="" type="checkbox"/>	During the project design, measures have been included to ensure that recognition of human rights are fully incorporated into the project plans. In addition, appropriate oversight mechanisms have been put in place to ensure that all activities are carried out in accordance with Indonesian Law and international legal obligations, and that any prosecutions supported by the project are carried out correctly and fairly.
	7. Pollution Prevention and Resource Efficiency	<input type="checkbox"/>	

Final Sign Off

Signature	Date	Description
 QA Assessor Name: Iwan Kurniawan Programme Officer	18 Nov. 2016	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 Name: Francine Pickup Deputy Country Director UNDP CO Indonesia	22 Nov. 2016	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 Name:		UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.

SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks		
Principles 1: Human Rights		Answer (Yes/No)
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? ⁴³	No
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.	Are there measures or mechanisms in place to respond to local community grievances?	No
6.	Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	Yes
7.	Is there a risk that rights-holders do not have the capacity to claim their rights?	Yes
8.	Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	No
9.	Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	No
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?	No
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?	No

⁴³ 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.

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
3.	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? <i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</i>	No
Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below		
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management		
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>	No
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)	No
1.4	Would Project activities pose risks to endangered species?	No
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?	No
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	<p>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?</p> <p><i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i></p>	No
Standard 2: Climate Change Mitigation and Adaptation		
2.1	Will the proposed Project result in significant ⁴⁴ 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?	No
2.3	<p>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)?</p> <p><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></p>	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
3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	No

⁴⁴ 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.]

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)	No
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)?	No
5.3	Is there a risk that the Project would lead to forced evictions? ⁴⁵	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?	No

⁴⁵ 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.

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?	No
6.3	Would the proposed Project potentially affect the rights, lands and territories of indigenous peoples (regardless of whether Indigenous Peoples possess the legal titles to such areas)?	No
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?	No
6.4	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.5	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?	No
6.6	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	No
6.7	Would the Project potentially affect the traditional livelihoods, physical and cultural survival of indigenous peoples?	Yes
6.8	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	No
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